INNOVATION AT WORK

NISO 2009 ANNUAL REPORT

CONTENTS

FROM THE DIRECTOR

Dear information community members,

With pleasure, I present this report of NISO's activities during the 2009 fiscal year. The past year was filled with a number of triumphs and challenges. In many ways, 2009 was one of NISO's best years ever. With more new projects launched than any previous year, many new members, and an educational program that truly hit its stride, we can say that on balance there was far more to be positive about than negative in the past year. However, like every organization in our community, the rapid deterioration of the economic situation caused financial challenges for the Organization, but we were able to act quickly to realign our finances to face the new realities.

The pace of new standards launches last year—ten in all—signaled not only the need for the efficiencies that standards and best practices can bring, but the newly reinforced understanding that NISO is a place where community best practice efforts should be brought for quick action.

Of course, the increased vitality and vigor of NISO in the past several years is not due to the NISO central staff. The real work of the organization is done by the variety of committee volunteers and experts who lend their time and energies to NISO's work, even with increasing pressures in their own work environment. We have deep appreciation for all of the members who support NISOs work and the volunteers who serve NISO and the community.

The coming year, no doubt will continue to be a mix of challenges and successes. The economy shows no signs of a quick turn-around, especially in the library community and it will filter through to all that supply that community. This is precisely the time when we need to band together to address common problems and communicate best practices, which will reduce costs and increase efficiency. For this reason, I trust the trends of increasing participation and increasing projects coming NISO's way will continue. After all, these are the goals of standards development in every community and now is the moment when they are most needed.

Respectfully yours,

Todd Carpenter
Managing Director

NISO Participation

Participation in NISO helps you and your organization connect with the information world.

NISO standards are developed by consensus, with broad and expert input from librarians, publishers, and library systems developers, to ensure that NISO standards benefit the information community as a whole and meet the diverse needs and common goals of this community.

NISO is for individuals and organizations.

Individuals and organizational members engage in NISO through its working groups, committees, educational events, and publications. Additionally, by becoming a member of NISO, your organization can comment and vote on NISO standards as well as on international ISO standards, receive advance knowledge of standards requirements and emerging issues, be provided with substantial discounts for NISO education events; and have online and print access to *Information Standards Quarterly*, NISO's scholarly journal, free of charge.

NISO membership provides opportunities.

Join NISO and have a voice in standards development. With NISO membership you can:

- Take a leadership role in NISO and the development of standards for the information community
- Drive the development and acceptance of standards in new areas
- Influence standards requirements and comment and vote on proposed NISO standards
- Review, comment, and vote on international ISO information and documentation standard drafts, which are not made available to the general public.
- Provide the support that enables NISO to provide the information community with free electronic copies of our standards, recommended practices, technical reports, and white papers
- Receive advance knowledge of forthcoming standards requirements
- Network with customers and competitors in a neutral environment
- Gain competitive advantage through early adoption of draft standards, recommended practices, and other working group products
- Increase press coverage for your organization through announcements in *Newsline*, NISO's monthly e-newsletter, and in other NISO venues
- Achieve recognition and enhance career development of participating individuals

Visit www.niso.org/about/join/ to learn more about how to participate and join.

2009 ACCOMPLISHMENTS

ERM Data Standards and Best Practices Review Working Group

Approved: June 30, 2009

Business Information Topic Committee

Chairs: Ivy Anderson, Tim Jewell

This project is an outgrowth of the Digital Library Federation's Electronic Resource Management Initiative (ERMI), first begun in 2002. A second phase of the Initiative was completed in late 2008. In follow-up discussions between **Todd Carpenter**, NISO's Managing Director, and **Peter Brantley**, Executive Director of DLF, regarding the future of ERMI, NISO agreed to perform a needs assessment with respect to ERMI and broader ERM-related data needs and standards, and to assume any appropriate maintenance responsibilities. A subgroup of NISO's Business Information Topic Committee was tasked with surveying this landscape to determine what, if any, further steps should be undertaken by NISO. This new project is an outcome of that initial ERMI landscape. The Working Group began a "gap analysis" in November 2009 regarding ERM-related data and standards and will make recommendations regarding the future of the ERMI data dictionary within that broader context. The analysis will begin with a review of the ERMI data dictionary as it presently exists, and a mapping of ERMI data elements to those within relevant related projects (e.g., CORE, SUSHI, ONIX-PL, etc.). The deliverable will be a report for the Business Information Topic Committee and the NISO community highlighting current work that provides solutions for specific areas of ERM use, identifies gaps where work has not been done, and recommends appropriate further work.

DAISY Standard Revision Working Group

Approved: August 29, 2008

Content & Collection Management Topic Committee

Chairs: Markus Gylling, George Kerscher

ANSI/NISO Z39.86-2005, *Specifications for the Digital Talking Book*—more commonly known as the DAISY standard—is undergoing a revision in order to modularize it for easier and more flexible use, as well as to take advantage of current technologies to enable a significantly better user experience. The specification will be divided into two parts: Part A, *Authoring and Interchange*, and Part B, *Distribution*. Both parts will be released as Draft Standards for Trial Use and will remain in these phases until both are ready for submission to NISO for formal approval. It is expected that Part A will be released in April 2010, with Part B available by December 2010. The working group held its first face-to-face meeting in March 2009 adjacent to the CSUN conference, and meets via conference call every two weeks. The group has published three working drafts, with the latest produced in December 2009.

CORE Working Group

Approved: May 30, 2008

Business Information Topic Committee

Chairs: Ted Koppel, Ed Riding

The Working Group completed the CORE (Cost of Resource Exchange) draft standard (NISO Z39.95) and associated schemas in March 2009. Following approval by the Business Information Topic Committee, a trial period was launched April 1, 2009, to end March 31, 2010. During this time, the Working Group continued to promote use and be available for trial questions, though vendor software development cycles have caused some delay in implementation. In 2010, four implementations are expected; the Working Group is now considering an extension of the trial period by six months.

Educational Programs

This past year was a great success for NISO's education programs. With the support of the Education Committee, NISO held three in person forums, including the third annual NISO/BISG forum at ALA Annual, as well as thirteen webinars—one each month (except July), with May and September having special two-part webinar events. Over 300 people attended NISO's forums, and an additional 1,100 sites registered for NISO webinars. With an average of three people viewing the live webinars at each site, that's a grand total of over 3,500 people benefiting from NISO's education events! To learn more about the fantastic programs held in 2009, visit the related feature in this annual report.

ONIX-PL Standing Committee

ONIX-PL *Publications License format, version 1.0*

Chair: Alicia Wise

The first version of the ONIX-PL format specification was released in November 2008 by EDItEUR, and this joint NISO/EDItEUR committee focused in 2009 on promotion of the XML format and the related OPLE (ONIX-PL Editor) open source tool. The year ended with the NISO webinar, *ONIX for Publication Licenses: Adding Structure to Legalese,* held December 2009.

SSO Authentication Working Group

Approved: April 22, 2009

Discovery to Delivery Topic Committee

Chairs: Harry Kaplanian, Steven Carmody

This project is the focus of the 2009 Chair's Initiative. **Oliver Pesch**, Board of Directors Chair 2008–2009, identified user authentication as the issue that he would like to see NISO address. The goal of this Working Group is to explore practical solutions for improving the success of SSO authentication technologies for providing a seamless experience for the user and to promote the adoption of one or more of these solutions to make the access improvements a reality. To achieve this objective, the group will explore the problem and deliver one or more Recommended Practice documents. The Working Group first met in October 2009, and has spent a good deal of time refining and further defining the goals of the group and identifying leads for specific work outcomes.

NCIP Implementation Group

ANSI/NISO Z39.83-1 2008, NISO Circulation Interchange Part 1: Protocol (NCIP)

ANSI/NISO Z39.83-2 2008, NISO Circulation Interchange Protocol (NCIP) Part 2: Implementation Profile 1

Chair: Gail Wanner • Maintenance Agency: EnvisionWare

This year the NCIP Standing Committee was able to transition from a development working group to a group focused on ways to encourage implementation and promotion of the NCIP standard, parts 1 and 2. This included outreach, development of a new website, and a move to continuous maintenance (approved by the group in 2009 and endorsed by ANSI in January 2010). In addition, the group modified its internal procedures in April 2009 to ensure an active and engaged standing committee, and work began on an implementer registry, supporting documentation, and updating of the RFP guidelines for NCIP. Perhaps the biggest outcome of the group's work in 2009 was defining a core message set of nine messages that together support the majority of the current functionality for resource sharing and self-service applications. Responding applications need only implement this core set of messages to be NICP-ready, which reduces the effort needed to implement NCIP. Initiating applications may still use additional messages, but the definition of a core set of messages will increase interoperability and enable librarians to expect support for a common baseline workflow.

Information Standards Quarterly (ISQ)

In 2009, NISO unveiled a new design for the *Information Standards Quarterly* (ISQ) magazine to coincide with the celebration of NISO's 70th anniversary. Highlighted in the four issues of ISQ was a special running feature celebrating NISO's achievements since the first Z39 standard was published in 1935. In addition, the ISQ website was redesigned to provide improved access to contents and links to resources discussed in the issues.

SUSHI Standing Committee

ANSI/NISO Z39.93-2007, *The Standardized Usage Statistics Harvesting Initiative (SUSHI) Protocol*

Chairs: Adam Chandler, Hana Levay, Oliver Pesch

In 2009, the SUSHI Standing Committee focused its efforts on creating support for the standard and its users in order to ensure ease of implementation. This was done so that implementers could meet the deadline of August 31, 2009 in order to be compliant with release 3 of the COUNTER *Code of Practice for Journals and Databases*. A SUSHI Server Registry was created, providing information from report providers on how to access and use their server implementation of SUSHI. Although security is outside the scope of the protocol, an informative appendix in the standard provided some suggested security approaches. With greater implementation experience, the standing committee was able to publish an erratum to this appendix with best practices for SUSHI server authentication. A number of implementation tools and aids were created or updated including web client toolkit, server software development kit, open source code for the client, a SUSHI FAQ, COUNTER FAQ, and other helpful documentation. The SUSHI Developers e-mail list remains very active in assisting with implementation questions.

I² Working Group

Approved: January 10, 2008

Business Information Topic Committee

Chairs: Grace Agnew, Tina Feick

The I² (Institutional Identifier) Working Group was established to develop a robust, scalable, and interoperable standard for identifying a core entity in any information management or sharing transaction—the institution. The group first met in July 2008. During the first phase of their work in 2008-2009, the group developed scenarios to represent the most compelling use cases for institutional identifiers that will engage all relevant stakeholders and identify their institutional identifier needs. Three sub-groups of working group members and appropriate non-members were created to engage in the initial scenario development and to survey the community to ensure that the use cases would be fully developed; these groups focused on: E-Resources, Institutional Repositories, and Library Resource Management. E-learning, originally a fourth subgroup, was instead considered as part of each of the three scenario groups' work.

The next phase of this group's work—finalizing the standard—is commencing in 2010. At that time, **Tina Feick** will step down from the role of co-chair (though she will remain an active member of the group), and **Oliver Pesch** will assume that role.

Standardized Markup for Journal Articles Working Group

Approved: September 2, 2009

Content & Collection Management Topic Committee

Chairs: Jeff Beck, Tommie Usdin

The goal of this Working Group is to take the currently existing National Library of Medicine (NLM) Journal Archiving and Interchange Tag Suite version 3.0, the three journal article schemas, and the related documentation and fast track them through the NISO standardization process. The group first met in December 2009 and has been reviewing and revising a list of changes that have been suggested for the journal article tag sets.

New Members

In the midst of a major recession, the work of NISO's community attracted five new voting members:

- » American Chemical Society (ACS)
- » American Institute of Physics (AIP)
- » Cengage Learning
- » Emerald Publishing Group
- » Microsoft Corporation

and four new Library Standards Alliance (LSA) members:

- » Memorial Sloan-Kettering Cancer Center Library
- » NIH Library
- » Nylink
- » Southwest Research Institute

Open Teleconference Series

In 2009, NISO launched a monthly Open Teleconference series. These free calls provide members and others who are interested in NISO activities with updates on current work and an opportunity for casual conversation with NISO staff to provide feedback and suggestions. Held the second Monday of each month, NISO makes the recordings of these open calls available on the website.

Physical Delivery of Library Resources Working Group

Approved: September 1, 2009

Discovery to Delivery Topic Committee

Chairs: Valerie Horton, Diana Sachs-Silveira

Building on the efforts of three recent projects—Moving Mountains, Rethinking Resource Sharing's Physical Delivery Committee, and the American Library Association's ASCLA ICANS' Physical Delivery Discussion Group—the NISO Physical Delivery Working Group will be developing a Recommended Practice related to the delivery of library materials. The Recommended Practice will include areas such as: packaging, shipping codes, labeling, sorting, and more. This Working Group was kicked-off in its first call in November 2009. In the few months since that call, the group has provided written feedback to ballot comments available on their website and is near completion of the document outline.

KBART Working Group

Approved: January 18, 2008

Discovery to Delivery Topic Committee

Chairs: Peter McCracken, Charlie Rappel

The KBART (Knowledge Bases and Related Tools) Working Group was established following the publication of the UKSG-sponsored research report, *Link Resolvers and the Serials Supply Chain*. The report identified inefficiencies in the supply and manipulation of journal article data that impact the efficacy and potential of OpenURL linking. The KBART working group was charged with developing a Recommended Practice that contains practical recommendations for the timely exchange of accurate metadata between content providers and knowledge base developers. On September 11, 2009, a final draft was sent to the KBART Interest Group list, with a note that the group was seeking to confirm that organizations remain interested in testing our recommendations. At that time, active testing took place and feedback was solicited and received. Based on that feedback, a final edit was prepared, with the report formally released on January 18, 2010. NISO's Discovery to Delivery Topic Committee and the UKSG (co-sponsor of the working group) have approved the NISO Recommended Practice: NISO RP-9-2010, *KBART: Knowledge Bases and Related Tools*.

Phase 2 of the project will begin in 2010 with Sarah Pearson as chair. With some continuing and some new members, the working group will focus on some of the more complex issues and undertake educational and promotional activities.

OpenURL Quality Metrics Working Group

Approved: December 8, 2009

Business Information Topic Committee

Chair: Adam Chandler

This project will build on work already underway by **Adam Chandler** (Database Management and Electronic Resources Research Librarian, Cornell University Library) to investigate the feasibility of creating industry-wide, transparent, and scalable metrics for evaluating and comparing the quality of OpenURL implementations across content providers. This is envisioned as a two-year project. At the end of two years an evaluation process will be conducted, to be provided in a published NISO Technical Report, and a decision will be made on whether or not to continue the work.

The Working Group first met in December 2009. The existing log processor and reporting software is being transitioned to NISO, along with the supporting data already gathered. A new site, niso.openurlquality.info, will be available shortly.

SERU Standing Committee

NISO RP-7-2008, *SERU: A Shared Electronic Resource Understanding*

Chair: Judy Luther

During the first half of 2009, this standing committee remained active with promotion of the SERU Recommended Practice, including presentations and support on the SERU information electronic discussion list. The group is looking to reconstitute in 2010 with additional members in order to pursue the creation of a logo, the development of an ONIX-PL encoded version of SERU, a survey of use in the U.S. and internationally, and more. Over 50 organizations joined the SERU Registry in 2009; the registry now has 40 publishers and content providers, 8 consortia, and 114 libraries.

Standards Under Review

In 2009, five standards underwent their periodic reviews. All five standards were recommended for reaffirmation by their respective managing Topic Committees. The voting pool ballots to determine reaffirmation end in early 2010. The five standards were:

» ANSI/NISO Z39.18-2005, Scientific and Technical Reports—Preparation, Presentation, and Preservation

» ANSI/NISO Z39.19-2005, Guidelines for the Construction, Format, and Management of Monolingual Controlled Vocabularies

» ANSI/NISO Z39.29-2005, Bibliographic References

» ANSI/NISO Z39.84-2005, Syntax for the Digital Object Identifier

» ANSI/NISO Z39.88-2004, The OpenURL Framework for Context-Sensitive Services

2009 EDUCATIONAL PROGRAM HIGHLIGHTS

WEBINARS & FORUMS ▶

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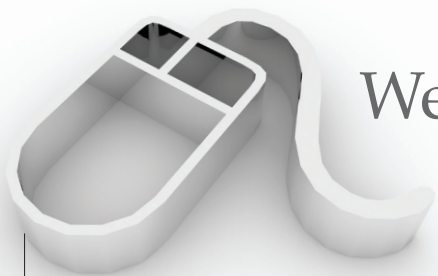
Webinars

Digital Preservation

Filesystem Metadata: An Unsolved Problem in Digital Preservation
Keith Johnson (Stanford Digital Repository)

» File system metadata—which includes file names, file dates, permissions, and directories—are not portable.

» Need embedded, portable file metadata—perhaps a new container format—and tools for handling incompatibilities in a non-destructive manner.

CLOCKSS, A Global Archive
Victoria Reich (Stanford University Libraries)

» CLOCKSS mission is to ensure "access to published scholarly content over time" by building a community-governed sustainable archive without charging for access.

» Leverages existing technology (LOCKSS) and existing infrastructure.

» Trigger events allow content to be released to the public.

Going from Zero to Live with an Automated Digital Preservation System
Carl Grant (Ex Libris North America)

» Preservation requires planning; policies are not optional.

» Perform a needs assessment and identify common services that can be shared with other services.

» Build organization support and sell the preservation service from the top down.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/digpres09/

Single Sign-On (SSO) Authentication

Towards Horizontal Linking to Licensed Content
Adam Chandler (Cornell University Library)

» **John Law:** Authentication barriers were one of the chief inhibitors to success in using library resources.

» When Cornell University students tried to access the library's licensed resources from Google, typical results were: a rejection of access, offers for free trial access, homepages with no clear indication of where to go next, and many different types of log-in screens.

» Need for a consistent log-in link on both the home and article pages, consistent terminology for log-in options, and a "where are you from" (WAYF) menu.

InCommon Library/Shibboleth Project Update
Steven T. Carmody (Brown University)

» InCommon Library/Shibboleth project to provide integrated access to licensed library resources regardless of user location, while also meeting users' needs for consistency and vendors' needs for reliable authentication.

» Phase 1 recommendation was to use a combination of Shibboleth® and a single sign-on enabled proxy.

Access & Identity Management
Keith Dixon and Lyn Norris (Eduserv)

» Authentication basically involves trust—balancing the risks to access and user privacy with the usability of services and monitoring for management.

» Athens is a technology, services, and a federation, which mediates a trusted relationship.

» Phillips Research Library implemented a combination of EXProxy and Athens local authentication.

SSO Authentication: Understanding the Pieces of the Puzzle.
Jerry Ward (ProQuest)

» Support costs for authentication can be huge as companies are forced to support everything from individual system assigned usernames and passwords to Shibboleth®.

» It is time for a common standard. Just as OpenURL brought linking into common usage, so can a standard single sign-on authentication system have a similar impact on usage.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/authentication09/

Data Movement and Management

The Landscape of Data Movement and Management in Libraries
Tim Jewell (University of Washington Libraries)

» ERMI Phase 1: Functional requirements and data elements for ERM systems.

» ERMI Phase 2: License expression, ILS/ERM interoperability, e-resource usage statistics.

» Beyond ERMI: NISO spearheading a number of follow-up activities.

CORE (Cost of Resource Exchange): Combining Cost and Use Data in Libraries
Jeff Aipperspach (Serials Solutions)

» ERM systems need to be able to look up and use acquisitions information from within the ILS.

» Libraries want to leverage data investments from different systems and allow reuse of data in other applications.

» Draft standard for trial use that defines the protocol to exchange data between an ILS and ERMS is expected in March with a 9–12 month trial.

Reusing Library Metadata via the eXtensible Catalog (XC)
Jennifer Bowen (University of Rochester)

» XC will provide metadata architecture using OAI-PMH, five toolkits, and an out-of-the-box user interface.

» Enables automated handling of metadata changes.

» Ideal platform for experimentation.

The OAI-ORE Project
Michael L. Nelson (Old Dominion University)

» Use published resource maps to the web that instantiate, describe, and identify aggregations of web resources.

» Takes a resource-centric approach; prior approaches had repository and metadata records as the center.

» Sets a new direction to think about interoperability in our communities.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/datawebinar09/

KBART and the OpenURL: Increasing E-Resource Use through Improved User Access

KBART: Improving Access to Electronic Resources
Peter McCracken (Serials Solutions)

» Three main problems with OpenURL today: bad data, incorrect transfer implementation, and lack of OpenURL knowledge resulting in lack of use.

» KBART is a NISO/UKSG project to ensure that OpenURL knowledgebases contain timely and accurate data.

» KBART phase 1 best practices guidelines to address all three main problems in the supply chain.

KBART: Benefits to Link Resolver Vendors
Thomas Ventimiglia (Princeton University Library)

» Their knowledgebase has over 100 providers, 2 million records each month, and requires significant work in writing and maintaining software to standardize data formats.

» KBART identifies a standard data format and a set of metadata fields important to the basic functions of a link resolver and recommends an updating period and transfer mechanism.

KBART: A Librarian's Perspective
Chrissie Noonan (Hanford Technical Library)

» Their OpenURL knowledgebase is registered with multiple vendors and maintenance is an ongoing effort.

» KBART can improve data accuracy, normalize formats, maximize the usage of electronic products, and ultimately improve the user experience.

Credo Reference
Jenny Walker (Credo Advisory Board)

» Credo is an online full text reference service with metasearch and OpenURL linking, as both a link resolver source and target.

» For a content provider, conforming to KBART can allow data to be offered in standardized formats and help identify the provider as a trusted source of information.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/kbart09/

COUNTER: A How-To Guide

COUNTER: An Introduction to the Codes of Practice
Peter Shepherd (COUNTER)

» Current Codes of Practice: Journals and databases (release 3), Books and reference works (release 1).

» Journals and databases release 3 adds requirement for XML format, consortial reports, and use of the SUSHI (Standardized Usage Statistics Harvesting Initiative) protocol.

» An independent audit confirms COUNTER compliance.

» Future developments: using COUNTER data to derive global quality and value factors.

Using COUNTER Reports
Tansy Matthews (George Mason University)

» Virtual Library of Virginia (VIVA) is a consortium of over 125 colleges and universities that processes statistics for all of its member libraries.

» Data trending over time requires consistent formatting. For non-COUNTER compliant vendors, each one's data has to be processed individually.

» Developed software for importing and processing multiple Excel COUNTER files and loading into a database.

Economic Impact of SUSHI on the Library Community
Susan Golden (Serials Solutions)

» Libraries spend 40 to 60 hours per assessment period in processing vendor usage data.

» With SUSHI, libraries can save on processing time and redirect it to decision making.

» Systems such as 360 COUNTER provide the SUSHI client service that libraries need.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/counter09/

New Applications of Usage Data

COUNTER - New Features and Applications
Peter Shepherd (COUNTER)

» COUNTER data being used to create global metrics.

» UKSG project looking at value metrics—impact and usage factors.

» PIRUS project developing a standard for article level usage statistics that could be used by repositories as well as publishers.

Article-Level Metrics at PLoS and Beyond
Peter Binfield (Public Library of Science)

» A possible method for measuring the impact of research is by measuring usage of research output: the journal article. Few journals currently provide this data.

» PLoS project looking at usage, citation, and a range of measures that would define impact.

» Data being added to every PLoS article to be displayed numerically and graphically including historical data.

An Overview of Recent Usage Data Research
John McDonald (Claremont University Consortium)

» Have new ways to collect usage data, e.g., ISI citation data, COUNTER reports, Google analytics, various server logs.

» Researchers have published theoretical analyses of usage data, e.g., centrality measures, scientific communication maps, open access studies.

» Other researchers focused on evidence-based analysis of usage data, e.g., Google analytics of local content, e-book models analysis, use of Sparklines.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/usage09/

Library Systems & Interoperability: Breaking Down Silos

CORE: Exchanging Cost Information Between Library Systems
Ted Koppel (Auto-Graphics) and Ed Riding (SirsiDynix)

» **Problem:** The ERM needs financial data that is often stored in other systems such as the ILS or vendor and consortial databases.

» **Solution:** A protocol that will standardize the exchange of data between systems.

» The CORE protocol uses an XML schema that defines the request and response payload.

Moving Library Management Services to Web-Scale
Andrew K. Pace (OCLC)

» OCLC announced a strategy to deliver web-scale management services.

» Building on WorldCat, OCLC is uniquely positioned to "leverage the power of the cooperative" and "create system-wide efficiencies in library management."

» The web-based platform includes customizable workflow, data registries and repositories, and a service-oriented architecture for interoperability with local and 3rd party business systems.

DLF's ILS Discovery Interfaces Project
John Mark Ockerbloom (University of Pennsylvania)

» DLF-DI has four levels of discovery interoperability defined with abstract function definitions, and one or more binding technologies for each function.

» At least ten vendors have agreed to support the Level 1 basic discovery interface.

» ILS-DI APIs are becoming available. Vendors, libraries, and developers are all encouraged to test, implement, and develop extensions.

PRESENTATION SLIDES:

www.niso.org/news/events/2009/interop09/

AUGUST
E-Books: A Rapidly Evolving Marketplace

Creation, Formatting, and Distribution Options for E-books
Tino Fleischer (Atypon Systems)

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

» Mobile delivery requires additional formats and processes.

Business Issues and Trends in the Digital Book Landscape
Anne Orens, Independent Consultant

» Tipping points for the e-book trend were: reading devices, print on demand availability, and Google Books.

» Approaches include: full-service repository to distribution services, repackaging and re-chunking, online sampling, mobile delivery, enhanced functionality (over print), and taking a DRM stance.

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

E-books in the Library
Sue Polanka (Wright State University)

» Libraries want free vendor-neutral MARC cataloging with every e-book, and simplified purchasing.

» Current access issues include: proprietary software, ability to borrow and lend, and the possible lack of perpetual access.

» Users want printing and downloading capability, linking, and value-added features.

PRESENTATION SLIDES:

www.niso.org/news/events/2009/ebooks09/

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

Contracts Basics
Trisha L. Davis (Ohio State University Libraries)

» A contract must include: offer, acceptance, consideration.

» Other requirements are: competence, consent, and legal activity.

» Types of licenses that libraries encounter are: shrink-wrapped, embedded within a disc, online click-on, and formal contracts.

Terms to be Mapped to ERMs
Trisha L. Davis (Ohio State University Libraries)

» The DLF ERMI project identified terms of use for an Electronic Resource Management (ERM) system.

» 30 different terms were reviewed.

Introduction to ONIX-PL (ONIX for Publications Licenses)
Clinton Chamberlain (University of Texas at Austin Libraries)

» ONIX-PL is an XML schema that allows a publisher's license to be expressed in a machine-readable format.

» Benefits include elimination of manual data entry into an ERMS, better identification of key terms, and improved access to license information by end users.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/eresources09/

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

Review of a Sample Licensing Agreement with Terms to be Mapped to ERMs
Trisha L. Davis (Ohio State University Libraries)

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

Introduction to the SERU (Shared E-Resource Understanding) Recommended Practice
Clinton Chamberlain (University of Texas at Austin Libraries)

» The Shared Electronic Resources Understanding (SERU) is the NISO recommended practice that allows libraries and publishers to forego a license agreement in favor of a shared understanding of widely accepted practices.

» ERMI license terms are compared to SERU language.

» A SERU Registry is available for both librarians and publishers to indicate their willingness to use SERU.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/licensing09/

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

AACR2, RDA, VIAF, and the Future
Barbara Tillett (Library of Congress)

» IFLA has had increasing influence on Anglo-American cataloging, in particular the *Functional Requirements for Bibliographic Records (FRBR)* with its entity-relationship model.

» RDA, the forthcoming replacement for AACR2, uses the FRBR model, has a greater emphasis on controlled vocabularies, and provides for greater re-use of metadata beyond libraries.

» There will be a transition period with aids such as mapping tables to MARC and other metadata schemes. Database/format scenarios are also in development.

RDA Elements and Vocabularies: A Step Forward from MARC
Diane Hillmann (Information Institute of Syracuse)

» Exclusive use of MARC limits libraries from participating in re-use or sharing of data with the non-library community.

» A joint DCMI/RDA task force was established to build a formal representation of RDA elements and vocabularies using the semantic web RDF and also to create a Dublin Core Application Profile.

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

Data-Driven Evidence for Core MARC Records
William Moen (University of North Texas)

» A two-year project examined over 56 million MARC 21 records form OCLC WorldCat to determine the frequency of use of the various fields and subfields.

» For LC-created book records, 7 field tags appeared in every record; 14 fields accounted for 80% of the occurrences; 66% of fields used in less than 1% of records.

» Study makes a case for a core set of 10-18 field/subfield combinations based on actual cataloging practice.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/bibcontrol09/

NOVEMBER
Data, Data Everywhere: Migration and System Population Practices

Data Quality, Policy, and Large-Scale Data Flows
Hilary Newman (Innovative Interfaces, Inc.)

» When populating bibliographic systems or merging data, consider the data to be alive and evolving and don't make policies based only on today's needs.

» Use standards.

» Leverage computing power to do the work for you.

Data, Data Everywhere and Constantly Moving
Maribeth Manoff (University of Tennessee, Knoxville)

» There are large one-time migrations, e.g. a new ILS, and there are ongoing constant system populations, e.g. a link resolver knowledge base.

» One-time migration with known data formats can result in less attention paid to opportunities for innovation or new user experiences.

» Ongoing migrations / data populations require an emphasis on processes "that are both rigorous and flexible."

» New configurable data formats, e.g. XML, can encourage innovation.

Libraries and Data an IU Perspective
Robert McDonald (Indiana University)

» Library systems now include a legacy ILS plus e-content module plus advanced discovery interface that must all interoperate and share selected data.

» Next generation discovery system decouples the discovery and ILS; MARC data is exported and reformatted before it is presented to the user.

» Curation mandate increasingly extends to inclusion of the scientific research data. HathiTrust is an example of a consortial curation service.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/datasystems09/

▶ **DECEMBER**

ONIX for Publication Licenses: Adding Structure to Legalese

SCELC and ONIX-PL
Rick Burke (SCELC)

» ONIX-PL fulfills a critical need—a universally acceptable standard for formatting and delivering license information for all parties: libraries, consortia, and publishers.

» By using ONIX-PL, SCELC can eliminate manual entry and editing of licensing terms into their consortial ERMS.

» The open source ONIX-PL Editing Tools (OPLE) provide effective access to the license for all parties, including end users, and will provide the facility to generate the subsequent web summaries at any stage of license mapping.

ONIX-PL: Viewpoint from the University & Library Community
Wilma Mossink (SURFfoundation)

» Virtual learning environment (VLE) initiative in The Netherlands needs licensing information for copyrighted materials delivered in course packs.

» ONIX-PL offers the possibility of having machine-readable and searchable licenses but there is a chicken and egg issue right now. Not enough publishers are offering licenses in the format. Not enough awareness of or demand for it from the library community.

An Introduction to RELI
Mark Bide (EDItEUR)

» RELI (Registry for Electronic Licenses) is a JISC-funded project to pilot the development of a license registry, which can be useful in providing permissions data for users, storing all licenses in one place for access by library staff, [and] enabling comparisons of licenses.

» ONIX-PL is the only available machine interpretable format for populating a registry with XML-formatted license information. Not enough publishers are using it yet.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/onixpl09/

Forums

▶ **Performance Measures and Assessment**
Baltimore, MD

» **Steve Hiller** (University of Washington Libraries) – Traditional statistics are no longer sufficient; need to demonstrate outcomes and the value of the library to the individual, community, and the organization.

» **Mike Poulin** (Colgate University Libraries) – Using a variety of data to make journal cancellation decisions. The library's role is not to support the faculty with publication of unused material or to provide revenue for publishers.

» **David Consiglio** (Bryn Mawr College) – NISO survey showed significant increase in importance of wireless access for all constituencies.

» **Larry Nash** (East Carolina University) – Use progressive alignment of assessment to the library service environment: non-alignment, practice alignment, process alignment, system alignment, environmental alignment.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/assess09/agenda

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

Chicago, IL - ALA Annual

» **Andy Weissberg** (Bowker) – The International Standard Text Code (ISTC) provides a means of uniquely and persistently identifying textual works and linking to all of their manifestations.

» **Mark Bide** (EDItEUR) – The ISBN has to resolve some significant challenges, especially with digital content, if it is to continue to be an effective identifier. Is the e-ISBN a possible solution?

» **Michael Smith** (IDPF) – EPUB is an XML-based format for digital books designed to provide true interoperability across platforms.

» **Michael Healy** (BISG) – BookDROP standard was developed to streamline how online book content is shared between publishers with digital book content repositories.

» **Suzanne Kemperman** (OCLC NetLibrary) – Better access and less DRM requires better business models and jointly developed digital use standards.

» **John Cox** (John Cox Associates) – E-books are ten years behind journals in developing business models. The business is too young and too varied as yet for consensus on standardization.

» **Sue Polanka** (Wright State University Libraries) – To successfully adopt e-books, libraries need standards for metadata, catalog records, purchasing, access, and interface features.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/ala09/bisg/

Library Resource Management Systems

Boston, MA

» **Oren Beit-Arie** (Ex Libris) – Significant changes in how scholarship is conducted: more data is produced, more multidisciplinary, shift to greater importance on earlier activities than in the final journal article output, technology compounding other trends.

» **Robert Gerrity** (Boston College Libraries) – Users are looking for library systems to offer one stop shopping of discovery to delivery, flexible delivery options, delivery to mobile devices, and contextualized services.

» **Judi Briden** (University of Rochester) – eXtensible Catalog user research focused on how to improve the OPAC for casual, non-expert users and address not yet identified needs of expert researchers.

» **John Culshaw** (University of Colorado at Boulder Libraries) – Buy instead of building with open source to obtain greater functionality, have a vendor partner, and interoperate with the campus IT environment.

» **Art Rhyno and Guoying (Grace) Liu** (University of Windsor) – Implemented Evergreen PINES system due to lower cost, growing track record with consortia, agility and flexibility of the software, and ability to integrate with SFX.

» **Annette Bailey** (Virginia Tech) – Open Source and vendor software can work together to: link users to library resources, process data for display in external web page, and enhance existing OPACs.

» **Rachel Bruce** (JISC) – Rapid technology change (especially Web and e-resources), users who go to Google, and funding challenges have created the perfect storm for change. There are many ways libraries can and are changing to meet the challenge.

» **Ivy Anderson** (California Digital Library) – ERMI Phase 1 defined data model, data dictionary, and functional requirements. Phase 2 addresses license information. Current gap analysis and standards review determining recommendations to NISO for future work.

» **MacKenzie Smith** (MIT Libraries) – Integrating library resource management systems into campus infrastructure for research and education by building on bibliographic data models, defining new conceptual data models, and using a data-oriented architecture.

» **Diane C. Mirvis** (University of Bridgeport) – Decision to implement both enterprise Portal and CRM forced new process model to optimize workflow and information exchange between academic, library, administrative, and clinical areas.

» **Kat Hagedorn** (University of Michigan) – Repositories can now move into a "cloud library" (partnering with HathiTrust) that will become a shared network resource.

» **Kyle Banerjee** (Orbis Cascade Alliance) – Alliance migrated to OCLC WorldCat Navigator as a hosted resource platform, which utilizes a multi-library version of WorldCat Local for discovery, combined with consortial borrowing and gateway to local circulation.

» **Marshall Breeding** (Vanderbilt University) – Dynamics of library automation are changing. Open source and SaaS creating new options. Research and development essential to develop systems to meet the needs of libraries and address the issues identified in this forum. Standards need to drive, not hold back, new initiatives.

PRESENTATION SLIDES :

www.niso.org/news/events/2009/lrms09/agenda/

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

FINANCIAL REPORT

Like most every other organization in our community, the financial situation we face—driven mainly by outside pressures—has been challenging. NISO reacted quickly to the economic turmoil by trimming $177,819 or 17.6% from the previous year's expenses to meet projected shortfalls.

Revenues

Membership revenues continued to be the largest component of NISO's overall revenues at $599,716, which was 75.0% of the 2009's income. Despite the worldwide economic situation, membership income actually increased by 6.5% in 2009 from 2008. This was due to membership dues from nine new member organizations and renewals from most of our members.

Educational programs are becoming an increasingly important component of NISO's revenue with $145,339, or 18.2% of overall revenue, derived from that source. This growth was due to an increase in the frequency and success of the webinars that NISO is producing. Other income from publications and investments represented 6.9% of overall revenue. No grants or sublease income was received in 2009. Figure 1 summarizes NISO revenues from 2000 through 2009.
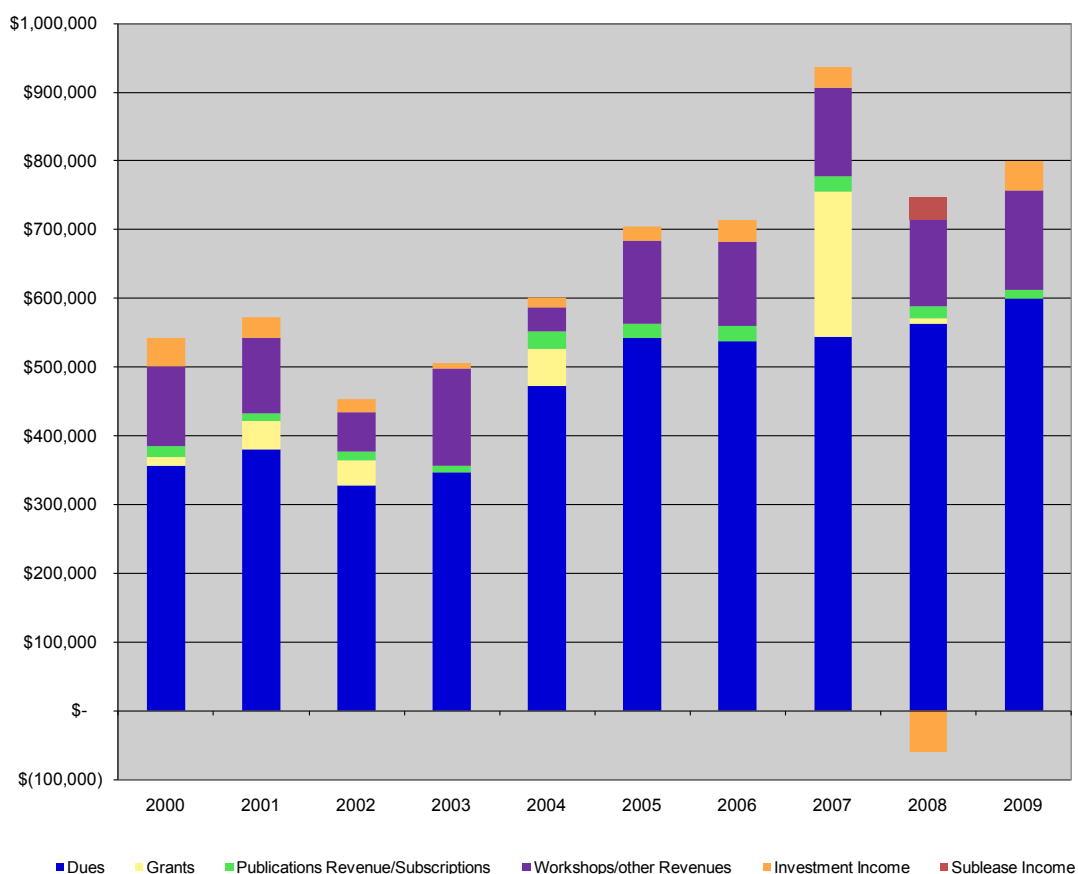

Figure 1: NISO Revenues 2000 - 2009

Expenses

Membership services, which includes back-end support software license costs, teleconference service, ANSI fees, marketing and meeting support, and much of the NISO travel expenses was the largest expense category at $211,346, or 25.4% of overall expenses. Standards development, which consists of direct costs to support the working groups, travel to meetings, was the second largest expense category, with $174,525 or 21% of overall expenses. Publications, which include ISQ and Newsline as well as production of NISO standards for distribution, represented another 18.1% of overall expenses, or $151,010 in 2009. The expense for NISO's participation in international standards activities at the ISO level totaled $72,493, and represented 8.7% of overall expenses. General and Administrative costs, Governance and Fundraising expenses totaled $164,832 or 19.8% of overall expenses. Overall, just over 80% of NISO's revenues were directly dedicated to the mission of the organization; developing and promoting standards development and maintenance. Figure 2 illustrates NISO expenses from 2000 through 2009.
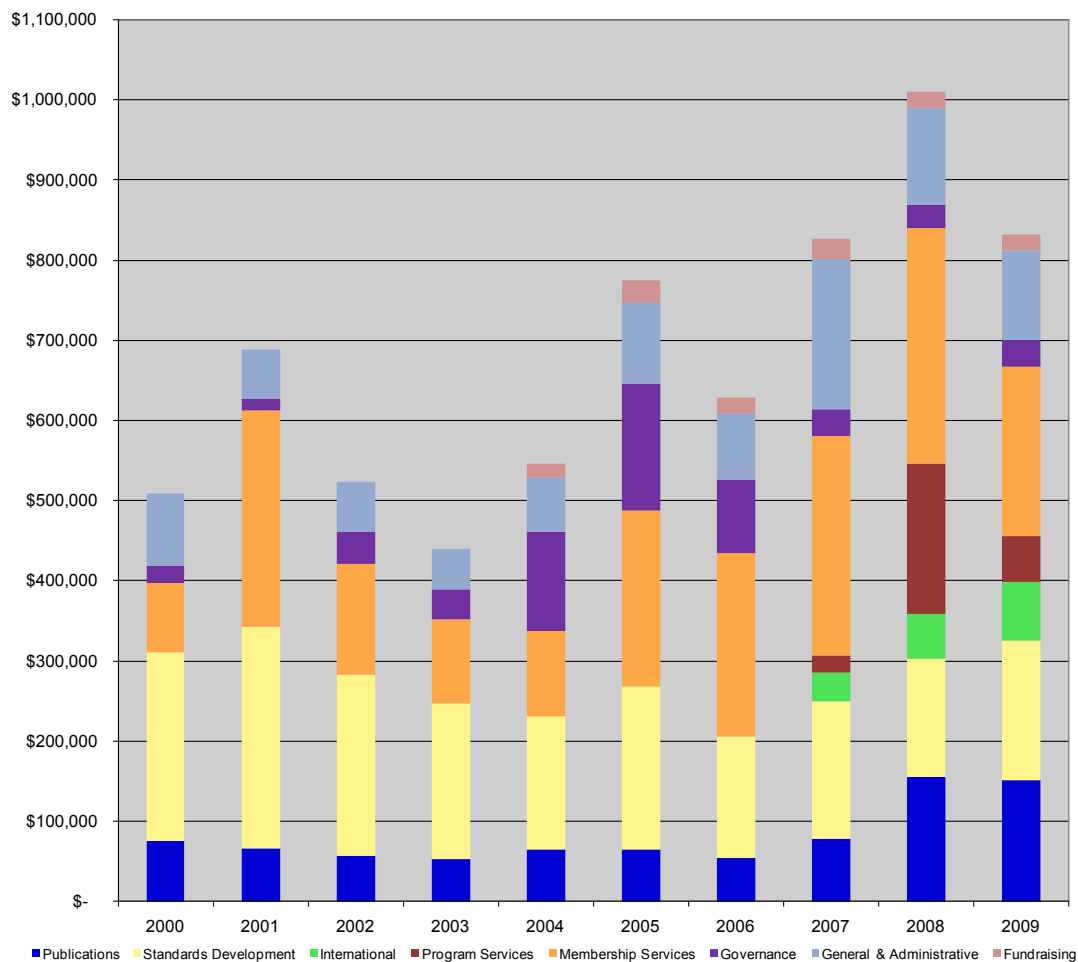

Figure 2: NISO Expenses 2000 - 2009

Overall, NISO operated in a modest deficit situation for the entire year, which was a significant improvement over 2008's results. The net result for 2009 was a deficit of $32,466. Additional cost containment measures are in place for 2010 as well as trends toward increased

membership levels, which should move NISO into an overall surplus situation into the future. Figure 3 shows NISO's annual change in assets and the total assets at the end of each year from 2000 through 2009.
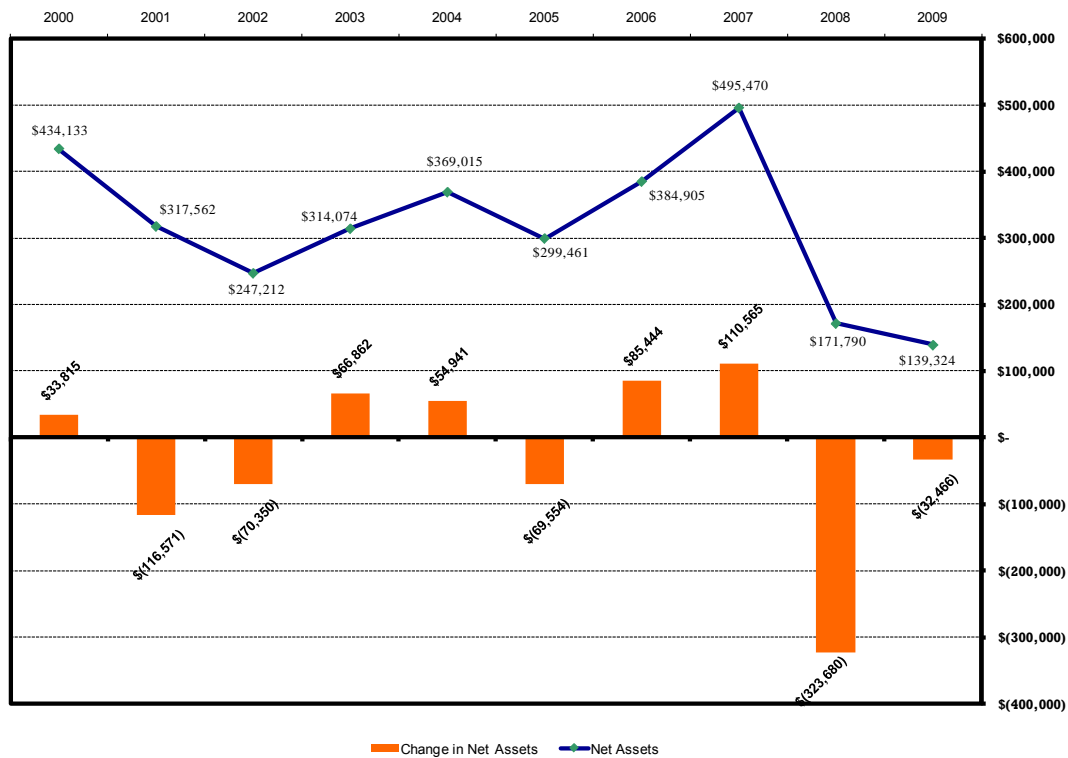

Figure 3: NISO Assets 2000 - 2009

A detailed table of NISO's revenues and expenses from 2000 through 2009 is in Figure 4. NISO's full audited financial reports as well as IRS 990 reports are available from the NISO office upon request.

	2009	2008	2007	2006	2005	2004	2003	2002	2001	2000
REVENUE										
Dues	$ 599,716	$ 562,938	$ 543,736	537,357	542,786	472,229	347,475	327,550	379,540	356,900
Grants	$ -	$ 8,820	$ 210,980	-	-	53,500	-	36,839	41,500	12,500
Publications Revenue/Subscriptions	$ 12,735	$ 17,402	$ 22,391	22,342	20,440	26,415	9,010	12,395	11,120	16,348
Sublease Income	$ -	$ 33,550	-	-	-	-	-	-	-	-
Workshops/other Revenues	$ 145,339	$ 124,746	$ 129,896	$122,051	121,119	34,030	141,198	57,115	110,266	115,688
Investment Income	$ 42,329	$ (60,732)	$ 30,256	31,875	20,217	15,174	8,789	18,930	29,984	41,459
TOTAL REVENUE & OTHER SUPPORT	$ 800,119	$ 686,724	$ 937,259	713,625	704,562	601,348	506,472	452,829	572,410	542,895
EXPENSES										
PROGRAM SERVICES										
Publications	$ 151,010	$ 154,827	$ 78,548	54,838	65,338	64,322	52,783	56,481	66,172	74,952
Standards Development	$ 174,525	$ 147,818	$ 171,018	151,112	203,263	166,963	194,840	226,296	276,391	235,387
International	$ 72,493	$ 56,092	$ 36,446	-	-	-	-	-	-	-
Program Services	$ 58,379	$ 187,303	$ 21,425	-	-	-	-	-	-	-
Membership Services	$ 211,346	$ 293,336	$ 272,834	228,926	218,893	$105,958	104,374	138,641	270,345	86,661
SUBTOTAL PROGRAM SERVICES	$ 667,753	$ 839,376	$ 580,271	$434,876	$487,494	$337,243	$351,997	$421,418	$ 612,908	$397,000
SUPPORTING SERVICES										
Governance	$ 32,445	$ 29,407	$ 33,329	91,258	157,923	124,175	37,762	39,030	14,717	21,027
General & Administrative	$ 111,232	$ 121,122	$ 187,191	83,035	101,405	67,076	49,851	62,761	61,326	91,053
Fundraising	$ 21,155	$ 20,499	$ 25,903	19,012	27,294	17,923	-	-	-	-
SUBTOTAL SUPPORTING SERVICES	$ 164,832	$ 171,028	$ 246,423	$193,305	$286,622	$209,174	$ 87,613	$101,791	$ 76,043	$112,080
TOTAL EXPENSES	$ 832,585	$ 1,010,404	$ 826,694	$628,181	$774,116	$546,417	$439,610	$523,209	$ 688,951	$509,080
NET ASSETS										
Beginning of Year	$ 171,790	$ 495,470	$ 384,905	299,461	369,015	314,074	247,212	317,562	434,133	400,318
End of Year	$ 139,324	$ 171,790	$ 495,470	384,905	299,461	369,015	314,074	247,212	317,562	434,133
INCREASE (DECREASE) IN NET ASSE	$ (32,466)	$ (323,680)	$ 110,565	$ 85,444	$ (69,554)	$ 54,941	$ 66,862	$ (70,350)	$(116,571)	$ 33,815
MEMBERS										
Voting Members	**77**	72	80	84	83	86	76	69	69	73

Figure 4: Detailed NISO revenues and expenses 2000 – 2009

NISO Board of Directors

Library Standards Alliance Members

NISO Voting Members

As of December 31, 2009

3M
AIIM
American Association of Law Libraries
American Chemical Society (ACS)
American Institute of Physics
American Library Association (ALA)
American Psychological Association
American Society for Indexing
American Society for Information Science & Technology (ASIS&T)
ARMA International
Armed Forces Medical Library
Association of Information & Dissemination Centers (ASIDIC)
Association of Jewish Libraries
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Council on Library and Information Resources (CLIR)
CrossRef
DAISY Consortium
EBSCO Information Services
Emerald Publishing Group
EnvisionWare, Inc.
Ex Libris, Inc.
H. W. Wilson Company
Helsinki University Library
HighWire Press
Index Data
Inera Inc.
INFLIBNET Centre
Infor Library and Information Solutions
Innovative Interfaces, Inc.
International DOI Foundation
Ithaka/JSTOR/Portico
John Wiley & Sons, Ltd.

Johns Hopkins University Press/Sheridan Libraries of Johns Hopkins University
Library Binding Institute
Library of Congress
Los Alamos National Laboratory
Medical Library Association
MINITEX Library Information Network
Modern Language Association (MLA)
Motion Picture Association of America (MPAA)
Music Library Association
National Agricultural Library
National Archives and Records Administration (NARA)
National Federation of Advanced Information Services (NFAIS)
National Library of Medicine (NLM)
National Security Agency
New England Journal of Medicine
NexTag, Inc.
OCLC Online Computer Library Center
OECD
Oxford University Press
Polaris Library Systems
Publishers Licensing Society Ltd.
Recording Industry Association of America (RIAA)
Reed Elsevier
Ringgold, Inc.
SAGE Publications
Serials Solutions, Inc.
SirsiDynix
Society for Technical Communication (STC)
Society of American Archivists
Special Libraries Association (SLA)
Swets Information Services
The Library Corporation (TLC)
Thomson Reuters
Triangle Research Libraries Network
U. S. Department of Defense, Defense Technical Information Center (DTIC)
U. S. Government Printing Office (GPO)
VTLS, Inc.

NISO STANDARDS ARE YOUR SOLUTION

About NISO

NISO is accredited by the American National Standards Institute (ANSI) to initiate, develop, maintain, and publish technical standards for libraries, archives, publishers, information service providers, and other involved in the business of the creation, storage, preservation, sharing, and dissemination of information. NISO is also the accredited U.S. Technical Advisory Group Administrator for the International Organization for Standardization (ISO) Technical Committee on Information and Documentation.

Standards save time, money, and energy.

By promoting development of and compliance with NISO standards, your organization can:

- Benefit from improved reliability of products or services

- Reduce duplication of effort

- Lower procurement, operational, and/or sales costs

- Help speed community understanding, acceptance, and adoption of solutions

- Meet RFP requirements that cite NISO standards

To become a member of NISO or for more information about NISO activities, visit www.niso.org.