

W I S C O N S I N



PLSR

PUBLIC LIBRARY SYSTEM
REDESIGN PROJECT

ILL / ILS Workgroup Report

April 2, 2018

This report is part of a larger report presented to the
PLSR Steering Committee:

<http://www.plsr.info/april2018report>

ILL / ILS Workgroup

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PROJECT MANAGER INTRODUCTION

The report of the ILL\ILS Workgroup is part of a culmination of a larger process to consider how to best provide public library system services in Wisconsin. Building on the work of many, its goal is to develop a plan for implementation of new models of service. The process, led by a Steering Committee, will result in recommendations from the Steering Committee to the Department of Public Instruction (DPI). The workgroup reports are provided to the Steering Committee as an input to their recommendation process.

In order to develop new models of service, the project manager formed workgroups of community members. The PLSR Steering Committee, with the guidance of the project manager, selected workgroup leads and facilitators from a pool of applicants for each service area and assigned liaisons from DPI and the Steering Committee to each group. In March 2016, the facilitators, leads and liaisons to each workgroup reviewed the applications from potential participants to determine the composition of the workgroups.

The following report is the result of the workgroup's consideration of their topic area over the past two years.

ABOUT THIS REPORT

The PLSR process asked each workgroup to answer the following question in the course of their model development: what is the best way to maximize resources, improve services and provide increased equitable access to services? They were not asked to recommend an overall structure for collaborative public library services (i.e. determining if there should be library systems), who might provide the services described or how the services would be funded.

To answer the question posed to them, the workgroup created a model of service, which is included in the following report.

In addition to the service model, the report includes suggestions or recommendations in the following areas. The intent of these recommendations is to provide the Steering Committee with information as they consider overall governance and structure.

STAFFING MODEL

Recommendations include the number of positions and descriptions of the job duties. The staffing numbers account for management of the service area but not overall administrative staffing, as those considerations will be taken up by the Steering Committee.

ESTIMATED BUDGET

Rough figures for what the new model might cost. These are generally presented as a range of costs. Some costs, such as equipment, are service area dependent and are included in the recommendation. There are costs, however, that cannot be included in the service area budgets either because the cost cannot be known until the overarching structure is determined or because there is a philosophical decision that would need to be made by that overarching structure in order to determine costs. The workgroup discussed these costs and details of those discussions can be found in the Project Manager's report.

IMPLEMENTATION

The workgroup has provided recommendations related to implementation that include priorities for implementation, what might be easier to implement within the existing structure and barriers or concerns around implementation. Implementation recommendations are limited; any implementation of service models depends heavily on the structure recommendation from the Steering Committee and the subsequent work of DPI.

GOVERNANCE

The workgroup has provided recommendations for service accountability and service user involvement, including feedback mechanisms.

SOME POINTS TO KEEP IN MIND WHILE READING THE REPORT

THE REPORTS ARE LIMITED TO THE SCOPE OF THE WORKGROUP'S CHARGE

The workgroup was instructed to focus on how best to deliver services and how to deliver the best services. The Steering Committee is responsible for making recommendations related to funding, structure and administration. Therefore, the report does not include answers to questions such as:

- Will there be systems and, if so, how many?
- Who will provide services?
- How will services be funded?
- When will it be implemented?
- What exactly will governance look like?

CONCENTRATING ON STAFFING NUMBERS IS NOT GOING TO GIVE AN ACCURATE PICTURE OF WHAT IS BEING PROPOSED

The workgroup was asked to provide an ideal organizational chart for their service area once the service area was completely up-and-running in the new model. At the same time, many of the workgroups proposed implementation plans that ramp up the services over a period of many years and provide for assessment of staffing levels during that time so that, once fully implemented, the service area is appropriately staffed.

BUDGETS ARE ROUGH, BALLPARK ESTIMATES

Implementation is where costs will be more precisely determined. The costs in this report are ballpark estimates that give a sense of cost to help contextualize the models.

GOVERNANCE RECOMMENDATIONS ARE GENERAL AND LIMITED TO ASSESSMENT WITHIN THE MODEL

Without a clear understanding of structures supporting the service models, the workgroup was unable to offer governance and accountability recommendations beyond the scope of the services. For example, the workgroup could not recommend appointing authorities, though they could recommend oversight bodies for the service.

THE MODELS ARE FUTURE FACING BUT NOT FUTURISTIC

The workgroup was given a service area to consider and was asked to redesign the current service while keeping in mind the future. As they each developed their model, they considered how it would support change and growth in the future, but they were not designing models that focused on (or predicted) future services.

THE REPORTS ARE NOT THE END OF THE PROCESS

While these reports are an important step in the process, they are far from the end. The Steering Committee will work with Core Recommendation Collaborators, Model Development Summit Participants and a facilitator to build their recommendations for DPI. In addition to the workgroup recommendations, many other sources of information will be considered during the Steering Committee's recommendation development process. After the Steering Committee submits their recommendations to DPI, there are a number of steps and processes that DPI may undertake to further vet the recommendations with the library community and others.

For more information about the process and reports, please see the complete Project Manager's Report, linked from <http://www.plsr.info/workgroups/workgroupreport/>

MODEL OVERVIEW

The ILL / ILS Discovery workgroup envisions larger regions of service for Integrated Library Systems throughout the state, with regional ILSs that are accessible through a *single discovery platform*. Local ILSs could also participate in the discovery platform. Patrons in every Wisconsin community will have the same experience and access to the same large pool of resources available in all Wisconsin public libraries.

The model seeks to reduce duplication of effort through encouraging collaboration and coordination among the regional ILSs while offering a flexible timeline and incentives for the creation of larger ILS regions. The discovery platform will rely on a centralized bibliographic database and will update item status in real time. Bibliographic additions will occur via a nightly record harvest. Patron cards will work at all public libraries in the state using either a statewide or traveling patron model.

A robust ILL system will provide access to materials not available through the discovery platform, including those found at other library types in the state and at out-of-state libraries. The model envisions regional and statewide support to assist libraries with ILL.

WORKGROUP MEMBERS

Kristen Anderson, Winding Rivers Library System (Lead)

Teresa Schmidt, Mercer Public Library/NWLS (Lead)

Joy Pohlman, UW-Madison, General Library System (Facilitator)

Tasha Saecker, Appleton Public Library (Facilitator)

Julie Beloungy, Thorp Public Library

Brian Hannemann, Milwaukee Public Library

Steve Hesel, Milwaukee County Federated Library System

Amy Lutzke, Dwight Foster Public Library

Amy Marsh, L. E. Phillips Memorial Public Library

Jim Novy, Lakeshores Library System

Heidi Oliversen, South Central Library System

Steve Platteter, Arrowhead Library System

Gail Spindler, Indianhead Federated Library System

Past members

Heather Jett, UW-La Crosse

Geri Moeller, Outagamie Waupaca Library System

Michael Sheehan, Northern Waters Library System

Steering Committee Liaisons

Kristie Hauer, Shawano City-County Library
Steve Ohs, Lakeshores Library System

DPI Liaisons

Ben Miller
Gail Murray

CHARGE OF WORKGROUP

The ILL and ILS/Resource Discovery PLSR workgroups were tasked with examining interlibrary loan (ILL), integrated library system (ILS) and discovery services at public libraries in Wisconsin, and developing new service models to improve ILL and ILS services for a variety of stakeholders throughout the state. The potential scope of the workgroup was narrowed by focusing primarily on centralized services and not doing in-depth analysis of the services being provided by the regional ILSs. The model makes some recommendations for centralized staff to help develop efficiencies among the regional ILSs, while mostly treating them as “black boxes” that are components within the model.

Because the development of a statewide discovery layer and larger regions of ILS service will create more overlaps of service between traditional ILS lending and ILL, the two workgroups combined to develop an interoperable model of service.

The combined workgroup determined that the following outcomes should be achieved through any service model recommendations:

- **Eliminate obstacles to access**
 - Allow patrons easy access to all materials within their area of the state and statewide
 - Advocate for standardization of circulation parameters and fines wherever possible
 - Use linked data to increase the likelihood of discovery of materials in Google and other search engines

- **Empower staff and patrons with an accessible, fast, secure and easy-to-use interface designed to accommodate change**

- Allow for one-stop shopping of all available resources: OverDrive, programming, readers’ advisory, databases, etc.
 - Scoped views limited to regions but easily expanded to include other regions and the state
 - Full-featured and mobile-ready on day one
 - Patron-centered interface that allows for simple searches but provides advanced searching for staff and power users
 - Interface allows for a myriad of self-service options wherever possible
 - Data is provided that is both usable and granular to the level of the library location
- **Consistent training and support for all libraries and patrons**
 - Areas of support are small enough that libraries are confident that they have the support they need
 - Good documentation
 - Consistency of interface between staff and patron applications
 - Development of a professional learning community
 - Robust support system
 - **Equity**
 - Ensure all libraries in the state have access to these resources regardless of size
 - Develop statewide policies that ensure equity in collection development
 - Ensure ADA compliance
 - Incentivize participation

BACKGROUND

The Wisconsin ILL Guidelines 2016¹ defines statewide interlibrary loan as “a cooperative mechanism for connecting Wisconsin citizens with needed information and resources that are not available through local libraries or consortia. The goal is to equalize and optimize access to library collections across the state.”¹ The very nature of ILL is to encourage resource sharing to improve equity and decrease duplication through the sharing of library materials.

Wisconsin, a leader in resource sharing in the nation, currently has a robust statewide ILL system. Additionally, while libraries are not required to participate in ILL, nearly all Wisconsin public libraries provide ILL services, as do academic, school, special, state agency libraries and

¹ Department of Public Instruction. Wisconsin ILL Guidelines 2016. Last accessed 12/20/17. <https://dpi.wi.gov/sites/default/files/imce/rl3/pdf/WISCAT/wi-ill-guidelines-2016.pdf>

more. For the public library world, the libraries themselves are the lenders and requesters of materials.

For the purposes of the workgroup's discussion and this report, ILL activities have been divided into those that happen within the regional ILSs in the state and those that happen outside of the ILSs.

For those ILL requests occurring outside of the ILSs, most are staff initiated or patron initiated and mediated (initiated by the patron but completed with the direct assistance of library staff). However, some libraries do allow patrons to place unmediated ILL requests.

ILL REQUESTS OCCURRING OUTSIDE OF THE ILSs (ILL)

Most public libraries use WISCAT for these types of requests. Made up of a physical union catalog, a virtual union catalog and an interlibrary loan management module and administered by DPI, it is used to send and receive requests from other WISCAT participants as well as OCLC libraries. In 2018, 338 public libraries and 15 of 16 public library systems had WISCAT licenses.

Some public libraries and systems use OCLC to send and receive requests instead of WISCAT. In some cases, public library systems act as regional clearinghouses for ILL, placing requests on their member libraries' behalf, but as the DPI Guidelines point out, "the degree of interaction between the clearinghouses and their member libraries vary by system. Some systems are very centralized with all ILL requests initiated by the clearinghouse while in other systems ILL requests are initiated at the individual libraries. In these decentralized systems, the clearinghouse generally only requests materials the individual members were not able to obtain independently."

Although there is much cooperation and collaboration, the different ways in which ILL outside of the ILSs is handled across the state means that there is dedicated staff in most systems handling ILLs, different ILL software systems are used in different library systems, and often items must be treated specially even if they are from in-state due to specific return rules, ILL barcodes, etc. This can result in a duplication of effort and the need for specific knowledge of rules for specific lenders, as well as the potential for patron confusion.

INTEGRATED LIBRARY SYSTEMS (ILS)

The history of ILSs in Wisconsin is, unsurprisingly, tied to technology and geography. As most libraries in the late 1980s to early 1990s were making their collections searchable on computers, they were moving from card catalogs to stand-alone ILSs rather than regional ILSs. However, there were immediately a few exceptions: both Milwaukee County Federated Library

System (MCFLS) and South Central Library System (SCLS) had shared circulation systems by the late 80s and would launch shared open public access catalogs (OPACs) around 1993-94.

In the mid to late 90s, advances in library system telecommunications caused an explosion in library system Wide Area Networks (WANs) and by 2000 most library systems had WANs forming the backbone of an ILS consortium. In the early 2000s, the State of Wisconsin began to actively encourage stand-alone libraries to join WANs and ILS consortia, and in 2007 the Arrowhead Library System (ALS) became the final system to form a consortium.

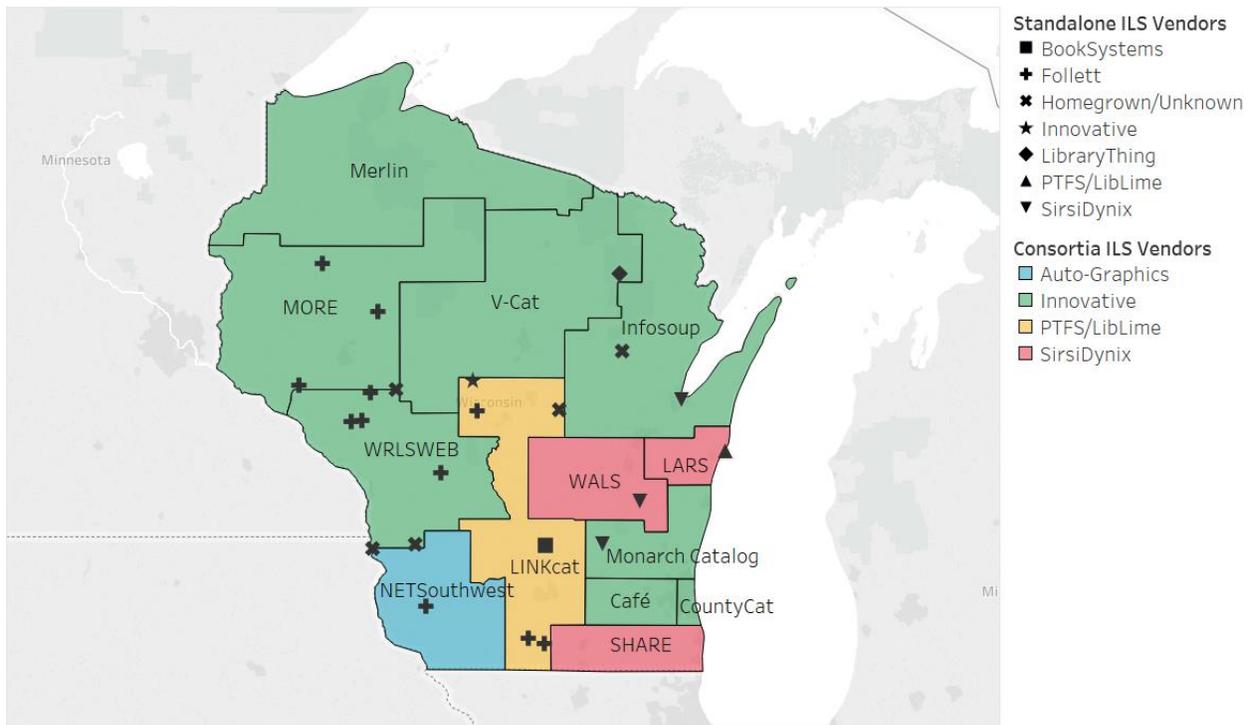
The make-up of the ILS consortia has often been fluid, with systems joining each other to form larger ILS consortia or in some cases merging completely, with both scenarios resulting in larger geographic areas for a single ILS. The development of ILS systems, regions and practices have been iterative and flexible enough to deal with technology, staffing and fiscal changes. While each ILS is managed independently, there are some consistencies among them. For example, the 2014 survey of library systems and stand-alone ILS libraries found that Innovative Interfaces is the predominant vendor in the state.² This means that vendor relationships are being built, maintained and negotiated by separate libraries and systems, often with the same vendor.

As a rule, public libraries in a library system are participants in that ILS consortium. However, there are library systems that share an ILS and there are some public libraries that do not participate in any ILS consortium. At the time of this report, there are over 40 separate ILSs in the state. While stand-alone ILSs and even small ILS consortia result in an ability to make ILS-related decisions a local matter, it causes inconveniences and duplication of efforts at libraries and consortia across the state. Some examples include patrons living near borders needing multiple cards to access different libraries, searching protocols being different for each ILS' catalog, policies differing greatly between libraries/systems and patrons only easily viewing items in their specific ILS' catalog.

The map below illustrates the ILS consortia in the state and their current vendor and platform. Regional ILSs are shaded according to their vendor. Libraries with stand-alone ILSs are shown by a dot in a shape to indicate the vendor used:

² Morrill, Stef. ILS Consortia in Wisconsin: A Snapshot of the Landscape. Last accessed 3/14/18. https://dpi.wi.gov/sites/default/files/imce/pld/pdf/WiILS_ILS_study_final.pdf

ILS Consortia and Standalones



PROCESS TO DETERMINE RECOMMENDATIONS

Initially, ILL and ILS/Resource Discovery were two separate workgroups. The ILL group met June 1, 2016 through January 30, 2017 via virtual meetings six times. The ILS/Resource Discovery workgroup met June 6, 2016 through January 25, 2017 via virtual meetings 11 times and once in person. After the workgroups merged, they met once a month, mostly virtually with a few in-person meetings.

The ILL workgroup distributed information gathering amongst its members and used shared documents to track ideas. Individual workgroup members were charged with specific information-gathering tasks, such as statistical collection. The ILL workgroup lead also attended ILS/Resource Discovery meetings, understanding early in the process the close relationship between the service areas. To learn about ILL practices outside of Wisconsin, workgroup members participated in the informational calls with other states. The workgroup also analyzed survey information describing ILL service in Wisconsin provided by library systems.

The ILS/Resource Discovery workgroup conducted a similar approach to information and data gathering, with members researching particular states and models to bring back to the larger group for discussion. States researched include Michigan, Indiana, Connecticut, Colorado, Ohio, North Carolina, Georgia and even British Columbia. Members also attended the informational

calls with other states. In addition, the group interviewed Mitch Lundquist of the Library Technology Group of UW-Madison Libraries to understand the process UW System Libraries undertook when implementing a shared ILS.

After the workgroups shared their models at the 2016 Annual Wisconsin Library Association (WLA) Conference, the model and service vision similarities and dependencies were obvious. Starting on March 17, 2017, the ILL/ILS workgroup was formed. Using real library/patron scenarios, the group worked to envision a unified ILL/ILS model. Throughout this stage of development, the workgroup shared documents (model flowchart, service description, staffing model, etc.) using Dropbox and tracking changes and comments. When documents were approved by the workgroup, they were moved to a final folder. This process allowed the large workgroup to confidently and easily track their work.

Members from this workgroup were included on the Defining the Help Center, Refining and Defining Continuing Education and Regions Topic Teams. The recommendations of these teams helped guide the workgroup's service model recommendations related to help desk staffing and content as well as determining which training services would be included in the ILL/ILS's model and the Consulting and Continuing Education model.

FEEDBACK POINTS AND MODEL REFINEMENT

Throughout the PLSR process, the community has shown interest in the ILL and ILS/Discovery service model developments and many questions, ideas and pieces of feedback were shared with the workgroup via the contact form on the PLSR website.

As the concept of a state-wide discovery layer was recommended and further explored, the question about how the discovery layer would search and extract information about library holdings kept coming up. After several meetings and discussions, two specific options were clarified. In order to support the workgroup's recommendation of a discovery layer, a small group was asked to review options, ask vendors for information at the Annual American Library Association (ALA) Conference in Chicago, and come back to the larger workgroup with a recommendation.

Recognizing dependencies between the ILL/ILS, Technology and Delivery workgroup models, the leaders and facilitators of the three workgroups met via a phone call on June 20, 2017 to discuss what implications there would be if the service areas for the regional ILS component of the ILL/ILS model did not align with Technology and Delivery services areas. For the ILL/ILS workgroup leadership, this meeting clarified that the ILS region borders and the delivery borders would ideally match as much as possible, and they brought this issue back to the

workgroup for further discussion.

The workgroup shared their staffing model with the Technology workgroup and that workgroup's feedback was incorporated into their work around staffing and support. This documentation also gave the Technology workgroup a clear path for providing peripheral hardware and other implementation pieces.

The Collections workgroup was also consulted regarding the inclusion of electronic resources in the discovery layer. The Collections workgroup explained their need for a discovery layer that would support direct links to electronic resources offered statewide. There was discussion about supporting lists of locally-funded electronic resources as well.

Additionally, the workgroup vetted portions of their work, including the service model, a summary of their work, regional and state responsibilities for ILL, portions of their staffing model, best practices for regional ILSs and information on the proposed bibliographic database with their Review Panel, members of System and Resource Library Administrators' Association (SRLAAW) and the general library community. The feedback was reviewed and incorporated into the documents, including the following:

- Concerns with local control were more fully addressed
- Input about the importance of data security led to that being highlighted throughout all of the documents
- Clearer definitions of some of the terms used in the documents and more concrete explanations of some of the concepts were added
- Detailed questions about the technology led the group to a deeper discussion of the model and its technical components in time to update information going to vendors

Review panel members included:

- Nic Ashman, Chippewa Valley Technical College
- Heidi Cox, E.D. Locke Public Library
- Alison Hoffman, Monarch Library System
- Beth Kucera, University of Wisconsin-Milwaukee Library
- Cat Phan, University of Wisconsin-Madison Archives
- Karla Smith, Winnefox Library System
- Vicki Teal Lovely, South Central Library System
- Kathy Wolkoff, Madison Public Library

SERVICE MODEL RECOMMENDATIONS

As the workgroup considered their charge to develop service model recommendations, they used scenarios like the ones below to help them think about their work:

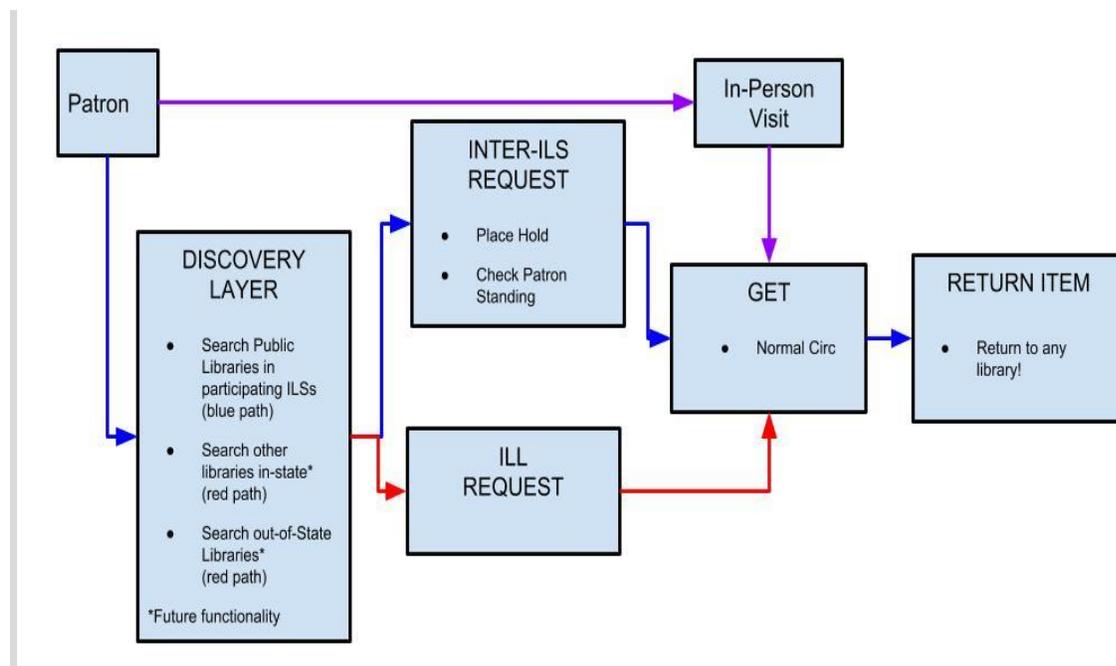
A patron is looking for a title from a library. Using a single catalog, she is able to search all of the public libraries in the state for the item. She discovers the item in a library 300 miles away. She places a hold and the item is sent to her home library.

A patron is traveling to Door County for vacation. He started a book from his local library while still at home in Beloit. He finishes the book while on vacation and goes to the library in Egg Harbor to return the book and to borrow a new one.

A patron is wanting to find the closest library that has a title she wants and is willing to travel to pick up. Using geolocation from a single catalog, she finds the title in a library about 15 minutes away and is able to go to the library and pick up the title, even though the library isn't in her public library system.

A patron uses the single catalog to discover a book in a library in another state. He is able to place an interlibrary loan request on the title and pick up at the library he chooses.

Based on these scenarios, the workgroup visualized a workflow:

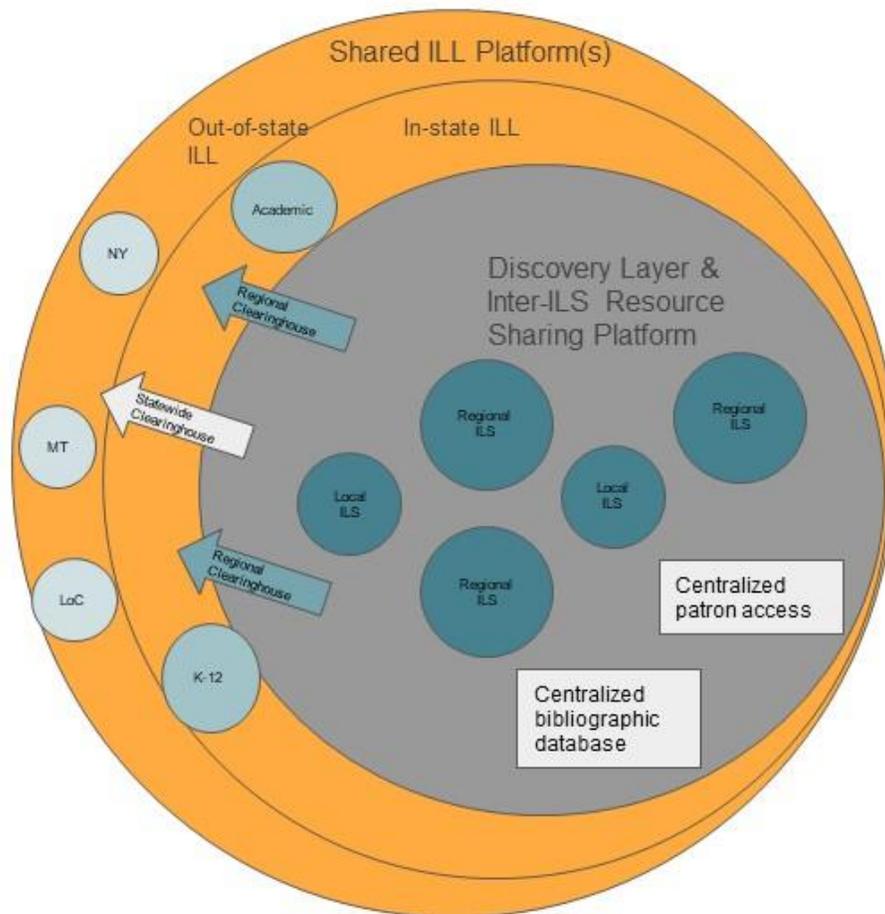


The discovery layer provides a common interface for patrons to search public libraries around the state. It would ideally also have geolocation to allow patrons to search for materials near them. If the title is available to the patron at a public library participating in the discovery layer, they would place a hold on the title, and once available pick up the item at a library of their choice once it is available. If the title is not available to them from a public library participating in the discovery layer, they would place a more traditional ILL request and then pick up the item at a library of their choice once it is available. The patron would then be able to return all items to any library of their choice. Patrons would also have the option to pick up any item at any library in person if preferred over placing a hold or an ILL request.

To support this workflow, the workgroup's model creates an ecosystem for resource sharing in the state. This ecosystem includes:

- Regional ILSs (and, to a lesser extent, the ILSs of individual libraries)
- Centralized staff to encourage cooperation among regional ILSs
- A discovery layer, inter-ILS resource sharing software, and components necessary to support that platform
- A shared ILL platform for resource sharing that would happen outside of the discovery layer and inter-ILS resource sharing software
- State and regional Resource Sharing Hubs

The diagram below illustrates this ecosystem:



REGIONAL ILSs

The ILL/ILS workgroup envisions larger regions of service for Integrated Library Systems throughout the state. Reducing the total number and variety of shared ILSs used across the state will reduce duplication of effort in administration and maintenance and will create enhanced support available to libraries throughout Wisconsin. In addition, larger units of service could create easier patron experiences in areas that have been historically challenging. For example, the Fox Valley region is currently divided into multiple ILSs, which creates challenges for patrons who think of the entire area as their region and expect to use libraries accordingly. A larger region of service in that area could solve this long-standing issue.

While a single discovery platform will provide better access for patrons from libraries who do not wish to merge their ILS but still want to participate in statewide resource sharing, the workgroup envisions a system that incentivizes the creation of larger regions of service. The timeline to join ILL/ILS regions will remain flexible and open to give systems time to plan for ILS migration. This change will result in all residents of Wisconsin having the best level of service

possible in terms of materials available and support for the software that provides material discovery and fulfillment.

CENTRALIZED STAFF TO ENCOURAGE COOPERATION AMONG REGIONAL ILSs

Because the proposed model includes regional ILSs as one of its components, it also includes roles for the centralized staff to encourage cooperation among the regional ILSs to gain efficiencies and provide cost savings for the regional ILSs. Services the centralized staff could provide include:

- Coordination of shared support and training resources among regional ILSs, particularly those with the same ILS software
- Training for topics relevant to all ILSs, regardless of platform
- Information sharing among regional ILSs to assist with the process for consolidations/mergers
- Leadership and expertise in new directions for resource sharing

DISCOVERY LAYER AND COMPONENTS NECESSARY TO SUPPORT THE PLATFORM

The workgroup is recommending a single discovery layer for accessing the regional ILSs.³ The workgroup is visualizing that libraries would choose to use the discovery layer as their primary catalog and that the software would allow libraries to have branding, scoping and other local customization to encourage adoption. The discovery layer would provide patrons in every Wisconsin community with the same high-quality search experience and access to the same large pool of resources available in all Wisconsin public libraries. The discovery layer would integrate with other components to facilitate resource sharing among public library ILSs. There are five elements required for this model to work:

- The discovery layer software
- A centralized bibliographic database
- Patron access
- Inter-ILS resource sharing software
- Help desk services

These service elements will be underpinned by a framework of policies and governance that are designed to achieve an appropriate balance between local library control and consistent patron

³Discovery Layer is or can be a single point of search origin for the patron, can provide a seamless experience for finding information (searching multiple catalogs at once), should be a simple search interface, can allow the patron to start with a broad search and then narrow it to particular types of items (books, articles, etc.) and provide the patron easy exploration options.

experience across the state.

Each of the elements is described below.

THE DISCOVERY LAYER SOFTWARE

The discovery layer provides a common interface for patrons to search public libraries around the state. It would provide a seamless patron-centered discovery and delivery interface which is fast and easy-to-use for novices while providing a full-featured experience for expert searchers and library staff. It would allow for patrons to place direct requests for library materials with minimal effort. In addition, a patron would have a single account where they could view the status of all borrowed items, whether through their local library or through the ILL platform described below.

While designed specifically for the needs of public libraries in the state, the workgroup suggests that multi-type participation in the discovery layer could eventually be supported, including school libraries and colleges and universities.

For more information on the discovery layer software, see Appendix A: Statewide Resource Sharing, Minimum Product Requirements.

A CENTRALIZED BIBLIOGRAPHIC DATABASE

The discovery platform will utilize a centralized bibliographic database⁴ to include holdings information from each ILS, shared and stand-alone, that wishes to participate and can be technically supported. Item status will be updated on a real-time basis, while updates to bibliographic records will be incorporated through nightly record harvesting or through more frequent updates of changes made to the records (delta indexing). This single bibliographic database will provide for better performance for the discovery layer, improved bibliographic control and de-duplication of records.

A centralized database to support the discovery layer relies on the following:

- The centralized bibliographic database must be able to accept/extract data from existing ILS systems meeting defined minimum requirements

⁴ Centralized database: "A centralized database (sometimes abbreviated CDB) is a database that is located, stored and maintained in a single location. This location is most often a central computer or database system, for example a desktop or server CPU, or a mainframe computer. In most cases, a centralized database would be used by an organization (e.g. a business company) or an institution (e.g. a university.) Users access a centralized database through a computer network which is able to give them access to the central CPU, which in turn maintains to the database itself." -- https://en.wikipedia.org/wiki/Centralized_database

- The centralized database and/or the software for the discovery layer must have the functionality to set up specific algorithms to accept and collate similar/same records into one master work record
- The software for the centralized database must have the functionality to set up exclusions that individual libraries/systems can set and update on their own
- The software must also provide a button or a link to search other catalogs
 - If item is not found, an option to place an ILL request is made available

A bibliographic utility will be required though it is unclear if a specific utility will need to be specified for regional ILSs. Authority control will be done on a regular basis and will be outsourced to a vendor with the ability to select from available sources from this service (i.e. LTI, Marcive, etc.)

The workgroup suggests that, over time, cataloging methodologies are encouraged to move from regional ILS models to a more centralized approach. They also suggest that the regional ILSs may allow a mix of AACR2-level as well as RDA-level at first, but that a concerted effort should be undertaken to move to as much RDA-level as possible.

The centralized bibliographic database will also be constructed in a way to accommodate and ease the transition to exposing library holdings to web search engines using standards such as linked data and BIBFRAME. Although the exact process has yet to be determined, the workgroup feels MARC records within the centralized bibliographic database should either be supplemented with controlled vocabularies compatible with linked data or the use of a similar vendor-supplied product that allows exposure of holdings on the internet should be considered. In either case, effort should be made to comply with linked data and/or BIBFRAME standards wherever possible.

PATRON ACCESS

One of the core outcomes identified by the service model is removing barriers and creating a seamless process to allow patrons to access library materials statewide. The ability of patrons to use their library card and gain access to materials across their region and the state was deemed a key function of the model. To allow this type of access to occur, the workgroup identified two possible solutions for patron access. One involved the creation of a uniform statewide patron database including all relevant library patron data to allow resource sharing among ILS regions. For the purposes of this document, we'll call this the Statewide Patron Database model. The other model utilizes existing and second-generation protocols to allow resource sharing between ILS regions without a statewide patron database involved. We'll call this the Traveling Patron model. Below is a discussion of each model, issues to consider when

choosing a model and the workgroup's recommendations for further discussion. The workgroup determined it would be best to welcome vendor proposals for both of these options, rather than only one, as vendor proposals would present more detailed specifics on what is possible technologically and fiscally. This process would more clearly define which model would best serve the needs of Wisconsin libraries and patrons.

The workgroup also recognized the importance of patron privacy as a consideration when discussing patron access. Ben Miller from the Department of Public Instruction prepared a document outlining some privacy considerations, which is included as Appendix B: Privacy Considerations from the Department of Public Instruction.

The Statewide Patron Database model is straightforward in design. Participating ILS regions would contribute specific patron data fields on a regular basis (ideally overnight) to a centralized database. This database would allow the ILS regions to access patron data for the purposes of placing holds and checking out materials to any registered library patrons in the state. Communication between the ILS region and centralized database could take place using an ILS communication protocol such as NCIP or automated batch data extractions and imports. This model offers the following pros and cons:

- Pros:
 - Vast flexibility to determine database structure and functions
 - Reliance on vendors would be reduced or eliminated
 - Provides better tools to greatly reduce duplicate registrations and patron privilege abuse
- Cons:
 - Significant financial and staff resources at the centralized level to manage patron database, provide support for ILS changes and upgrades, maintain vendor relations, etc.
 - Significant work and expense to establish policies and governance and setup data mapping
 - Who owns, manages and is accountable for the patron data for each region is murkier
 - The statewide database would possibly be too large to adequately handle resource requests and respond in a timely manner. It would need to be determined if any vendor in the current marketplace can ensure high performance and extremely reliable service

The Traveling Patron model uses a third-party product to allow statewide access without the use of a centralized database. In this model, the ILS regions maintain their patron data as normal but use protocols like NCIP and vendor-provided APIs to communicate with other ILS regions when placing holds or checking out materials to patrons in person.

This model offers the following pros and cons:

- Pros:
 - Proven to work in large-scale environments for many years
 - Less complex and could be implemented more quickly
 - Use of vendor-provided software would provide additional resources and expertise for support and maintenance
 - Possibly higher buy-in statewide due to increased local autonomy – each ILS region has control and “ownership” of its patron data without affecting statewide access
- Cons:
 - Relies on vendor-provided software, thus less design flexibility and possibly higher costs
 - Regional ILS systems and their members provide the bulk of financial and staff resources with some centralized support
 - Significant work and expense to establish policies and governance and setup data mapping

Regardless of the model chosen, the process will require a set of policies that would be determined as part of implementation. The following provides some background and questions for considerations around these policies:

- *Patron Registration Standards*: What standards does the Wisconsin public library community need in order to honor a registration issued by another library? Do we need a policy requiring acceptance signatures and/or state ID checks or do we just accept any registration that meets another public library’s local standards? What tools are used to verify patron addresses? What are the renewal requirements for library cards and address verification?
- *Synchronizing patron status*: If a patron gets blocked at a library for overdues or other policy violations, do we want that status to get transmitted along with the registration information? If so, do we need to standardize blocking thresholds (at a dollar amount or number of items overdue) or do we just accept any block that meets another public library’s local standards?

- *Shared Data*: In order to ensure privacy, ILS consortia will only be required to share name, address, date of birth and contact information between systems for statewide library card access. There may be the need for an additional field depending on the policy for synchronizing patron status discussed above.
- *Eligibility*: Policies on eligibility will need to be established. The workgroup suggests that cards issued to individuals meeting Wisconsin residency requirements will be eligible to use this service and cards issued to organizations (schools, daycares, senior centers) or for special use (teachers, non-residents, homeless) will not be eligible to use this service. Policies for how patrons who live out-of-state are served will need to be developed.

The process has some additional requirements:

- Each participating ILS must be able to transmit a file with all eligible patron data daily to a centralized database
- Both the centralized staff and the regional ILS consortia staff will need to coordinate to ensure patron registration data meets the shared data standard and work with libraries to remedy any issues
- Each participating ILS must be able to provide a technical interface that allows patron information to be created or updated on demand
- All items checked out to a patron should appear in the patron's home library account, along with renewing options clearly viewable

For either of these models to be successful the following questions and concerns must be carefully considered during implementation:

- Patron municipality data is very important for cross-county borrowing payments but is not coded uniformly between ILS consortia. There would need to be a mechanism to do so, which could be a technical requirement for a crosswalk, a lookup against Census data, reliance on frontline staff to standardize data when registrations occur, or a standardized code that represents patron municipality data
- Data security practices and concerns with patron data transmittal and storage
- Affordability concerns with both proposed models
- Record retention, purging schedule and purging responsibilities of patron data and transactional history
- Balance between providing the same experience for all patrons and allowing individual libraries to preserve their particular identity and branding

INTER-ILS RESOURCE SHARING SOFTWARE

The Inter-ILS resource sharing software provides the background processing necessary to fulfill the requests between participating regional and local ILSs made through the discovery layer. It will automatically facilitate the fulfillment of materials found on the discovery layer but located in disparate ILSs.

Patrons will place holds on materials presented to them through the discovery layer. Policies will need to be determined about the number of items that can be placed on hold. The inter-ILS resource sharing software will communicate with regional ILSs and other participating libraries to identify which libraries will be able to fulfill a hold. The expectation would be that holds would be prioritized to minimize time spent in delivery. Title paging (bibliographic-level holds) will be generally used unless a specific item is needed by the patron.

Any loan request filled via the statewide discovery layer and the regional ILS systems will be done as a standard circulation transaction, a direct transaction between the patron and the owning library, with the patron primarily responsible for the care and safe return of the item.

As such, some circulation considerations will be needed:

- Loan periods: Loan periods will need to become more standardized over time as local control permits
- Owning or checkout library rules: Items borrowed through the discovery layer would be circulated according to the rules of the library from which the item is checked out rather than the library who owns the materials
- Fines: Decisions about fine rates or being fine-free will continue to be decided at the local level. The group recommends that the fine funds will not be returned to the library that generated them but will be kept at the library where they were collected.
- Payments for other charges: Payments for lost materials, collection agency fees, damaged item charges, part-missing charges and locally-generated fees (such as copier fees, new card fees, etc.) will return to owning/generating libraries
- Lending models: Lucky Day and rental collections would be allowed. Other lending models will be considered as they emerge
- Communication with patrons: Communication with patrons about availability of their holds, due dates and fines will need to be standardized

The software should have the ability for local library controls to be applied in areas such as loan periods, fine amounts and restrictions on circulating material types.

The scoping of which libraries are selected for fulfillment of a particular hold at a specific pickup location will be a key consideration. The workgroup suggests that those providing the delivery service should be consulted on how scoping is implemented to determine the appropriate order for libraries to be considered for fulfillment.

For more information on the inter-ILS resource sharing software, see Appendix A: Statewide Resource Sharing, Minimum Product Requirements.

HELP DESK SERVICES

The model includes help desk services to support the statewide discovery layer. While the intent is not to replace the help provided by the regional ILSs, the system will be able to scope requests and return requests to regional ILS responders as needed. Requests will also ideally be able to move efficiently to other staff for help, including delivery staff, continuing education staff and technology staff. After-hours access to support personnel will be available. There will also be a help center to house documentation and training resources, including password-protected sections not appropriate for general users. Support materials for patrons will be developed with individual libraries disseminating the materials at the local level.

SHARED ILL PLATFORM

When the workgroup began investigating how to improve ILL services in the state, three themes rose to the top:

- Ease of use for staff: Staff are frustrated having to use multiple software platforms to manage materials coming from different places
- Better access for patrons: Patrons currently need to use different databases with different loan parameters
- Equal access: Improve access to ILL to everyone in the state

To address these themes, the workgroup is proposing a two-fold model of a shared ILL platform with regional/state Resource Sharing Hubs. The platform is described in this section, and the hubs are described in the next.

A robust ILL platform will provide access to materials found at other library types in the state and, ideally, at out-of-state libraries as well as for materials not deliverable through the discovery layer. While the hope of the workgroup is that this can be done with one platform, the workgroup recognizes that this will be contingent on what is available and affordable in the marketplace. The priority would be to keep the ILL environment within the state, which currently includes K-12s and academic libraries, intact.

It will also act as a safety net for those public libraries who cannot participate in the discovery layer/inter-ILS resource sharing platform. Having a single ILL platform for most libraries in the state will provide the opportunity for efficiencies in negotiations and potentially reduce costs, along with allowing centralized staff to provide training and develop materials to support the single platform. While the scope of this workgroup is public libraries, it is suggested that the ILL platform be scalable to serve all types of libraries in Wisconsin, including K-12, academic and special libraries.

The platform should have the ability to search and place borrowing requests on items in ILSs connected via the discovery layer, as well as non-participating ILSs and external libraries and consortia. It should allow for ILL requests to be placed with minimum need for staff intervention, which requires the ability for individual libraries to adjust local lending policies and configurations within the platform. For example, the platform should allow for libraries to indicate that they will not lend AV materials so requests placed by patrons will not be sent to them unnecessarily.

The transactions on this platform would be direct transactions between the requesting library (acting on behalf of a patron) and the loaning library, with the requesting library being primarily responsible for the care and safe return of the item.

The workgroup suggests that ILL be done using existing barcodes for in-state public libraries rather than utilizing a wrap or additional local barcode. This practice will allow for returns to occur at any library in the state. RFID tags could also be used in those libraries that have implemented them.

For more information on the shared ILL platform, see Appendix A: Statewide Resource Sharing, Minimum Product Requirements.

STATE AND REGIONAL RESOURCE SHARING HUBS

The workgroup's model calls for support for resource sharing at both the regional and state levels. The regional Resource Sharing Hubs would provide services related to ILL within a set region of the state. The roles for the Resource Sharing Hubs are as follows:

Regional Resource Sharing Hub responsibilities:

- Provide training and expertise to staff at the local level
- Coordinate delivery of materials within the region

- Monitor lending request progress and intervene when there is an issue
- Monitor borrowing request progress and intervene when there is an issue
- Refer requests to libraries outside the ILL system when libraries within the system are not able to lend
- Process subject (manually created) requests for materials not found by a regular ILL search
- Track returns and moderate disputes in cases of lost or damaged items
- Provide staffing support to the other regions and state in the case of temporary staff shortages
- Provide feedback to local libraries about popular ILL items that might be considered for purchase instead of ILL
- Provide ILL services (such as mediating requests) for libraries in the region as feasible

While some of the roles of the regional Resource Sharing Hubs mirror more traditional “ILL clearinghouse” functions, the workgroup visualizes the regional hubs as providing leadership in resource sharing in a region, working closely with the ILS staff to understand the needs of the region and providing support to create dynamic and future-facing resource sharing solutions.

State Resource Sharing Hub responsibilities:

- Monitor software function and work with vendor to maintain optimal performance
- Monitor software advances among competitors and recommend/manage migration if necessary
- Provide training and expertise to staff at the regional level
- Coordinate referral of requests to non-public, in-state resource sharing partners
- Refer requests to non-LVIS libraries (libraries that charge fees)
- Monitor regional performance and intervene when there are possible issues
- Provide staffing support to the regions in the case of temporary staff shortages
- Provide feedback to regions about popular items not likely to be available through ILL
- Promote and coordinate the use of a single ILL system for all state public libraries
- Manage procurement and licensing of single statewide ILL system
- Manage procurement and licensing of ILL system for referring requests out of state
- Provide guidelines and best practices to ensure cooperative resource sharing statewide and beyond and organize working group to update state ILL guidelines as needed
- Act as central clearinghouse for referring requests outside of statewide system if needed
- Manage statewide ILL statistics and reporting

- Coordinate and promote specialized resources for statewide resource sharing, such as book kits and early literacy kits
- Grow and maintain cooperative relations with regional sharing consortia such as MINITEX

Requests for items not located in the statewide discovery layer will be handled first by regional Resource Sharing Hubs, who will check requests for accuracy and build lender lists of available libraries in the state to refer requests to public and non-public libraries. These Resource Sharing Hubs would be able to refer requests to non-public libraries (K-12, academic, etc.) as well as public libraries. If a lender list could not be built at the regional level, the request would move to the statewide Resource Sharing Hub for a final review of possible lenders. The statewide Resource Sharing Hub would also be able to refer requests to out-of-state partners on behalf of libraries if the regional Resource Sharing Hub is unable to do so. Any loan request unable to be filled via the statewide discovery layer is an ILL, whether within or outside Wisconsin. Copying of articles or book chapters are supplied via ILL, either in-state or outside of Wisconsin.

WHY THIS MODEL

While the model proposed by the workgroup has a lot of elements and complexity, the workgroup feels that it provides consistency, efficiency and equity through:

- *An improved patron experience:* Patrons would have a single, consistent interface to discover most resources available to them through public libraries (and, over time, other types of libraries). Patrons would have the flexibility to receive and return items where they would like, along with the ability to find items geographically nearby for immediate pickup.
- *Software standardization:* The shared discovery layer, background components and ILL platform would provide a level of standardization of software being used in the state for these key resource sharing functions. This would allow all libraries who want to participate to have the same experience while allowing centralized staff to offer training and support for the products.
- *Expertise, consulting and collaboration at the state level:* While the model calls for regional ILSs, the model tries to bring these regional ILSs together as much as possible, finding ways to collaborate and gain efficiencies while still having independent ILSs. The centralized staff would provide expertise and research to help regional ILSs move forward without each having to “reinvent the wheel” as they evolve.

There is one element within the model that may need further justification: regional ILSs.

REGIONAL ILSs

The workgroup recognizes that some in the community will feel that this recommendation does not go far enough because it does not recommend a single statewide ILS. The workgroup did consider a single ILS and other options and adopted the proposed model because of the following reasons:

EXPERIENCES OF OTHER STATES

Many states (e.g. North Carolina, Indiana, Georgia and Colorado) have labored on a statewide ILS and yet have not achieved that goal. Larger cities (e.g. Durham, NC; Fort Wayne, IN; Atlanta, GA) or better-funded libraries often have the financial means to provide high-level services on their own and thus do not participate in the statewide ILS. This results in visible and hidden barriers to service as well as other service inequities for citizens of those states. However, many states offer statewide resource sharing with linking between separate ILSs or have a statewide catalog/discovery layer. Michigan's MelCat and the Massachusetts Commonwealth Catalog are two examples of this kind of successful collaboration.

SUSTAINING EXISTING LEVELS OF SERVICE

The intent of the PLSR process is to create more equity in the state without harming the level of service already in place. With a statewide ILS, some existing regional ILSs would likely lose features and services that they currently have. The goal of the proposed model is to give everyone the opportunity to increase service over time rather than immediately create winners and losers.

THE PROPOSED MODEL BEST MEETS THE WORKGROUP'S DESIRED OUTCOMES

The multiple ILS/single discovery layer eliminates obstacles to access; empowers staff and patrons with an accessible, fast, secure and easy-to-use interface designed to accommodate changes; provides consistent training and support for all libraries and patrons; and ensures all libraries in the state have access to these resources regardless of size. Emphasizing the statewide discovery layer means a more immediate improvement in patron services, even if ILSs remain as currently structured.

FLEXIBILITY FOR THE FUTURE

The best way to get all public libraries involved in the process and not remain as stand-alone ILSs is to ensure certain incentives exist for everyone. The idea is to provide a technology framework that is flexible so that it can accommodate change. Keeping the regional ILS model allows libraries to maintain some autonomy even as they move at a more comfortable pace towards growing collaboration and standardization. The technology is robust enough to adopt linked data, FRBR compliance and other trending technologies.

Making changes in incremental steps will allow for the greatest buy-in from libraries and ILS consortia across the state. The model does not exclude the possibility of a statewide ILS in the future.

However, the workgroup understands that immediately moving towards a statewide ILS would be a disruptive and expensive project, and felt the best compromise was to start with a statewide discovery layer that allowed all libraries to retain their current ILSs. When current systems are ready for merging and the technology environment supports it better, that evolution can take place without major disruption to patron access.

STAFFING MODEL

The workgroup recommends a staff of 19 FTE and additional positions for ILL support in each region to provide the services included in their model. Other than the regional ILL support positions, the staff is not regionally based, providing services to the state as a whole.

The location of the staff would vary by roles. Regional ILL staff would need to be located within the regions they serve. They could be housed at the delivery hub locations or nearby because of the need to move physical materials. If the discovery platform, inter-ILS resource sharing, or shared ILL platform is hosted on local servers, the technical staff that would need physical access to those servers would need a space to work in the same building or nearby.

The model includes two FTE co-directors, one with expertise in discovery and one with expertise in ILL. The primary purpose of this role is to provide overall direction for the team that will provide the services described in the model. These positions would require an MLIS or equivalent and advanced knowledge of resource-sharing theory and practice.

Their primary functions would be:

- Long-term and near-term planning
- General administration and management of the team
- Budgeting and finance decisions related to the services
- Managing procurement and licensing of discovery layer software
- Negotiating with vendors
- Coordinating information sharing among ILS regions on matters concerning statewide resource sharing
- Advising, facilitating and motivating governing bodies and subcommittees

- Managing statistics and reporting
- Managing the state level ILL services
- Growing and maintaining cooperative relations with out-of-state regional sharing consortia such as MINITEX

The rest of the staff is divided into six distinct service area roles as described below:

Centralized training and consulting (1 professional FTE and 2 support staff FTE)

The primary purpose of this role is to provide consultation, coordination, reusable materials and “boilerplate” policies for a train-the-trainer based structure across the state. This staff provides a common source of in-depth training for individuals who are responsible for serving as regional ILL coordinators or other staff performing tasks related to requesting, sending and receiving items via ILL.

Their primary functions would be:

- Creating marketing material for libraries to customize for statewide services and coordinating such activities among regional ILSs as feasible and desirable
- Producing support documentation for staff and the public for statewide services and coordinating such activities among regional ILSs as feasible and desirable
- Maintaining video training and centrally available catalog of training materials for both statewide and regional services
- Acting as help desk for staff questions related to the statewide services
- Providing training to staff at a local level for statewide services
- Working in conjunction with staff in other areas (public services, metadata, etc.) to develop documentation, training videos and hands-on training.

Public services support coordination (1 professional FTE (MLIS) and 2 support FTE)

The primary purpose of this role is to coordinate and support the provision of public services across the ILS regions in the state.

The professional staff would be required to have expertise in public service ILS functions. The support staff would have expertise in data, training and policy.

Their primary functions would be providing support such as:

- Troubleshooting software behaviors related to the public service features of the statewide services

- Loading, extracting or modifying patron records in bulk
- Recommending best practice workflows related to statewide services and the intersection of statewide and local services in order to maximize the features of the statewide services
- Creating and running reports in the statewide service software
- Assisting libraries and regional ILS staff with generating and maintaining documentation specific to the software features, bibliographic standards and staff workflows that have been developed
- Serving as a facilitator, organizer and motivator to related task forces or committees
- Maintaining an awareness of statewide services policies and configurations
- Facilitating communication with and awareness of public services across all regions

Metadata and procurement coordination (1 professional FTE (MLIS) and 2 support FTE)

The primary purposes of this role are to coordinate how metadata is created and managed across regional ILSs in the state as feasible and desirable; to ensure that metadata across the state achieves a basic level of interoperability with discovery layer, inter-ILS resource sharing and ILL platforms; to assist regional ILSs in establishing and maintaining rapid, efficient procurement of library materials via established relationships with vendors (e.g. EDI procurement) in order to maximize the speed and efficiency of procuring metadata.

The professional staff would need expertise in library metadata schemas, metadata indexing, interoperability standards and protocols, library policies and aspects of regional metadata standards, large batch data manipulation and interpersonal relations. The support staff would need expertise in library cataloging workflows and training and library procurement.

Their primary functions would be:

- Assisting libraries and regional ILSs with establishing authority and cataloging standards
- Informing and assisting libraries and regional ILSs when metadata policies change at the state level
- Assisting libraries and regional ILSs with tools to process large numbers of bibliographic records to maintain metadata quality
- Assisting libraries or regional ILSs with analyzing reports related to metadata in statewide services
- Ensuring that libraries and regional ILSs deploy bibliographic standards and practices that align with patron discovery goals

- Generating and maintaining documentation specific to the software features, bibliographic standards and staff workflows that have been developed to align regional and statewide bibliographic practices
- Serving as a facilitator, organizer and motivator to related task forces or committees
- Maintaining an awareness of ILS software policies and configurations related to metadata
- Facilitating communication about and awareness of metadata across all regions
- Assisting libraries and regional ILSs in researching and planning for new standards such as BIBFRAME
- Managing regional-to-state sharing of bibliographic and/or patron records

Technical administration and coordination (2 professional FTE (MLIS or equivalent) and 3 support FTE)

The primary purpose of this role is to provide technical coordination for all platforms in the statewide services and between the statewide services and regional/local ILSs. Another purpose of this role is to manage how the discovery interface looks and behaves. This staff plans, configures and implements a consistent user experience at the state level and works with individual libraries to achieve local discovery goals within the established guidelines.

The professional staff would need to have expertise in integrating ILS systems with third-party products, vendors and software. They would also need systems administration, network administration and planning capabilities, along with working knowledge of security issues and technologies. The support staff would need expertise in discovery layer customization, web standards, web graphics, typographic styles, web programming, user experience (UX), responsive design, data analysis and visualization and systems administration and data security.

Their primary functions would be:

- Deploying and utilizing platforms, technologies and programming languages to support statewide services. Determining requirements for servers and developing procedures for server maintenance in conjunction with technology staff
- Providing consulting and communication with technology staff around security issues for statewide services
- Monitoring network services and hosting for statewide services
- Providing authentication for statewide services and consulting on authentication for libraries and regional ILSs
- Working with vendors on implementing discovery layer customizations

- Providing support for libraries or regional ILSs reporting problems with the discovery layer and technical problems with the other statewide platforms.
- Maintaining awareness of, develop documentation for and devise fixes for user issues associated with the statewide platforms.
- Coordinating a consistent user experience on all statewide platforms and between the discovery layer and regional ILS systems
- Developing and running reports as required to fulfill these roles

ILL administration and coordination (1 professional FTE (MLIS) and 2 support FTE)

The primary purpose of this role is to provide “boots on the ground” ILL coordination throughout the state.

The professional staff would need advanced knowledge of resource sharing theory and practice.

Their primary functions would be:

- Monitoring ILL platform software functions and working with vendors to maintain optimal performance
- Monitoring software advances among ILL products and recommend upgrades and migration as needed
- Providing training and expertise to regional-level ILL staff
- Coordinating referral of requests to non-public, in-state resource sharing partners and out-of-state partners as appropriate
- Monitoring regional ILL performance and providing support and consulting as needed
- Providing backup staffing for regional ILL hubs
- Providing feedback to regional ILL hubs about popular items not likely to be available through ILL
- Promoting and coordinating the use of the statewide ILL platform
- Managing the procurement and licensing of the statewide ILL platform and platform for referring requests out-of-state
- Providing guidelines and best practices to ensure cooperative resource sharing statewide and beyond
- Organizing the updating of state ILL guidelines as needed
- Managing statewide ILL statistics and reporting
- Coordinating and promoting specialized resources for statewide resource sharing (book kits, early literacy kits, etc.)

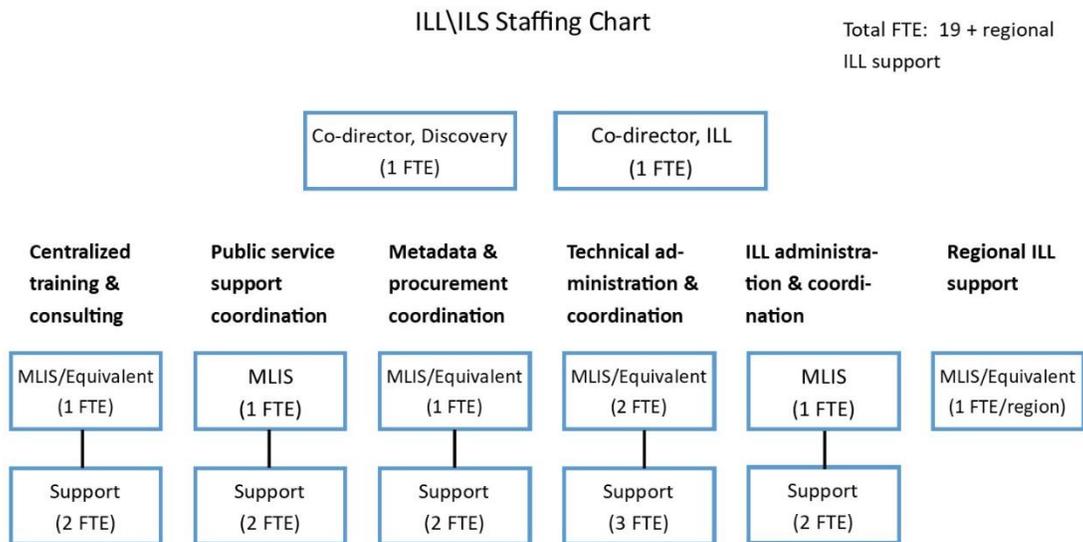
- Growing and maintaining cooperative relationship with out-of-state regional sharing consortia such as MINITEX

Regional ILL support (at least 1 MLIS or equivalent FTE in each regional service center/resource sharing hub)

The primary purpose of this role is to provide dedicated support for ILL within each region. These positions would fulfill the roles outlined for the Regional Resource Sharing Hubs, including providing training and expertise to staff in the region, coordinating shipping of ILL materials, monitoring lending and borrowing request progress in the ILL platform, referring requests outside of the ILL system, providing ILL services (such as mediating requests) for libraries and processing subject requests.

The workgroup arrived at this model by reviewing staffing numbers for similar services in other states, especially Michigan, and also reviewing staffing information from DPI. A subset of the workgroup took roles and competencies that were defined by the workgroup and, using the information gathered and their own collective years of experience, developed the staffing model. Others from the workgroup shared their experiences to refine the model further.

Below is an organizational chart of the staffing model proposed by the workgroup. All of the positions at the second level would report to one of the two co-directors. Actual reporting lines would be determined as part of implementation.



IMPLEMENTATION RECOMMENDATIONS

The workgroup recommends hiring the two co-directors to begin planning for the phased implementation of the proposed model.

The workgroup has identified four areas of planning on which to focus first:

- Policy and governance discussions
- Working toward larger ILS regions
- Returning most library materials anywhere in the state
- Implementing a pool of funds to help support out-of-state ILL
- Determining need and finalizing roles for centralized staff

POLICY AND GOVERNANCE DISCUSSIONS

Throughout this process, the workgroup has recognized that it is not the technical issues that will be the largest challenge to implementing their proposed model but the policy issues. Given the wide range of policies and governance among regional ILSs, discussing these differences and establishing some consistency will be required as a foundation on which to build this model. While the workgroup has suggested some starting points throughout the report, they propose that any implementation start with discussions to identify which policies and governance elements need to be made more consistent or standard in order to build the inter-ILS resource sharing model proposed and to create larger units of service for the regional ILSs. Once these elements have been identified, discussions should take place to determine the policies or standardizations the community will support.

The workgroup recognizes that there are complex situations in the state that could be a barrier to the level of resource sharing envisioned by the workgroup. There are, for example, situations where the borders between systems are closed for interlibrary loan, forcing patrons to go in person to borrow materials from the cross-system library. There are sometimes fees for patrons to borrow materials from libraries across system borders. These concerns are not trivial and would have to be thoughtfully considered as a part of these discussions.

WORKING TOWARD LARGER ILS REGIONS

While this is occurring, other work can be done to move forward on larger units of service for regional ILSs. The model calls for larger units of service for regional ILSs, with the ultimate goal to have ILS regions that meet the desired service outcomes of the workgroup and, as much as possible, align with those proposed by the Delivery Workgroup. The Delivery Workgroup recognizes that their regions may need to adapt to larger regions for the ILSs as they form.

The workgroup recommends a series of incentives (statutory, monetary, service quality) to encourage advanced partnerships, shared governance and/or mostly voluntary library system mergers to form larger, more efficient ILS service regions where such actions will accomplish the goal of improving service equity.

Some regions have factors that make it more logical for them to consider larger units of service sooner than others:

- Within the Fox Valley region, major metropolitan areas are divided into separate ILSs, causing confusion and frustration among patrons who live and work within the region and do not understand the borders created by current ILS configurations. The Winnefox Library System is working with OWLSnet (which encompasses the OWLS and Nicolet Federated Library Systems) on an investigation to potentially combine the ILSs in the region.
- With the ongoing budget constraints in the Southwest Wisconsin Library System, combining ILSs with another area could be a way for the system to provide the service without doing it themselves.

Other areas of the state should be examined to identify other logical consolidations. Factors such as the current use of the same ILS software, geographic proximity and delivery considerations could be used to find a natural progression towards larger regional ILSs. Part of this identification could be finding opportunities for renegotiated contracts at the time of migrations and mergers.

Another step should be to capitalize on the experiences of recent ILS consolidations in the state:

- The Monarch Library System was created from the Eastern Shores Library System and the Mid-Wisconsin Library System. The ILSs from the two systems were merged into one at that time.
- The Bridges Library System added a county that was formerly part of the Mid-Wisconsin Library System, and those libraries were added to their ILS.
- The SHARE consortium has grown over the last few years, with both the Kenosha County Library System and the Arrowhead Library System joining the consortium and abandoning their separate ILSs.

Collecting both the experiences and materials from these consolidations and creating a repository of information that others could use will help to facilitate future consolidations. As

others, such as Winnefox and OWLSnet, begin the work of consolidations, their processes could also be documented to help others.

RETURNING MOST LIBRARY MATERIALS ANYWHERE IN THE STATE

One step toward the model's vision of ease-of-use for patrons would be to facilitate the return of public library materials to any library in the state. This has historically been the intent of the statewide delivery service, and this step could be implemented with little policy discussion or expense for items borrowed from public libraries in the state. It would not include items that were borrowed from other types of libraries within Wisconsin or from out-of-state libraries.

Items would need to have some form of ownership label to identify where the item should be sent. The returning library would need to attach a routing label to the item that includes the date the item was returned.

Items that are returned to libraries outside of the owning library's ILS would not be able to be checked in at the return location, potentially incurring overdue fines by the time it reaches its home library. To prevent this, libraries would need to backdate materials to the date on the routing label. The ability to backdate on-demand within the ILS and automated sorters (as some libraries use them for checking in items) would need to be confirmed prior to implementation.

An alternative solution could be to develop a web application to facilitate the process. The system would allow libraries to add notes and would print the shipping label pre-filled. The information would be tracked on both the returning and owning library accounts within the system. Regional ILSs could integrate the system with their ILSs to allow items to be checked in and put into transit in the ILS. The system could also email the owning library to let them know the item is on the way.

IMPLEMENTING A POOL OF FUNDS TO HELP SUPPORT OUT-OF-STATE ILL

One of the barriers that prevents libraries from borrowing materials from out-of-state is the cost for shipping materials back to the lending libraries. To address this issue and providing more equity to out-of-state materials, the workgroup is proposing a fund to cover the costs of return postage, including the mailing supplies. Implementing this pool of funds would be relatively easy and would help with equity issues related to out-of-state ILL.

DETERMINING NEED AND FINALIZING ROLES FOR CENTRALIZED STAFF

A core component of the workgroup's model is the centralized staff who would provide a variety of functions to support resource sharing throughout the state. The expectation is that these positions would not be hired at once. The workgroup would encourage a period of needs

analysis and planning to determine the most valuable shared services that the centralized staff could provide to the community in order to prioritize the hiring and work of the staff. This analysis period would be led by the co-directors who will be the first hires for this project and will establish the roll out and implementation of the model.

The workgroup also recognizes that the current WISCAT program provided by the Department of Public Instruction (DPI) aligns with some components of the proposed model. Gail Murray and Ben Miller from DPI analyzed documents from the workgroup and indicated how current services align with the proposed model. This analysis is provided as Appendix C: WISCAT/PLSR Comparison.

ESTIMATED BUDGET

The workgroup identified the following areas to include in the budget for their model:

ANNUAL STAFF SALARIES

Costs for the staffing model, as described above, were developed using the common staff salaries described in the Project Manager's report (linked from <http://www.plsr.info/workgroups/workgroupreport>), salaries as determined by the Technology Workgroup for technical positions and the Human Resources Subcommittee recommendation of 28% for benefits. Because we do not know the number of regions that may be in the final structure, we estimated six to eight Regional ILL hub staff positions. The total annual staff salaries would be between \$1,734,797 to \$1,885,837. The detailed calculations are included in Appendix D: ILL/ILS Staff Salaries Calculations.

As described in the implementation section above, the intent would be to begin with only the two co-directors and grow the staff as services were rolled out.

PLATFORM COSTS

The workgroup approached several vendors in order to get pricing estimates for the discovery layer, inter-ILS resource sharing software and the shared ILL platform as described in the model. They supplied the vendors with the document in Appendix A: Statewide Resource Sharing, Minimum Requirements. The vendors responded with information in the areas outlined below. It is important to note that none of these estimates are negotiated prices and may vary significantly when negotiated as part of an active procurement process. In addition, many technical aspects would need to be analyzed as part of that process to ensure that the platform quoted would serve the model most effectively.

- *Annual subscription:* The annual fee for software licensing and support. These fees typically increase by some negotiated rate annually, so amounts provided would be for year one. For the discovery layer/inter-ILS resource sharing software, the annual subscription cost ranged from \$272,782 to \$763,500 including hosting as described below. For the shared ILL platform, the annual subscription cost ranged from \$472,500 to \$641,135 including hosting as described below.
- *Hosting services:* The annual fee for maintaining the server platform and providing the network connections necessary for hosting the product. In some cases, if local hosting is available, costs may not be incurred if the technology group were to provide hosting on their server platform. Hosting platforms typically offer backups and some form of Service Level Agreement (SLA) to cover expectations for outages. Two vendors (one for the discovery layer/inter-ILS resource sharing software and one for the shared ILL platform) included hosting as part of their annual subscription fee and did not appear to offer self-hosted options. The other two offered fairly similar pricing, from \$47,250 to \$51,500 annually. These amounts are included in the annual subscription costs above for ease of comparison.
- *Implementation:* The one-time fee for initial setup and data mapping. Fees for the discovery layer/inter-ILS resource sharing software ranged from \$117,655 to \$230,000. Fees for the shared ILL platform ranged from \$78,000 to \$866,250.
- *Training:* A variety of training approaches were offered by the vendors. For the discovery layer/inter-ILS resource sharing software vendors, one offered a \$30,481 annual training and consulting package for central staff and another offered a one-time \$126,000 on-site training program. For the traditional ILL vendors, one included a \$1,800 per admin training package that would be required whenever a new administrator was hired.
- *Managed services:* An annual fee available for a higher level of support service. This would be the fee for the vendor who would act in conjunction with on-site staff administrators and may not be incurred if adequate staff are retained. The shared ILL platform vendors did not include their costs, but one did mention that it was included as part of their base package. The discovery layer/inter-ILS resource sharing software vendors quoted between \$50,000 and \$84,000.
- *Catalog enrichment services:* An annual fee for additional content to enhance the patron experience of the discovery layer. Subscription service A, which would include book jackets, recommended titles, tagging, professional reviews, series information, summaries, Lexile reading levels, reviews, author information and award information, would cost an estimated \$550,000 - \$625,000 per year based on 2015 statewide circulation numbers. Subscription service B, which would include series information, read-alikes, appeals, reviews, e-resource recommendations, Lexile reading levels and

links to other extras would be \$109,000. For an additional \$72,950, additional access points using linked data standards and controlled vocabulary would be available. One of the discovery layer/inter-ILS resource sharing software vendors has an exclusive relationship with subscription service A, limiting the options with that particular vendor.

- *Additional services:* Some vendors also priced out costs for additional services, such as database integration, electronic resources platform integration, or enriched content. Because these amounts were not standardized among the vendors who responded, these are not included in the costs.

STATEWIDE CYBERINSURANCE/SECURITY

Because the discovery layer and inter-ILS resource sharing software will access or retain important patron data, the workgroup felt that having statewide cyberinsurance would be valuable, not just for the centralized service, but also for the regional ILSs due to the interdependency among them. The workgroup identified the annual cost for one system and then multiplied by 14 (one for each regional ILS in the state and one for the centralized services) for an annual cost of \$93,660. This cost is not negotiated and could be significantly lower.

OUT-OF-STATE ILL COSTS FOR SHIPPING

One of the barriers that prevents libraries from borrowing materials from out-of-state is the cost for shipping materials back to the lending libraries. To address this issue and providing more equity to out-of-state materials, the workgroup is proposing a fund to cover the costs of return postage, including the mailing supplies. The annual cost is estimated to be \$40,443, based on the total ILL requests shipped outside of the delivery system from 2014-16, multiplied by the average shipping cost of USPS Rate Mail and an estimate for packaging materials, with an additional 20% for growth added.

A summary table of the budget for the workgroup is included as Appendix E: ILL/ILS Budget Summary.

With the exception of the cyberinsurance, which is being purchased by some systems for their regional ILSs, the proposed costs are not directly offset by anything currently being spent at the system level for regional ILSs. However, the proposed shared staff could introduce efficiencies that will allow for less funds to be spent at the regional ILS level eventually and will help to equalize service throughout the state. If the discovery layer is used to replace existing discovery layers and catalogs at the regional ILSs, as the workgroup recommends, cost savings would be realized, both in software savings and staff costs for maintaining the catalogs.

It is unclear at this time what the relationship would be between the resource sharing services provided by the Department of Public Instruction. It is feasible that some of these costs could be offset by funds spent by DPI. For more information, please see Appendix C: WISCAT/PLSR Comparison.

The workgroup recognizes that there may be funding limitations that prevent the implementation of all elements of the model at once. While the implementation plan above provides priorities assuming all will be funded, the workgroup also created a list of priorities of the software components of the model based on funding. Some of these areas may have dependencies and may not be easily separated from one another. Some of the functionality is packaged together in known software packages while others are not.

Priority 1: Inter-ILS resource sharing software and the centralized bibliographic database. An important piece of the service model involves software that enables all state residents access to resources throughout Wisconsin. This first priority would connect existing ILS systems, provide the ability to request items for delivery across the state and allow libraries to serve walk-in patrons from any community. Central to this component is a centralized bibliographic database that would hold master records for all state ILS holdings. The workgroup strongly believes that a centralized bibliographic database will provide the best chance for success and a positive experience for patrons and library staff.

Priority 2: Shared ILL platform. In the event that the titles requested by a patron are not available within the holdings provided by the inter-ILS resource sharing software, the use of an Interlibrary Loan application will be essential. This software would be used to fill requests for materials from sources both inside and outside the state of Wisconsin. An ILL platform of some kind is a necessary complement to the inter-ILS resource sharing software and would also provide libraries the ability to meet current levels of service.

Priority 3: Discovery layer software. The discovery layer component of the service model is important because it is the interface with which patrons and staff interact with the resource sharing software. It is, in effect, the “public face” of resource sharing in the workgroup’s model. It is conceivable to use the inter-ILS resource sharing software without a discovery layer and use the catalog provided by that software, but there would be a loss in functionality. For example, a discovery layer would provide the ability to display holdings from OverDrive, while the catalog provided would not. The concept of the “one stop shop” for state resources would suffer if the discovery layer were not implemented.

Priority 4: Patron access. Sharing of patron information is a critical piece of the model. Information from patron records is necessary to page materials and serve walk-in patrons from any community.

EVALUATION OF RECOMMENDATIONS AFTER IMPLEMENTATION

The group discussed how its recommendations could be evaluated after implementation and tied the evaluation back to their original desired service outcomes:

Outcome	Evaluation Method
<p>Eliminate obstacles to access</p> <ul style="list-style-type: none"> • Allow patrons easy access to all materials across the region and state • Advocate for standardization of circulation parameters and fines wherever possible • Use linked data to increase the likelihood of discovery of materials in Google and other search engines 	<ul style="list-style-type: none"> • A survey seeking patron and staff assessment, as well as anecdotes, gauging service improvement • User group meeting feedback
<p>Empower staff and patrons with an accessible, fast, secure and easy to use interface designed to be extensible</p> <ul style="list-style-type: none"> • Allow for one-stop shopping of all available resources: Overdrive, programming, readers advisory, databases, etc. • Scoped views limited to regions but easily expanded to include other regions and the state • Full-featured and mobile-ready on day one • Patron-centered interface that allows for simple searches but provides advanced searching for staff and power users • The interface allows for a myriad of self-service options wherever possible • Data is provided that is both usable and granular to the level of the library location 	<ul style="list-style-type: none"> • A survey seeking patron and staff assessment, as well as anecdotes, gauging service improvement • User group meeting feedback
<p>Consistent training and support for all libraries and patrons</p> <ul style="list-style-type: none"> • Areas of support are small enough that libraries are confident that they have the support they need • Good documentation • Consistency of interface between staff and patron 	<ul style="list-style-type: none"> • Survey staff • Statistical comparison

applications <ul style="list-style-type: none"> • Development of a professional learning community • Robust support system 	
Equity <ul style="list-style-type: none"> • Ensure all libraries in the state have access to these resources regardless of size • Develop statewide policies that ensure equity in collection development • Ensuring ADA compliance • Incentivize participation 	<ul style="list-style-type: none"> • A survey seeking patron and staff assessment, as well as anecdotes, gauging service improvement

GOVERNANCE RECOMMENDATIONS

The workgroup developed a set of principles to guide their thoughts around how the service should be governed:

- This workgroup recognizes the importance of representation for participating libraries and communities to any decision-making body. A governance structure should include representation from a variety of library sizes and locations and should take steps to ensure fair and equal representation for all stakeholders.
- The governance structure should promote consistency between regions of library service in the state. Vast differences in the way that services are funded and staffed make it more difficult for libraries to collaborate, so both regional and statewide services should strive for uniformity in how services are staffed and paid for.
- This workgroup recognizes the importance of local control, particularly over policies that affect funding and fine structures.
- The overarching goal of this project is to offer library patrons a better experience. When balancing factors, the quality of library service to communities across the state should be a primary consideration.

The areas and consideration for governance for the model include:

- Decisions around the operations of the discovery layer
- Decisions around the operations of the statewide ILL platform
- Decisions around the roles of centralized and regional services
- Policies around patron information sharing
- Policies for resource sharing (discovery layer and ILL), cataloging and authority control, patron eligibility and database standards, compliance and non-compliance, etc.

- Policies for participation including required technological elements
- Best practices for regional ILSs, including governance

GOVERNANCE OF STATEWIDE SERVICES

ADVISORY GROUP

Representation based on factors such as population/size, geography, etc. The ideal size of such a committee would be limited to a functional size, such as three to four representatives per region, and would include a variety of skill sets and backgrounds. This body would explore the issues and needs for decisions and policies regarding:

- The roles of centralized and regional services
- The operations of the discovery layer
- The operations of the statewide ILL platform
- Patron information sharing
- Resource sharing through the inter-ILS resource sharing software and the shared ILL platform, cataloging and authority control, patron eligibility and database standards, compliance and non-compliance, etc.
- Participation including technological elements
- Best practices for regional ILSs, including governance

WORKING GROUPS CREATED FROM THE ADVISORY GROUP

Groups address specific tasks as necessary (ILL, discovery layer, resource sharing software, policy ad hoc committees are examples). These working groups would report to the advisory group and make recommendations. Some areas of focus for working groups could include:

- Decisions around the operations of the discovery layer
- Decisions around the operations of the statewide ILL platform
- Decisions around the roles of centralized and regional services
- Policies around patron information sharing
- Best practices for regional ILSs, including governance

Executive committee: Several automatic appointees, such as a representative from each regional ILS and representation from DPI, plus other members that represent a variety of stakeholders including representatives based on library size, role, etc. Term limits recommended for members not automatically appointed. This group makes decisions to work toward consistency among the regional ILSs in the areas of budgeting, data reporting, policies and other matters where consistency would benefit statewide resource sharing.

In addition to any policies determined by the governance structure created to support the model, it is important to note that there is an existing set of established ILL guidelines in the state¹ and the workgroup is recommending their continued use.

RECOMMENDATIONS AND REQUIREMENTS FOR REGIONAL ILSs

While the workgroup considered the regional ILSs a “black box” and did not go into depth in examining their services, because the success of the described model depends on the robustness of the regional ILSs on which it is based, the workgroup spent significant time discussing recommendations and requirements for the regional ILSs. As described in the previous sections, policies would be developed by those bodies, so what follows are suggestions based on the experience of the workgroup members.

PROPOSED REGIONAL ILS REQUIRED ELEMENTS FOR PARTICIPATION

RESOURCE SHARING REQUIREMENTS

- Agree to resource sharing policies that share materials across the state
- Agree to patron registration standards, definitions and requirements
- Agree to bibliographic record standards, including minimum required fields and the ability to map them to fields used in the larger system
- Agree to patron record standards
- Ability to meet minimum technical requirements to participate in discovery layer, statewide ILL and patron software

OTHER AREAS FOR REGIONAL ILS REQUIREMENTS

The workgroup identified other areas where requirements or best practices may be desirable but did not provide specific recommendations. The creation of such requirements would be the work of the bodies governing the model.

- Requirements for regional ILS staff qualifications
- Minimum ILS governance requirements: These could include bylaws, a representative body that can communicate with other representative bodies or other elements
- Financial requirements: The expectation would be that the participating regional ILSs would be financially able to do so
- Reporting requirements for ILS funding and circulation, which could include consistent reports of funds spent on staff, software, etc. and the source of those funds in order to make comparisons between regions more easily

- Agreement to report a standardized set of data
- Best practices or requirements for item processing for key components, such as location of library ID (ownership label) and location of barcode
- Best practices on the use of RFID: The workgroup would suggest encouraging RFID to provide even more seamless and faster service to patrons

The workgroup would recommend that the regional ILSs sign a legal agreement to participate which would include compliance language to ensure that participants abide by any required cataloging, circulation and patron registration policies.

The workgroup, in conjunction with the Technology Workgroup, also discussed the boundaries of support that would be provided by the newly designed technology services and what would be expected to be supported by regional ILS staff. The list that the two workgroups developed is included as Appendix F: ILL/ILS and Technology Tasks

APPENDIX A: STATEWIDE RESOURCE SHARING, MINIMUM PRODUCT REQUIREMENTS

ENVIRONMENT

Current statewide environment includes:

- State Population: 5.8 million residents
- Current ILS environment:
 - Autographics Illuminar: 1 Instance
 - Innovative Sierra: 6 Instances
 - Innovative Polaris: 2 Instances
 - LibLime Koha: 1 Instance
 - SirsiDynix Symphony: 3 Instances
 - A number of additional stand-alone instances
- Library Statistics (2015 annual report)
 - Number of materials statewide: 22 million (est)
 - Number of registered borrowers: 2.5 million
 - Statewide circulation: 55 million
 - Interlibrary circulation of materials: 8.9 million
 - Total staff: 3,500 (est)

We seek an efficient and cost-effective resource sharing system that builds on the existing technology environment, allowing libraries in consortia and libraries with standalone integrated library systems (ILS) to participate. Any software used for this project will not replace existing integrated library systems.

REQUIREMENTS

A. Inter-ILS Resource Sharing platform requirements

a. Core functionality

- i. Charge and discharge physical items to and from any patron of a public library within the state of Wisconsin.
- ii. Page and fill hold requests for any patron within the state of Wisconsin. Allows both staff-mediated and direct patron requests.
- iii. Ability to communicate with statewide ILL platform and different ILS systems (open source or vendor managed) used within the state via APIs or standard protocols.

- iv. Provides the ability for local library controls to be applied in areas such as loan periods, fine amounts and restrictions on circulating material types.
 - v. Support for metadata standards MARC, RDA and BIBFRAME. Provides a centralized bibliographic database with master work records and uses processes to avoid duplication of bibliographic information whenever possible.
 - vi. Direct communication via API or other protocol with a discovery layer which acts as the statewide public interface (see section B).
 - vii. Ability to communicate with a shared database of patrons for the purposes of circulating materials statewide. Provides access to highest quality available security protocols to protect patron information transferred between servers.
 - viii. Provision of best in class reporting tools to provide statistics and the ability to provide custom reporting on demand. We require circulation and other data is granular to the library location.
- b. Technical specifications
- i. Vendor agnostic with respect to the discovery layer and ILL platform.
 - ii. Scalable to serve all public libraries in the state of Wisconsin.
 - iii. Provides a full-featured, reliable web-based staff client
 - iv. Load balances and routes requests so that additional demand on delivery and on libraries can be minimized while still increasing access to materials
 - v. Built-in capability to provide linked data to expose holdings on the web at both a regional and/or statewide level.
 - vi. Hosted or cloud-based solution
 - vii. Fault tolerant design; built-in redundancies for network or drive failure
- c. Customer Support
- i. 24/7 support; minimum 4 hour response window
 - ii. Organized and recorded training
 - iii. Web ticketing support portal

B. Discovery layer requirements

- a. Core functionality
 - i. Seamless patron-centered discovery and delivery interface.
 - 1. Fast and easy to use for novices; full-featured for expert searchers and staff.

- 2. Allows patron direct requests for library materials with minimal effort.
- 3. Ability for patrons to view status of all borrowed items (ILS & ILL) in a single account.
- ii. Uses best in class technology to consolidate and offer access via API or other protocols to local and statewide resources (e.g., OverDrive, readers advisory products, local collections).
- iii. Full-featured and mobile-ready immediately.
- b. Technical specifications
 - i. Vendor agnostic with respect to the centralized database and ILL platform.
 - ii. Scalable to serve all public libraries in the state of Wisconsin
 - iii. Flexible enough to accommodate future handling of FRBR-ized work records
 - iv. Hosted or cloud-based solution
 - v. Fault tolerant design; built-in redundancies for network or drive failure
- c. Customer Support
 - i. 24/7 support; minimum 4 hour response window
 - ii. Organized and recorded training
 - iii. Web ticketing support portal

C. Interlibrary Loan Platform Requirements

- a. Core functionality
 - i. Ability for patrons to view status of all borrowed items (ILS & ILL) in a single account.
 - ii. Search and place borrowing requests on items in ILSs connected via the discovery layer, as well as standalone ILSs and external libraries and consortia
 - iii. Ability for individual libraries to adjust local lending policies and configuration within the platform (for example, days library processes requests, indicating certain collections as not lendable, etc.)
 - iv. Robust interlibrary loan statistics options for gathering data at the local, regional, and statewide level
- b. Technical Specifications
 - i. Vendor agnostic with respect to the centralized database and discovery layer
 - ii. Scalable to serve all public libraries in Wisconsin, as well as K-12, academic, and special libraries

- iii. Scoping and configuration of multiple structured account types and corresponding permissions, including patron, library staff, regional staff, and statewide staff
 - iv. Provides access to highest quality available security protocols to protect patron information transferred between servers.
 - v. Interoperable with different ILSs and other ILL platforms via various ILL protocols, including Z39.50 and NCIP
 - vi. Hosted or cloud-based solution
 - vii. Fault tolerant design; built-in redundancies for network or drive failure
- c. Customer Support
- i. Weekday support (Monday-Friday 7:30 am to 5 pm)
 - ii. Organized documentation, training, and user group meetings
 - iii. Web ticketing support portal

APPENDIX B: PRIVACY CONSIDERATIONS FROM THE DEPARTMENT OF PUBLIC INSTRUCTION

BACKGROUND

Ben Miller asked members of DPI's Data Warehouse & Decision Support team for guidance on privacy considerations as it relates to a potential patron database as part of the workgroup's service model. This team is responsible for the storage and transfer of large amounts of student data, including sensitive Personally Identifying Information (PII), and is well-equipped to provide this advice in both theory and practice.

SCOPE

These privacy considerations are applicable to both workgroup models to ensure Wisconsin residents are able to use all Wisconsin libraries from a technical standpoint with as little human intervention as possible:

- The collection, retention, and dissemination of patron information from a central server
- The transmittal of patron information between disparate ILS systems

LEGAL

The WI Public Library Records statute [43.30(2)] allows the transfer of patron information to facilitate the borrowing of materials as long as they meet one of these three criteria:

- (a) The library is supported in whole or in part by public funds
- (b) The library has a written policy prohibiting the disclosure of the identity of the individual except as authorized under sub. (3)
- (c) The library agrees not to disclose the identity of the individual except as authorized under sub. (3). (Sub 3 allows a private library to share data with a public library as long as the public library meets one of the 3 above criteria.)

BEST PRACTICE

DPI includes protecting PII as part of its onboarding process for all staff. The training is available for the public. Something similar would be useful in training staff at all levels who would potentially be dealing with PII: <https://dpi.wi.gov/wise/data-privacy/training#Protecting-PII>.

Major takeaways:

- Non-Sensitive information can be shared without concern
 - Director information on a public website
 - Information in a public phone book
 - Name tag

- Context matters. For example, a listing of everyone who checked out the Anarchist Cookbook that only contains non-sensitive PII would be considered sensitive given intellectual freedom concerns
- Sensitive information should only be shared if the person receiving has a legitimate purpose for receiving it.
 - Social Security number (Note: DPI only collects this type of information when absolutely necessary, e.g. background checks of teachers)
 - Gender/race
 - Expulsion status
 - Listing of checkout titles
 - Browsing/search history

The American Library Association (ALA) already has a model PII policy for libraries. ALAs Privacy Toolkit speaks to developing or revising a Privacy Policy. ALA also produced a guidance document on Privacy Guidelines for Library Management Systems. These should be used as guidelines for planning this project. It is best to be thinking about all of these perspectives from the start.

Major takeaways:

- Privacy is essential to the exercise of free speech, free thought and free association
- Favor an opt-in approach over an opt-out approach
- Collect and transfer as little as absolutely necessary to facilitate borrowing
- Only release patron information to law enforcement when presented with a court order.

APPENDIX C: WISCAT/PLSR COMPARISON

BACKGROUND

The ILL/ILS/Discovery PLSR workgroup asked for a comparison of how the current WISCAT program aligns with the workgroup service model currently in development. Gail Murray and Ben Miller analyzed the Executive Summary and Desired Service Outcomes and indicated how current services align with the proposed model.

COMPARISON TO THE EXECUTIVE SUMMARY

“The ILS/ILL/Discovery workgroup envisions larger regions of service for Integrated Library Systems throughout the state, with regional ILSs that are accessible through a single discovery platform.”

- WISCAT acts as a single search interface that allows Wisconsin residents to discover and request materials across both a union catalog comprised of 6.3 million bibliographic records and 90 virtual connections to live catalogs.
- Returned results are de-duped and grouped using an algorithm according to Author and Title (including Subtitle and material designation) fields.

“A robust Interlibrary Loan system will provide access to materials found at other library types in the state and at out-of-state libraries...”

- WISCAT provides public libraries access to materials found at K12, private academic, and special libraries who are also WISCAT licensed libraries.
- The Department of Public Instruction also maintains a cooperative agreement with MINITEX which allows borrowing and lending of materials from public and academic libraries MN, SD, and ND, which are delivered to SCLS Delivery and routed appropriately.
- DPI maintains an OCLC license, ILL clearinghouse staff, and a representative collection of materials that allow WISCAT libraries access to materials from free OCLC lenders (Libraries Very Interested in Sharing, or LVIS).
- Currently, DPI only loans to OCLC and LVIS members from its own in-house collection and does not facilitate lending of materials owned by Wisconsin libraries to OCLC/LVIS members as this would require an additional OCLC license. Libraries wishing to lend outside the state beyond what is available in WISCAT have traditionally maintained an institution-specific OCLC license.

“The discovery platform will utilize a centralized bibliographic database to include holdings information from each ILS, shared and stand-alone, supported by the public libraries of

Wisconsin. Item status will be updated on a real-time basis, while updates to the bibliographic records will be incorporated through nightly record harvesting. This single bibliographic database will provide for better performance for the discovery platform, improved bibliographic control, and de-duplication of records.”

- WISCAT uses a combination of union and virtual catalogs.
- Union catalog holdings are refreshed periodically by libraries manually or via batch upload.
- The virtual catalog is made up of Z39.50 connections to ILSs in Wisconsin and MINITEX.
- Z39.50 connections display item status on a real-time basis, and since the connection is live, updates to bibliographic records display immediately in WISCAT.
- While 90 Z39.50 connections are present in WISCAT, staff and patrons have the ability to scope their selection of libraries to search and to filter results by location.
- The union catalog is searched as one catalog -- scoping is not possible by location before or after searching.

“Additional software or data connections will be used to automatically facilitate the fulfillment of materials found on the discovery platform but located in disparate ILSs.”

- SHAREit, the software behind WISCAT, currently builds lender lists for ILL requests between disparate ILSs using a matching algorithm. This matching algorithm uses different logic than the de-duping algorithm employed in delivering search results and takes library policy into account while building a lender list.
- In 2016, 192,214 requests were placed using WISCAT. 12% (23,176) required human intervention to complete building the lender list.
- In 2016, as well as 2017 to date (11/20), 94% of all requests placed through WISCAT were able to be filled.

“Requests for items not located on the discovery platform will be handled first by regional ILL clearinghouses, who will check requests for accuracy and build lender lists of available libraries in the state to refer requests to public and non-public libraries. These clearinghouses would be able to refer requests to non-public libraries (K12, academic, etc.) as well as public libraries”.

- Currently, participating WISCAT libraries set a default lender, which means that any ILL request which is not filled through an automatically assigned lender string will default to that default lender. Currently, 3 systems actively act as the primary default lender to all or some of their participating libraries, verifying & referring requests. Otherwise, this is handled by DPI staff (see next bullet).

- DPI staff currently check requests for accuracy and build lender lists of available lenders for each request requiring intervention. This is done on behalf of public, K12, academic, and special libraries.
- In 2016, out of 23,176 requests handled by DPI staff, 10,453 were referred back to WISCAT libraries. 4,842 were referred to OCLC libraries, and 6,553 were non-supplied due to issues with the request (too new, item not owned, etc.).

“The statewide clearinghouse would also be able to refer requests to out-of-state partners on behalf of libraries if the regional clearinghouse is unable to do so.”

- DPI maintains an OCLC license for referring items to out-of-state partners on behalf of WISCAT libraries. Currently, systems who do not have their own OCLC license are not able to directly place requests with OCLC libraries. DPI maintains this license to ensure all WISCAT libraries have access materials from OCLC/LVIS libraries without the need for an OCLC license for each library.
- WISCAT libraries who do not want to be responsible for out-of-state shipping costs can indicate in borrower’s notes that clearinghouse staff should not check out-of-state partners.
- Milwaukee County Federated Library System, South Central Library System, and Indianhead Federated Library System use WISCAT and also maintain their own OCLC licenses, making it possible for them to refer requests to OCLC libraries at their discretion.

COMPARISON TO DESIRED SERVICE OUTCOMES

ELIMINATES BARRIERS TO ACCESS AND PROVIDES EQUITABLE SERVICE

- *Provides patrons with the ability to use their library card to gain access to public library materials across their region and the state.*
 - WISCAT currently has no bearing on whether or not patrons can use their library cards at other libraries/systems.
- *Provides the same discovery and ILL services to all residents of Wisconsin, regardless of the financial resources available at their local library.*
 - WISCAT allows all Wisconsin residents to search all holdings of WISCAT libraries.
 - Libraries can choose the catalogs their patrons and staff are searching by default.
 - Libraries maintain their own borrowing/lending policies which may affect which resources they are able to access for their patrons.
 - WISCAT is a subscription service; if a library does not pay the annual licensing fee, they are not able to borrow materials.

- *Utilizes statewide policies that ensure equity in collection development.*
 - WISCAT allows for libraries statewide to borrow and lend resources that are difficult to acquire, may not align with a library's collection needs, or are otherwise unavailable locally, ensuring broad access to resources for patrons.
- *Incentivizes participation for libraries across the state.*
 - WISCAT is a low-cost option for libraries across the state, and participation increases the pool of available resources.
- *Ensures ADA compliance.*
 - The software procurement process allows DPI to ensure that WISCAT software meets ADA requirements.

SUPPORTS EASY ACCESS TO LIBRARY MATERIALS, SERVICES, AND BIBLIOGRAPHIC DATA

- *Provides a single discovery access point to reduce confusion for patrons and allow easy access to materials throughout the state.*
 - WISCAT is currently a secondary catalog and doesn't integrate with the local catalog for search.
- *Allows for "one-stop shopping" of all available resources: physical and digital materials, programming, readers advisory, databases, etc.*
 - The software platform behind WISCAT also functions as BadgerLink's Super Search; however, results are not commingled, effectively making them two separate systems.
 - Inclusion in Super Search results is dependent on the item level records provided by electronic resource database vendors.
- *Develops a patron-centered interface to allow for simple searches but provide advanced searching capabilities for staff and power users.*
 - WISCAT includes advanced searching functionality. Title, Author, Subject, and Standard Identifier (ISBN/OCLC Number) fields are searchable. Results can then be filtered by Location, Date, Format, and Audience Level.
- *Develops an interface that is accessible, fast, secure, easy to use, and extensible. The interface is full-featured and mobile-ready and allows for self-service options wherever possible.*
 - WISCAT is accessible based on VPAT (Voluntary Product Accessibility Template) framework.
 - WISCAT IS secured through the use of HTTPS protocol and moving toward greater security with an upcoming version. WISCAT's similar patron and staff interfaces make for ease of use.

- WISCAT is extensible through the use of common protocols such as Z39.50 and NCIP.
- WISCAT searching is only as fast as the slowest Z39.50 connection being searched, which may be slow at times depending on ILS servers. However, with increased shared ILSes, fewer Z39.50 connections would make searching faster.
- WISCAT is full-featured, web-based, and mobile-responsive and provides self-service options for patrons when enabled by the patron's home library.
- *Provides scoped views limited to regions but is easily expanded to include other regions and the state.*
 - Scoping at the library level is possible both in searching and displaying results when searching Z39.50 targets, but not when searching the union catalog.
- *Provides a simple search for out-of-state materials and other resources.*
 - WISCAT searches libraries in Wisconsin who are WISCAT members, as well as MINITEX catalogs in MN, SD, and ND.
 - Currently, OCLC lenders are not able to be searched in WISCAT due to varying lending policies and lack of availability checking in OCLC.
 - The ability to add Z39.50 connections allows users to return search results from interested out-of-state trading partners through Auto-Graphics' Interstate Sharing Initiative (ISSI). Materials borrowed from these partners would result in additional shipping costs, as materials from out of state are delivered using USPS or another shipping company and must be returned using the same method.
- *Utilizes linked data to increase the likelihood of discovery of materials in Google, and provide data that is both usable and granular to the level of the library location.*
 - Not currently happening.

PROVIDES FLEXIBLE DELIVERY OPTIONS

- *Allows library users to select any participating library as their pick-up/drop-off location for materials.*
 - Alternate pick-up locations are possible to an extent in WISCAT currently, with some limitations that are being worked through with the vendor. Alternate drop-off locations are not possible in WISCAT configuration, though alternate drop-off locations may be facilitated and in use in certain system workflows.
- *Allows ILL transactions initiated at a participating library to be checked in or out at any library and automatically returned to the owning library.*
 - This is not currently possible in WISCAT
- *Utilizes electronic delivery whenever possible.*

- WISCAT allows for electronic delivery of non-returnables (articles, book chapters, etc.) but does not automatically check statewide e-book availability prior to physical loans. When DPI receives a request, staff may direct the borrower to a free online version of the resource through Hathi Trust, BadgerLink, etc.

DEVELOPS CONSISTENT POLICIES

- *Advocates for standardization of circulation parameters and fines wherever possible.*
 - WISCAT provides [Statewide ILL Guidelines](#) that are endorsed by the State Superintendent. These guidelines are recommended, but not enforced.
 - For example: WISCAT provides guidance that the due date in the ILL system is the date the item is due to be returned to the borrowing library by the patron to reduce confusion.
- *Reduces patron confusion regarding different ILL policies at different libraries.*
 - WISCAT loans are between libraries; patrons are subject to the circulation and ILL policies of their local library. A lending library may opt to charge for missing items; the borrowing library may then opt to pass such a charge onto the borrowing patron. This and other such policies are described in the Statewide ILL Guidelines.

DEVELOPS EFFICIENT PROCESSES TO REDUCE DUPLICATION OF EFFORT

- *Provides infrastructure to treat all materials the same.*
 - Certain materials do not circulate through WISCAT per Statewide ILL Guidelines - - electronic resources, genealogical materials (physical), textbooks, and often videogames.
 - Items are not prioritized by material type or content (academic content does not take precedence over popular materials), though borrowers can specify a need-by date if applicable.
- *Allows one scan to manage both ILL and ILS transactions.*
 - WISCAT is currently working with the SHARE catalog (managed by Lakeshores) to increase the amount of interoperability between WISCAT and the local ILS. Items requested from SHARE libraries via WISCAT show up on the same pick-list as items requested from within the consortia. Additional ILL/ILS interoperability may be available at the ILS level, though a single scan is not currently possible.
- *Encourages access to materials through judicious use of mediation.*
 - Libraries are able to decide whether or not they mediate requests. Currently, no library has opted to move to a completely unmediated request option.

PROVIDES CONSISTENT TRAINING AND SUPPORT FOR ALL LIBRARIES AND PATRONS

- *Provides consistent interfaces between staff and patron applications to reduce staff workload and patron confusion.*
 - WISCAT patron and staff interfaces are very similar; the staff interface has a similar look and feel but more options for staff-only tasks.
- *Defines areas of support that are small enough that libraries are confident they have the support they need.*
 - Currently, many but not all systems offer some level of ILL support for their libraries, and DPI works with all libraries and systems in the state to support their ILL/WISCAT needs.
- *Provides standard training (in-person, online, and recorded) and documentation for all libraries.*
 - DPI staff currently provide training and documentation to libraries statewide on both the WISCAT platform as well as general interlibrary loan operations.
- *Has robust ILL training systems available to all ILL staff in the state.*
 - DPI staff offer documentation and training materials online, can provide training for systems and libraries as requested, and hold quarterly meetings for WISCAT users that include training components.
- *Develops professional learning communities.*
 - DPI staff maintain a Resource Sharing Google Community for statewide ILL staff to share learning and ask questions.
 - DPI staff often organize an annual ILL meeting to provide an in-person opportunity for networking and learning.

APPENDIX D: ILL/ILS STAFF SALARY CALCULATIONS

Position	Number	Salary per FTE	Benefits per FTE	Total	Notes
Co-director	2	\$66,825.00	\$18,711.00	\$171,072.00	Approximate average of existing system positions that can be identified as managers
MLIS/Professional – 6 regions	10	\$59,000.00	\$16,520.00	\$755,200.00	Matches CE/Consulting: 95% of the mean existing system positions that can be identified as consultants
MLIS/Professional – 8 regions	12	\$59,000.00	\$16,520.00	\$906,240.00	
Technical administrator	2	\$65,000.00	\$18,200.00	\$166,400.00	Made equivalent to technology consultant
Technical support positions	3	\$49,460.00	\$13,848.80	\$189,926.40	Made equivalent to technology field staff
Support	8	\$44,160.00	\$12,364.80	\$452,198.40	90 th percentile of OES Library Technicians

6 Regions Total: \$1,734,796.80

8 Regions Total: \$1,885,836.80

APPENDIX E: ILL/ILS BUDGET SUMMARY

Category of Expense	How it was determined	Amount
<p>Annual Staff Salaries</p>	<p>Co-directors: Approximate average of existing system positions that can be identified as managers</p> <p>MLIS: Matches CE/Consulting Workgroup’s recommendation for professional positions</p> <p>Technology-related positions: Matches Technology Workgroup’s recommendation for technology consultants for professional positions and technology field staff for support positions</p> <p>Other support positions: 90th percentile of OES Library Technicians</p> <p>Includes 28% of salary as benefits</p>	<p>1,734,797 to \$1,885,837 annual cost once model is fully staffed</p>
<p>Discovery & Inter-ILS Resource Sharing Platform</p>	<p>Simplified product specifications were sent to vendors for response</p> <p>No negotiations were done.</p>	<p>Annual subscription: Vendor A: \$272,782 Vendor B: \$763,500</p> <p>Managed services annual cost (if desired): Vendor A: \$50,000 Vendor B: \$84,000</p> <p>Catalog enrichment services: Subscription A: \$550,000- \$625,000</p>

		<p>Subscription B: \$109,000 - \$181,950</p> <p>Implementation (one-time): Vendor A: \$117,655 Vendor B: \$230,000</p> <p>Training: Vendor A: \$30,481 annual Vendor B: \$126,000 one-time</p>
Shared ILL platform	<p>Simplified product specifications were sent to vendors for response</p> <p>No negotiations were done</p>	<p>Annual subscription: Vendor A: \$641,135 Vendor B: \$472,500</p> <p>Implementation (one-time): Vendor A: \$866,250 Vendor B: \$78,000</p> <p>Training: Vendor A: included in subscription/implementation Vendor B: \$1,800 per admin as needed</p>
Statewide cyberinsurance/security	<p>Actual cost for 1 system; multiplied by 16 (per system cost)</p> <p>No negotiations were done</p>	\$93,660 annual cost
Out-of-state ILL: costs for shipping	Based on total ILL requests shipped outside of the delivery system from 2014-2016 multiplied by the average shipping cost of USPS Library Rate Mail and an estimate for packaging materials, with a 20% insulation added	\$40,443 annual costs

APPENDIX F: ILL/ILS AND TECHNOLOGY TASKS

- Peripheral support: barcode scanners, receipt printers, spine label printers, credit card swipers – things that tie into functionality that the ILS provides.
 - ILL\ILS: Create plan and documentation
 - Technology: Installing, testing and determining of appropriate peripherals with instruction from ILL\ILS
- Bandwidth and network issues: If there are issues with the network slowing down or a connection not set up right with the ILS, the IT staff are involved. Monitoring bandwidth, quality of service on the network to make sure that ILS traffic is prioritized, especially on the staff side. Providing static IP addresses. VPN accounts for off-site events. Monitoring & managing computer names.
 - Technology staff
- Stuff on staff PCs: ILS client, offline circulation, inventory support, tools to interact with ILS\ILL (macroing, MARCedit, OCLC, B&T, RFID, etc.): installation, troubleshooting
 - ILL\ILS: Create plan and documentation
 - Technology: Installing & troubleshooting work
- SIP2 & patron API connectivity: AMH, self-checks, gates, tagging, sorters, authentication, time & print management
 - ILL\ILS: consulting for this area, determining what access needs to be configured, authentication
 - Technology: Time & print management as a service, configuring servers to allow access
- Security: firewall management (opening ports), running security audits on ILS server, password policies/best practices, PCI compliance, HTTPs
 - ILL\ILS: develop best practices/password policies, knowing what needs to be opened to inform technology group
 - Technology: secure platform
- Backups & disaster recovery: disaster recovery plan, provide backups
 - ILL\ILS: work with technology on planning
 - Technology: work with ILS on planning, implement
 - Standards would need to be created that would work within budget or budget would need to be increased.
- Server support: maintaining operating system, installing required tools, maintaining appropriate virtualization environment, monitoring performance, upgrading ILS software

- ILL\ILS: determining requirements of software if hosting own, ILS software upgrades, procedures for bringing server down/up
 - Technology: managing non-ILS software on servers, procedures for bringing server down/up
- Scripting: pulling ILS data out of the system to use in different ways – improving software, annual reports, custom reporting
 - Own group that would go beyond ILL\ILS data
 - Would need to be aware of the capacity and power needed to do that.
- OPAC: Designing the web interface, proxy server for in-house OPACs to limit where they can go.
 - ILS: web interface
 - Tech: proxy server in consultation with ILS to know what is allowed where
- Help desk and after-hours support
 - ILS and tech staff would both be staffing this.
 - Would likely be the technology staff as first line for this, though dependent on the consortium.
- Email notices: facilitating and dealing with bounces
 - ILS: setting up notices
 - Technology: dealing with SMTP server, DNS management
 - Scripting: dealing with bounces, spam blocking in automated fashion
- Tele-notice product support: setting up phone lines, supporting.
 - ILS: ongoing maintenance and working with the system
 - Technology: initial setup
- Kits for tagging/offsite registration
 - ILS: determine what they want, manage once it works
 - Technology: purchase and setup, VPN access
- Z39.50 and NCIP support for ILL
 - ILL\ILS: knowing what needs to be done to inform technology group
 - Technology: implementing
- Reporting software/servers: Crystal reports
 - ILL\ILS: Running reports, working with the software
 - Technology: maintaining platform