

RLG Programs Shared Print Collection Management Summit: Summary Report

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**University of Pennsylvania
Philadelphia, PA
November 11-12, 2007**

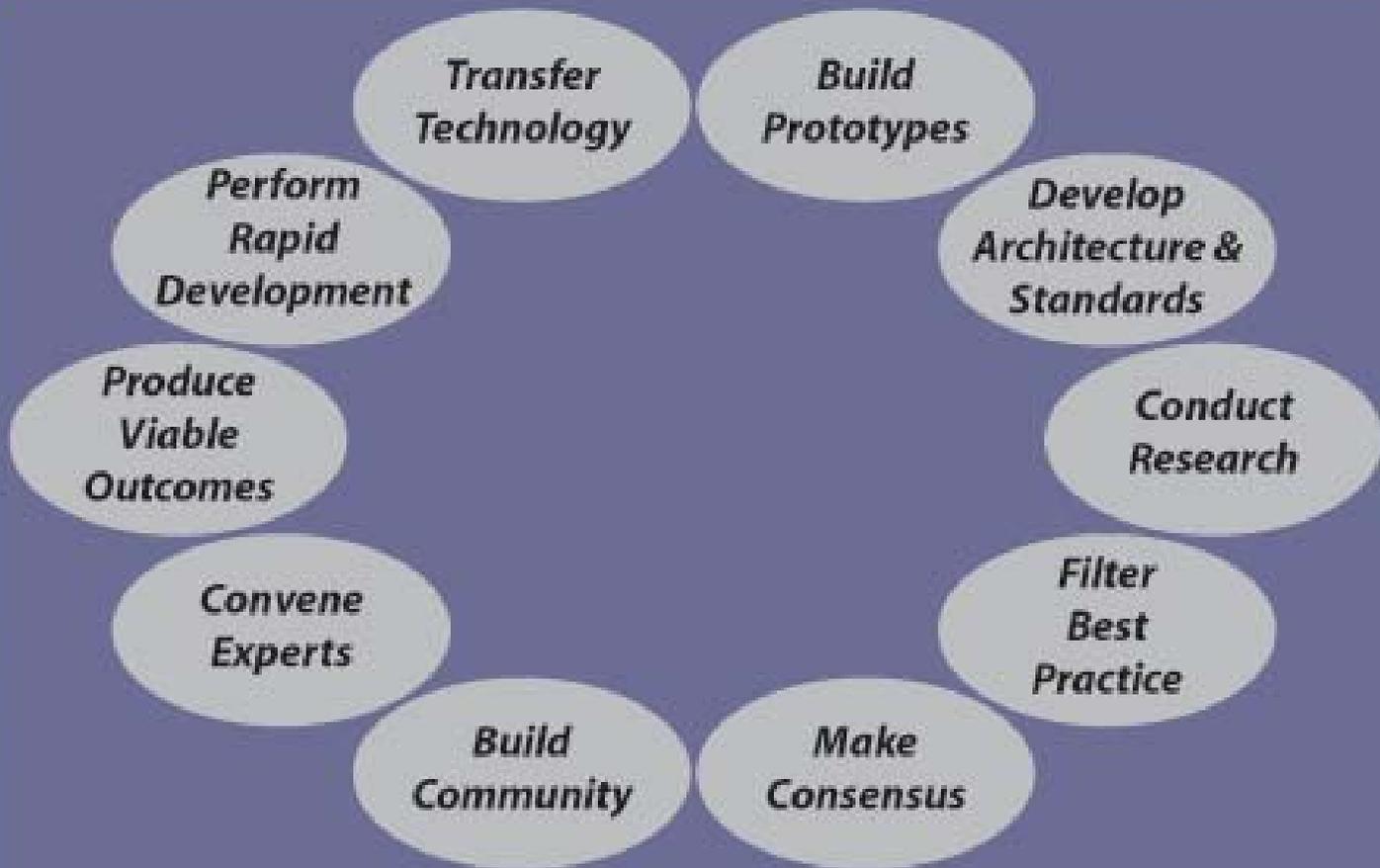
How the Print Came to Hit the Fan

- Wanted to extend trust within SHARES to other parts of the library
- RLG Programs
 - Dennis Massie
 - Constance Malpas
 - Karen Smith-Yoshimura
- Bob Wolven, Columbia University
- Program Advisory Group
 - Martha Brogan, Penn
 - Angela Carreno, NYU
 - Terry Kirchner, Columbia
 - Sarah Watstein, UCLA

Why RLG Programs?

- Every RLG Programs partner is faced with the challenge of managing print collections in a digital era
- Many are actively collaborating
- OCLC Programs and Research has already done work in the area
- OCLC is one of a handful of organizations situated to facilitate action at the global level
- RLG Programs can bring a group together that will have a unique perspective on the challenges

Community Solutions



Programs and Research

Areas of Uncertainty

Why did we invite who we did?

- RLG Program partner institutions
- Actively engaged in collaborative print collection management, or actively seeking partners for such a project
- Wanted both access/public services and collections points of view
- Multiple types of institutions
- Examples of various approaches

Representative, or Idiosyncratic?

- Large academics
 - Non-ARL academics
 - Law
 - Museums
 - UK
-
- Attendees from Orbis Cascade, UC, CIC, ReCAP, TRLN, LIPA, NYARC-4, SUNY, CASS, UKRR.
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- 35 attendees from 24 partner institutions

What were our goals once we gathered our experts?

- Explore the actual experiences of those in the room
- Have everyone contribute
- Discuss real successes and real obstacles
- Work toward identifying strategies for overcoming those obstacles
- Assign ownership of those strategies on a local, group, or global level
- Keep things fresh and nimble
- Get ready for Day Two

Tools and Structure

- Sessions focused on four main objectives of shared print collection management
 - Ensuring retention of last copies
 - Ensuring back-up of online access
 - Ensuring access to low-use materials
 - Expanding coverage, reducing duplication
- Pre-meeting readings
- Survey designed to identify common obstacles to collaborative print collection management

Context-setting haiku

New books in storage
Coffee shop in reference
Hell must be chilly

Full in the building
Even fuller in the pod
Can books become air?

Pre-conference survey

- Each attendee reported on a collaborative collection management project
- Each project was categorized by respondent:
 - Ensuring retention of last copies
 - Ensuring back-up to online access
 - Ensuring access to low-use materials
 - Expanding coverage, reducing duplication
- Successes and obstacles documented
- RLG staff categorized each obstacle
 - Organizational/cultural
 - Technical
 - Financial
 - Legal

Institution: Sample project survey response from [CIC University]		
Project: "CIC organized shared print archive for journals from Springer and Wiley"		
Goals:		
<ul style="list-style-type: none"> • Allow some participants to cancel print subscriptions; • Share storage costs; • Possibly allow some participants to withdraw print back-files. 		
Successes	Obstacles	
<ul style="list-style-type: none"> • We kept print copies of Wiley titles. • Each CIC library paid \$1,000 to us for this activity • Created special for ALF that indicated titles were part of the CIC Print Archive. 	<ul style="list-style-type: none"> • Concern over speed of delivery • Agreements made before e-delivery was prevalent • No urgency about or even real interest in withdrawing materials. 	
One thing not accomplished and why:		
<p>At recent CIC directors meeting, several lamented that this project was ended too soon. Done before issues became urgent. (red=organizational; blue=technical)</p>		
Solutions		
Local	Group	Global / Network
▪	▪	▪

Institution: [UK College] / UK Research Reserve		
Project: "6 Universities & BL work to secure long-term retention, storage & access to low-use print journals"		
Goals:		
<ul style="list-style-type: none"> • Coordinated retention of low-use print journals • Quick & easy access to research material • Collaborative storage 		
Successes		Obstacles
<ul style="list-style-type: none"> • Reviewed 7,361 journal titles to establish holdings across UK • 7,400 metres of low-use duplicate journals have been disposed of, freeing 1,227 sq. metres of space. • Developed model for coordinating "last copy" retention – 1 @BL, 2 at other libraries 		<ul style="list-style-type: none"> • Quality of journal holdings information in library catalogs • Difficulty in convincing academics to trust the system, & that a space crisis is upon us. • Libraries selecting odds & ends rather than de-duping big runs of titles held electronically, resulting in poor title-to-meterage ratio.
One thing not accomplished and why:		
We wanted to dispose of more journal titles but have used up our share of the project money granted by the Higher Education fund. (green=financial)		
Solutions		
Local	Group	Global / Network
▪	▪	▪

Institution: [Scottish University]		
Project: Collaborative Academic Store for Scotland (CASS)		
Goals:		
<ul style="list-style-type: none"> • Collaborative storage • Retention of last copy in Scotland • Space saving for home sites 		
Successes	Obstacles	
<ul style="list-style-type: none"> • Project led to the planning of the UK Research Reserve • Ensured this issue remained on the agenda for academic libraries in Scotland • Established an operational service 	<ul style="list-style-type: none"> • Slow progress • Difficulty achieving "buy-in" from academics (faculty) • Funding <p>(red=organizational, green=financial)</p>	
One thing not accomplished and why:		
No business model for expansion, and insufficient space for physical expansion. Both issues are being addressed in a new 5-year plan.		
Solutions		
Local	Group	Global / Network
▪	▪	▪

Institution: [shared storage partner university]		
Project: "Creation of offsite storage consortium with partners"		
Goals:		
<ul style="list-style-type: none"> • Enhanced shelving & storage conditions for all materials • Easy & fast access (physical and/or electronic) to our own materials • Easy & fast access to materials owned by partners. 		
Successes		Obstacles
<ul style="list-style-type: none"> • Enhanced shelving & storage conditions • Easy & fast access to own materials • Enhanced inventory control over collections, though recon & transfer processing 		<ul style="list-style-type: none"> • Need to stabilize fragile or damaged materials (blue=technical) • Need to resolve bibliographic inconsistencies, problematic in online environment • Some serials sets lack analytics, more approp. for browsing
One thing not accomplished and why:		
Easy and fast access (physical and/or electronic) to partners' material. Technology limitations, staffing, and institutional policies have all resulted in slow progress on this issue. (red=organizational)		
Solutions		
Local ▪	Group ▪	Global / Network ▪

Institution: [same shared print partner university]		
Project: "Creation of offsite storage consortium with partners"		
Goals:		
<ul style="list-style-type: none"> • Relieve critical space constraints on campus • Create a more ideal environment for long-term storage of low-use materials • Share costs of site, construction, staff and maintenance. 		
Successes		Obstacles
<ul style="list-style-type: none"> • Transfer of material offsite proceeded rapidly • Efficient and timely system of recalling material was implemented • Fast e-delivery of articles and book sections was implemented. 		<ul style="list-style-type: none"> • Volume of offsite transfers sometimes outpaced construction • Collections of the partners remain separate, so its more of a collaborative effort for space • Resistance of some user groups
One thing not accomplished and why:		
Many wanted to enhance the records with table of contents info. before moving material but volume of material transferred over brief period made this infeasible. (blue=technical)		
Solutions		
Local	Group	Global / Network
▪	▪	▪

Institution: [a different shared print partner institution]		
Project: "A shared offsite storage facility, with partners"		
Goals:		
<ul style="list-style-type: none"> • Safe, preservation-appropriate environment • Potentially a last-copy facility • Collection shared easily among institutions 		
Successes	Obstacles	
<ul style="list-style-type: none"> • It is very efficient • The material is well-cared-for. • Have begun filling ILL requests directly from the facility. 	<ul style="list-style-type: none"> • Own institution's bureaucracy (internal communication) • Center-based rather than library-wide "ownership" of materials • Board of Trustee oversight through restrictive de-accession policy 	
One thing not accomplished and why:		
Being able to easily move materials among institutions. Hampered by requesting technology and strict collection lending policies. Leadership has changed, policies not clear, change is feared because original reasons for decisions not well-documented. (red=organizational)		
Solutions		
Local ▪	Group ▪	Global / Network ▪

Survey Responses, Libraries, Projects

- 25 responses (one under two categories)
- 5 Ensuring retention of last copies
- 8 Ensuring back-up to online access
- 7 Ensuring access to low-use materials
- 6 Expanding coverage, reducing duplication
- 21 libraries represented (24 libraries attended)
- 19 projects described

Project Obstacles by Objective

- 90 obstacles identified
- 15 Ensuring retention of last copies
- 29 Ensuring back-up to online access
- 27 Ensuring access to low-use materials
- 19 Expanding coverage, reducing duplication

Organizational/Cultural Obstacles

- 8 attitudes of faculty or users
- 6 restrictive policies
- 5 inadequate formal plans
- 4 lack of assessment
- 3 lack of will to continue collaborating
- 3 attitudes of bibliographers

Technical Obstacles

- 5 inadequate software
- 4 holdings information

Objective	<i>ENSURING RETENTION OF LAST COPIES (example of discussion recording matrix, top half)</i>	
Approaches	Obstacles	
<p>1) Analyze titles for last copy status as they are brought up, instead of trying to analyze entire collective collection.</p> <p>2) Do something in your own interest, not for a group, so you won't change your mind when leadership changes.</p>	<p>1. Storage/retention decisions not reflected in WorldCat or other utilities.</p> <p>2) Will fewer copies disenfranchise those who aren't at inst. that support such borrowing access.</p> <p>3) Monographs and serials present different problems</p>	
Measures of Success		

Forward strategies: ENSURING RETENTION OF LAST COPIES (example of discussion recording matrix, bottom half)

1. Define what we mean by "last copy." (Does it mean I'm committed to preserving that last copy? Last copy, only copy, unique copy, first copy. FRBR matrix.)
2. Need better journal holdings information to be able to make informed de-accession decisions. 3) Distribute retention burden fairly.
- 4) Disclose retention/storage decisions to WorldCat or other utility.
- 5) Improve serials holdings records as storage/retention decisions are made.
- 6) Decide how retention/storage decisions will be recorded.
- 7) Note condition when sending things to storage.
- 8) cost-sharing policy framework for "outsiders" to buy access from those storing/retaining.
- 9) Go to provost for funding for projects instead of taking from library budget.
- 10) Look at range of agreements to find "best one" template.

Assignments

Local	Group	Global
<p><i>Advocacy to deal with local cultural and institutional hesitation.</i></p> <p><i>Commitment to allocate funds to deal with shared responsibility</i></p> <p><i>Cost benefit analysis</i></p> <p><i>Improve journal holdings data</i></p> <p><i>Disclose retention/storage decision</i></p> <p><i>Update holdings records to reflect storage or retention decisions</i></p> <p><i>Note condition evaluation for storage transfers</i></p> <p><i>Approach provost for funding of last copy efforts rather than diverting library funds</i></p>	<p><i>Agree to use same definitions.</i></p> <p><i>Develop system for cost benefit analysis</i></p> <p><i>Define terms (last copy, only copy, first copy)</i></p> <p><i>Distribute retention burden</i></p> <p><i>Disclose retention/storage decision</i></p> <p><i>Cost-sharing policy for access to storage collections</i></p> <p><i>Examine range of agreements to identify model</i></p>	<p><i>FRBRization of copy info and mono holdings.</i></p> <p><i>Registries of status of items & intentions of holders</i></p> <p><i>Develop system for cost benefit analysis</i></p>

Objective	<i>ENSURING ACCESS TO LOW USE MATERIALS (example of discussion recording matrix, top half)</i>	
Approaches	Obstacles	
<ul style="list-style-type: none"> 1) print on demand? 2) incorporation of long-tail business models? 3) seamless delivery services? 4) stop buying so much paper/get digital only 5) database of journal runs? 6) investigate RAPID strategy toward serial title/holdings for shared access 7) are libraries become more like museums? 	<ul style="list-style-type: none"> 1) Different barcodes & ability to read in participants' ILS 2) Defining "low use" as use onsite or use by other institutions 3) Definitions - low use, special, rare, sufficient copies 4) Hard to compare monographs & serials - each has uniqueness 5) Serial title duplication does not equal serial volume duplication 6) Inconsistent holding standards for serials 	
Measures of Success		

Forward strategies: ENSURING ACCESS TO LOW USE MATERIALS (example of discussion recording matrix, bottom half)

- 1) Getting data transparency at the item level for access/ownership
- 2) Understand impact of recon activities on collection/item use
- 3) Monitor & evaluate impact of digitization activities on collection/item use
- 4) Redefine collaborative collection development for a shared offsite facility
- 5) Sending new items with anticipated low use to offsite
- 6) Understanding changing access, space & technology needs of users & staff to provide access to low-use offsite materials
- 7) Viewing offsite storage as a viable preservation option
- 8) Best practices for storing & servicing special collections & formats
- 9) Area-based approach to last-copy complete journal runs

Assignments		
Local	Group	Global
<i>understand impact of metadata enhancement on item/collection use</i>	<i>monitor impact of dig. conversion on collection/item use</i>	<i>data transparency at item level</i>
<i>accession low-use items directly to storage</i>	<i>redefine collab. coll. dev. for shared storage</i>	
<i>understand changing space/technology needs to provide access to low-use offsite collections</i>	<i>embrace storage as viable preservation option</i>	
<i>embrace storage as viable preservation option</i>	<i>best practices for storing and servicing special collections and formats</i>	
	<i>regional approach to last-copy journal runs</i>	

Day Two

Ensure Retention of Last Copies

Disclose a nuanced picture of system-wide uniqueness, reflecting FRBR entity level and item characterization sufficient to enable cost-efficient management of local and group inventories

Recommended actions – a sample of what we heard:

- **Local:** ensure holdings are up to date; commit to periodic audit of last copies/expressions
- **Group:** explore opportunities to aggregate long-tail resources in virtual group catalogs to increase value to scholarly community
- **Global:** facilitate work-clustering of unique titles; analysis
- **Model Project:** identify redundant journal runs across multiple repositories, maximize impact by focusing on large back-files for titles available electronically; leverage RAPID data as source of detailed holdings data

Shared Access to Low-Use Collections

Reduce continuing costs of preserving redundant print collections by increasing reliance on regional repositories; manage low-use collections as a shared asset in cost-efficient storage facilities

Recommended actions – a sample of what we heard:

- **Local:** directly accession low-use titles to storage; improve accessibility of remote holdings
- **Group:** examine and document impact of digitization and metadata enhancement on use of collections in storage
- **Global:** improve item-level disclosure
- **Model Project:** Survey storage facilities to complete statistical profiles of capacity, services, conditions, ownership models

Ensure Back-up to Online Access

Register local and commercial preservation guarantees and retention commitments at network level

Recommended actions – a sample of what we heard:

- **Local:** participate in networked print and digital preservation efforts
- **Group:** commit to monitor (audit) external preservation agents as part of distributed preservation investments
- **Global:** explore means of recording preservation status for licensed content in bibliographic utilities
- **Model Project** : Explore means of identifying, recording and disclosing preservation guarantee for online content, e.g., titles deposited in trusted digital repository or ingested in Portico archive; focus on licensed content.

Expand Coverage, Reduce Cost

Manage system-wide redundancy to promote minimum preservation guarantees; redeploy savings from print rationalization to (1) fill gaps in system-wide holdings (2) increase distinctiveness of Institutional holdings

Recommended actions – a sample of what we heard:

- **Local**: integrate group collection analysis tools into collection management / acquisition workflows
- **Group**: increase use of unmediated discovery/delivery for group catalogs; assess and characterize aggregate collections
- **Global**: help libraries disclose service-level guarantees and cooperative agreements as indicator of library quality
- **Model Project** : Draft guidelines or good-practice documents for libraries helping faculty to manage the transition from print to electronic

Lessons Learned

- Lack of space is a looming crisis that will force libraries into exploring new ways to collaborate
- There is a crying need for “actionable intelligence” that will allow library administrators to make evidence-based decisions about managing print collections
 - Holdings
 - Storage
 - Condition
 - Preservation/retention/digitization commitments
 - Cost
 - Shelf space taken up by runs of specific journals
 - Glossaries

Lessons Learned, cont.

- Monographs and journals are completely different and shouldn't be part of the same storing/discarding conversations
- Journals represent the biggest potential cost/space savings but data is inadequate
- Monographs represent a rather small potential cost savings but data is more readily available

Lessons Learned, cont.

- Difficult to scale “best practices”
- What once was low-use may become high-use, with staffing and cost issues
- Faculty now often prefer that their journals be sent to storage (for easy e-delivery)
- With apologies to Tom Petty – ceding ownership is the hardest part

Finally...

- There was a growing sense among attendees that time spent fussing about preservation of *anything print* is going to be time wasted – focus on preserving the digital!

Next Steps

- Full meeting summary and analysis
- Shared Print working group
 - Will complete statistical survey of shared print facilities
 - Will gather and compile available policy documents
 - Will expand the circle of participation beyond attendees and even beyond RLG Programs partners
 - Will complete first round of work by March
- Holdings validation project
 - Scarcely-held North American imprints
 - 4 or fewer institutions
 - Check local holdings to validate WC data
- Assignments taken on by attendees
 - Will report on progress periodically

- Questions?
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