

Managing the Collective Collection: Shared Print

Constance Malpas
Program Officer

RLG Programs
2008 Partner Meeting
Paris, 6 November 2008

Managing the Collective Collection

RLG Programs' perspective: *research collections deliver maximum value to the scholarly enterprise when they are managed as a network resource that supports a broadly distributed community of scholars*

- Shared Print - *analysing* aggregate collection to identify patterns that can support programmatic management; *characterising* policy and infrastructure requirements; *modeling workflows* for cooperative management

. . . working with partner institutions to explore and develop more profoundly collaborative approaches to acquiring, managing and disclosing research collections

System-wide challenges, System-wide approaches

- RLG provides a unique venue in which international perspectives on shared priorities and concerns can be shared: North American, European, Australian ...
- Combined research and programs capacity can be deployed in support of evidence-gathering, problem-solving, beta development
- System-wide vantage point provides insights into 'macro-economics' of library enterprise
- Direct engagement with partner libraries provides opportunities to shape collective action agenda
- Community-wide impact and influence is maximized

The Great Migration: Print Collections

- Off-site storage
- Mass digitization
- Re-evaluating investment in legacy workflows, systems
- Distributed print archives ... uncertain business model

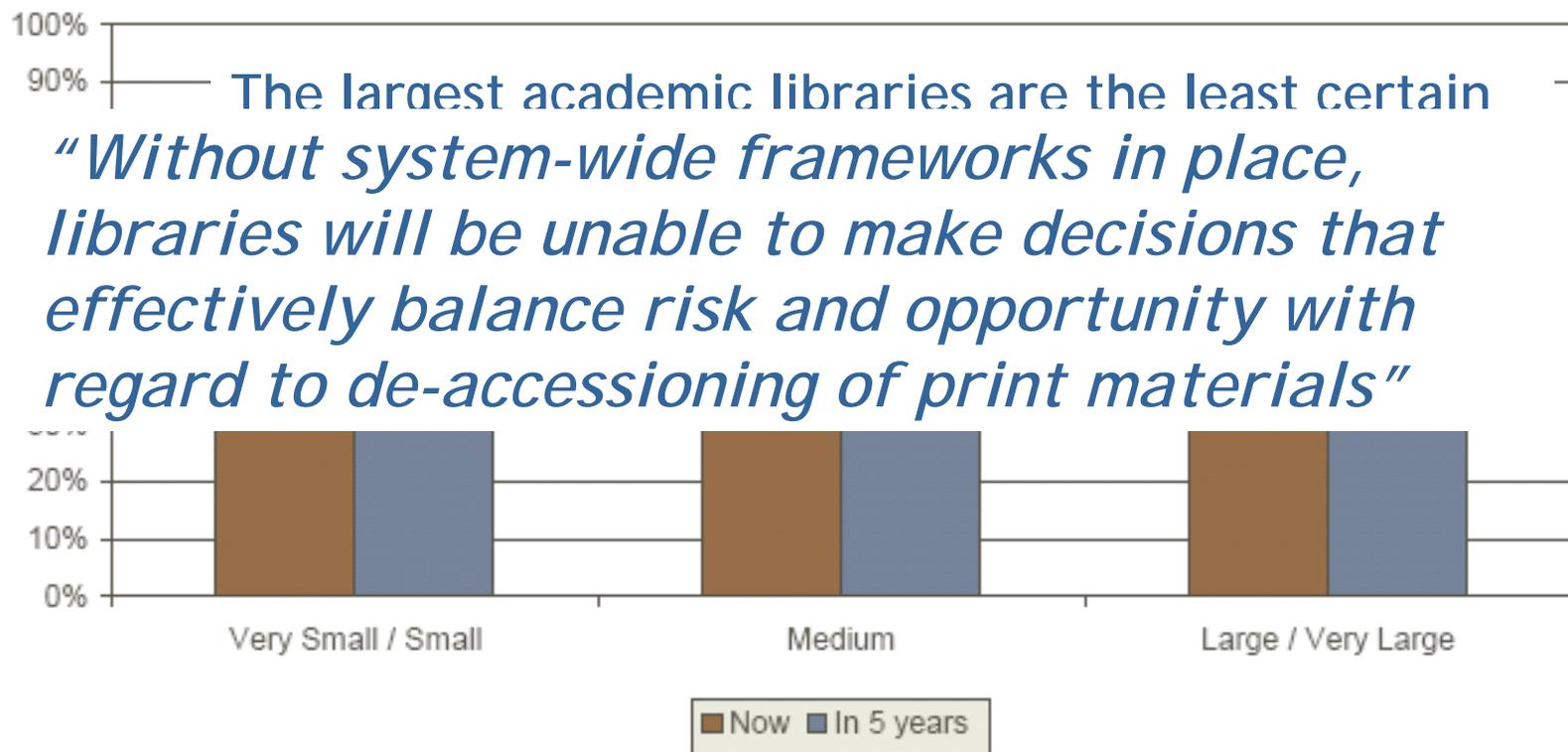
“The fact that *some libraries have resources and incentives* to build and manage unique collections *can allow others to focus more intensively on* ensuring accessibility to the *range of information now available from other libraries...*”

Changing Roles of Academic and Research Libraries, ACRL, 2007

Part of a library strategy to recapture a leadership role in supporting the academic mission of the university: increased reliance on external (shared) print collections

Who "Owns" the Print Preservation Mandate?

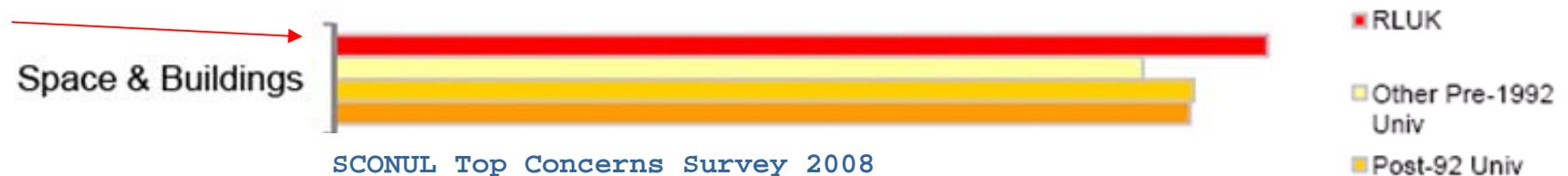
Figure 21: Percent of librarians ranking "Preserving traditional library resources, i.e. hard-copy books, reference materials, and periodicals" as a "very important" function of their library, now and in five years.



R. Housewright, R. Schonfeld (2008)

Place (and value) of Print Collections is at Issue

- “Space and buildings” the top concern of academic libraries in the UK and Ireland, regardless of institution type or size (SCONUL, 2008)
- **Research libraries** are *more concerned* about space than other academic library types



- The concern is acute (+90% of respondents) and immediate (next 3 and 12 months)
- UKRR: a collaborative approach to reducing redundancies in aggregate holdings - **but how does it fit into 'system-wide' preservation strategy?**

How Much Redundancy Is Needed?

Minimum no. of copies to ensure, with stated target probability, that at least one copy remains at the time horizon, given annual failure rate in leftmost column.

	Time horizon = 50 years				Time horizon = 100 years				Time horizon = 200 years				
Target probability													
0.999999	0.999999	0.999999	0.999999	0.999999	0.999999	0.999999	0.999999	0.999999	0.999999	0.999999	0.999999	0.999999	0.999999
0.001	4.57	3.81	3.05	2.29	5.87	4.90	3.92	2.94	8.09	6.74	5.39	4.05	4.05
0.002	5.66	4.64	3.72	2.80	7.35	6.03	4.71	3.40	10.15	8.31	6.83	5.12	6.23
0.004	8.10	6.75	5.40	4.05	12.47	10.39	8.31	6.23	23.21	19.34	15.47	11.60	11.60
0.005	9.17	7.64	6.11	4.59	14.84	12.37	9.89	7.42	30.22	25.18	20.14	15.11	15.11
0.006	10.25	8.54	6.85	5.15	17.31	14.51	11.68	8.76	38.72	32.26	25.81	19.36	19.36
0.007	11.33	9.44	7.59	5.71	20.00	16.81	13.69	10.10	48.71	40.89	32.71	24.53	24.53
0.008	12.49	10.41	8.32	6.24	23.26	19.38	15.51	11.63	61.71	51.42	41.14	30.85	30.85
0.009	13.66	11.38	9.11	6.85	27.02	22.18	17.74	13.51	77.15	64.29	51.43	38.57	38.57
0.010	15.00	12.44	10.00	7.50	31.40	25.30	20.10	15.70	95.00	79.00	63.00	47.00	47.00
0.015	21.78	18.15	14.52	10.89	55.43	46.19	36.93	27.72	276.91	230.75	184.60	138.45	138.45
0.020	30.51	25.42	20.34	15.25	97.10	80.92	64.74	48.55	778.58	648.82	519.05	389.29	389.29
0.030	56.16	46.80	37.44	28.08	283.57	233.31	183.05	141.78	1027.99	856.66	685.33	514.00	514.00
0.035	74.92	62.43	49.94	37.46	480.18	400.15	320.12	240.09	17168.39	14306.99	11445.59	8584.19	8584.19
0.040	98.70	82.25	66.20	50.15	740.00	616.67	493.34	370.00	25539.00	21282.50	17026.00	12769.50	12769.50
0.045	131.07	109.23	87.38	65.50	1137.56	948.11	762.49	591.71	686.78	573.99	461.19	348.39	348.39
0.050	172.55	145.79	115.03	86.28	2326.58	1938.81	1551.05	1163.29	394128.89	328440.74	262752.59	197064.44	197064.44

But ...

average institutional holdings (symbols) for serial titles in WorldCat = 13

so de-duplication opportunities may be less than imagined (fewer titles, fewer holdings)

... and risks of uncoordinated action

significantly higher as at-risk titles are withdrawn

average institutional book titles in WorldCat = 9, or a preservation horizon of just 50 yrs @ 0.999999

...and up to 40% of book titles have a single institution holding

C. Yano (2008)

Shared Print - key challenges, core themes

- Aggregate collection: assessing value and risk
 - Variable preservation risks - holdings, formats, publishers
 - Variable usefulness in emerging network flows - print holding may be easier to share but less amenable to new uses
- Assessing infrastructure for collaborative management
 - Coverage of global holdings
 - 'last' is context dependent; condition is rarely reported
 - Complete disclosure of preservation and access commitments
 - Institutional policies fail to generate (or benefit from) network effects
 - Optimize delivery infrastructure for evolving user expectations
 - Discoverability vs. fulfillment

2007: Surveying the Landscape

- Structured interviews with managers of shared print collections in North America, England and Scotland
 - From shared space to shared ownership
 - Rationalisation of regional holdings
- Assessing aggregate collection as a collective asset
 - Institutional distribution of unique print book titles in North American research institutions - 6.9M titles in 128 institutions; median 19K
 - Implications for long-term preservation
- L. Payne "Library Storage and the Future of Library Print Collections in North America" - commissioned report
 - New incentives for inter-institutional collaboration
 - Shared infrastructure should be more effectively leveraged
- RLG Collections Summit (Philadelphia, November 2007)
 - Review and analysis of case studies: what has worked, why (not)
 - Trinity College Dublin, Imperial College, University of Edinburgh, National Library of Scotland

2008: Assessing Infrastructure Requirements

- **Shared print policy review**
 - Content analysis of 18 single- and last-copy policies: how much is enough?
 - Incentives and imperatives vary but common themes prevail: explicit commitment to retain, escape clauses and exemptions
 - Core requirements: network disclosure of locally negotiated partnerships; a new business model that acknowledges deepening inter-dependencies; common terms of reference
- **Implementing change: demonstration projects**
 - Legacy collections: de-duplication of print journal back runs
 - Prospective collections: re-assessing workflows to eliminate redundancies, maximize value of local investment
 - Building distributed 'collections of record' in New York and Southern California: how to negotiate and disclose joint management schemes

An evidence-based approach to risk management

- Identify key variables: format, distribution, cost, function in research lifecycle
 - “Refereed humanities journals with print-only distribution channels and aggregate institutional holdings of <50 WorldCat libraries” - represent a high-risk class of materials
- Align preservation values and institutional mandates
 - Solicit participation from institutions that have *already* made a decision to collect these materials and which have most comprehensive holdings
 - Invite same to reflect on nature of current commitment, extent to which it supports needs of scholarly *community*
- Model workflows to support low-cost validation and claiming; maximize visibility (and value) of institutional commitments
 - By concentrating demand and specifying service-level agreements, participants assert *a continuing role in the scholarly value-chain*

Outcomes (aspirations)

- Process automation for identification of at-risk titles
 - Increased reliance on linked data: ISSN, peer-review status, publishing history, institution (repository) profiles
- Streamlined workflows for management of print resources, focusing investment where return is likely to be greatest
 - Check-in, validation, record maintenance
- Baseline measures against which impact on use and cost can be assessed
 - Free riders vs. long tail economics
- Increased incentives for small-run academic publishers to transition from print to electronic distribution
 - Dim archives can be used for back run digitisation; transition to dark archives, further reducing redundancy requirements - a 'progressive' preservation strategy

Open Questions

- How might European research libraries (national and academic) participate in global print preservation schemes?
 - Books, journals
- Will the new Google Settlement undermine the ability of libraries to develop a new business model of their own?
 - Print on demand, electronic ILL, separate licensing model
- Do independent research libraries which are not beholden to an academic (teaching and learning) mandate have a new role to play in the collections economy?
 - Preservation partners

