

Managing Shared Print Collections: *From Evidence to Action*

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RLG Partnership Meeting
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half-life of scholarly literature

As scholarly information practices move
online

copyright regimes

the function and value of library print
collections is changing.

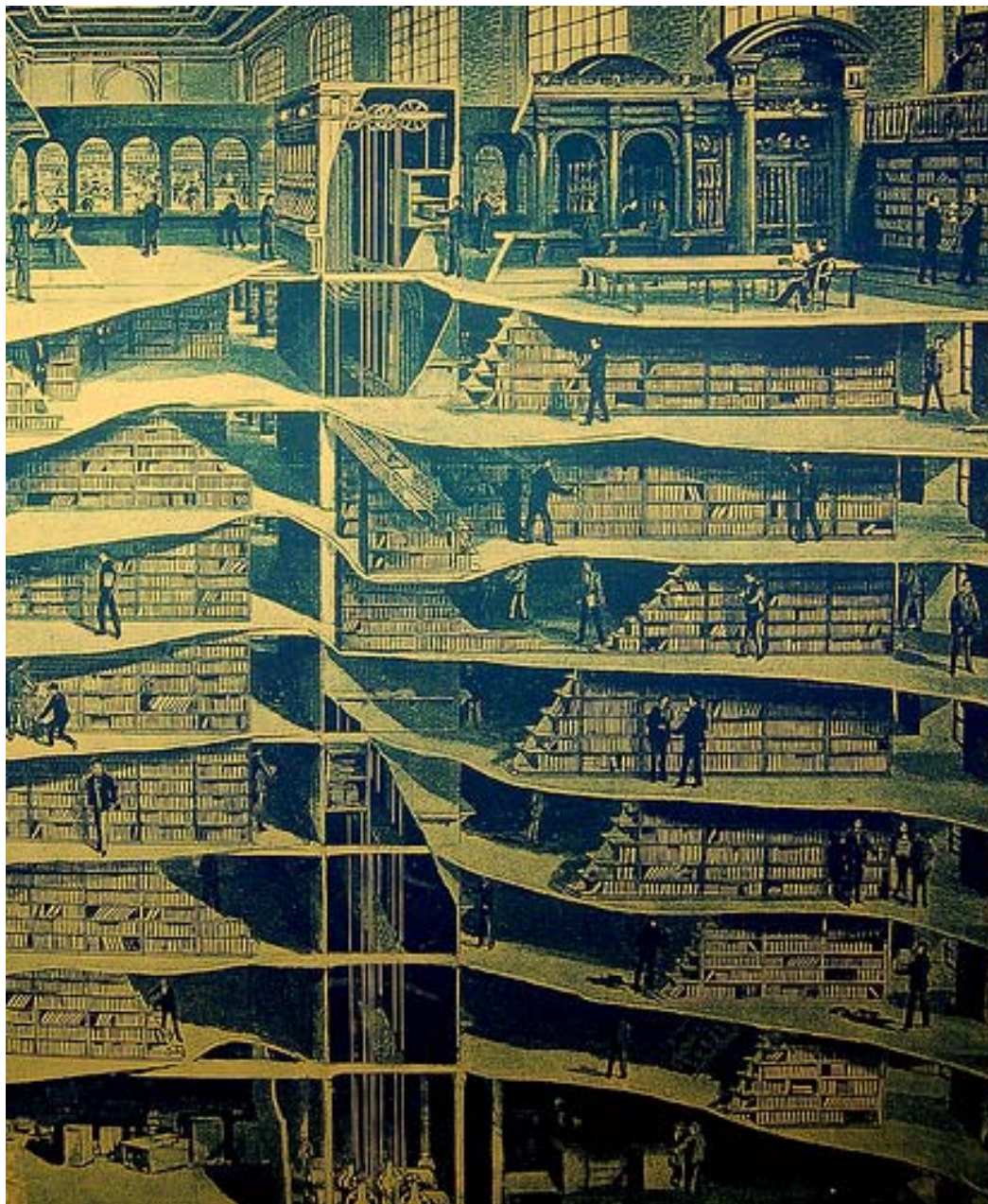
economic imperatives

academic mission

disciplinary disparities

mass digitization

How will research libraries adapt?



Then:

Local inventory
determined availability

Center of gravity
increased with size of
collection

Workflows built around
local holdings



Absence of cooperative management infrastructure elevates risk

Now:

Distribution hubs support system-wide access

Off-site collections comprise greatest part of major research libraries



Viewpoint and vision:

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.

Implications:

New inter-institutional management frameworks are required to address cost imperatives and service expectations.

OCLC Research: Shared Print Collections Program

As the availability of online scholarly resources grows, research institutions face increasing pressure to optimize management of their print collections. Consolidation and rationalization of holdings within and across institutions creates economies of scale that benefit individual institutions and the community as a whole by reducing costs and eliminating redundancies in system-wide holdings. While there is broad interest in achieving such economies, essential infrastructure for enabling inter-institutional cooperation in print management is lacking.

2008-2009

- Managing Risk: Cooperative Print Preservation
- Reducing Duplication in Dual-Format Holdings

2007-2008

- System-wide Storage Capacity
- Shared Collection Policy Frameworks

2009-2010

- Implementation
- Infrastructure

Shared Print Collections Coordinating Committee

- Susan Allen, [Getty Research Library](#)
- Steven Bosch, [University of Arizona](#)
- Martha Brogan, [University of Pennsylvania](#)
- Paul Courant, [University of Michigan](#)
- Kimberly Douglas, [California Institute of Technology](#)
- Nancy Eaton, [Pennsylvania State University](#)
- Sharon Farb, [UCLA](#)
- Assunta Pisani, [Stanford University](#)
- Emily Stambaugh, [California Digital Library](#)
- Michael Stoller, [New York University](#)

Evidence & Analysis: A System-wide View

- **Structured interviews with managers of shared print collections in North America, England and Scotland**
 - From shared space to shared ownership
 - Rationalization 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 to produce a broader system-wide approach

Evidence & Analysis: A System-wide View

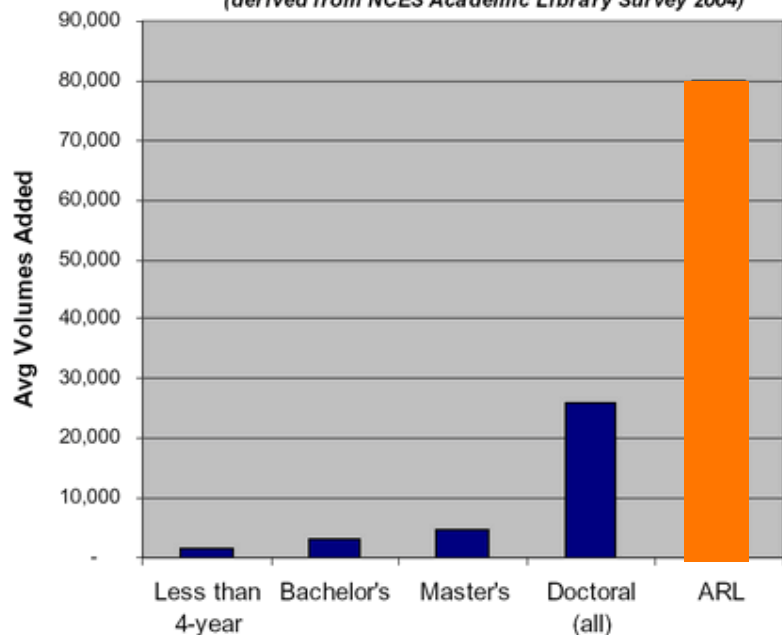
■ Shared print policy review

- 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
- We have what's needed to move with confidence

■ Maximize benefit of existing investment:

- Operational workflows built around shared assets
- Have facilities; storage and supply practices; policies
- What additional structures are needed?

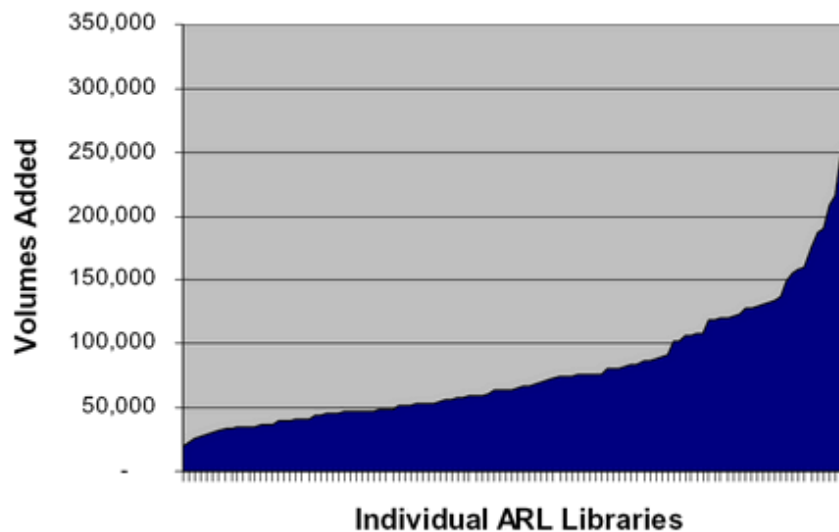
Average Volumes Added Annually by Library Type
 (derived from NCES Academic Library Survey 2004)



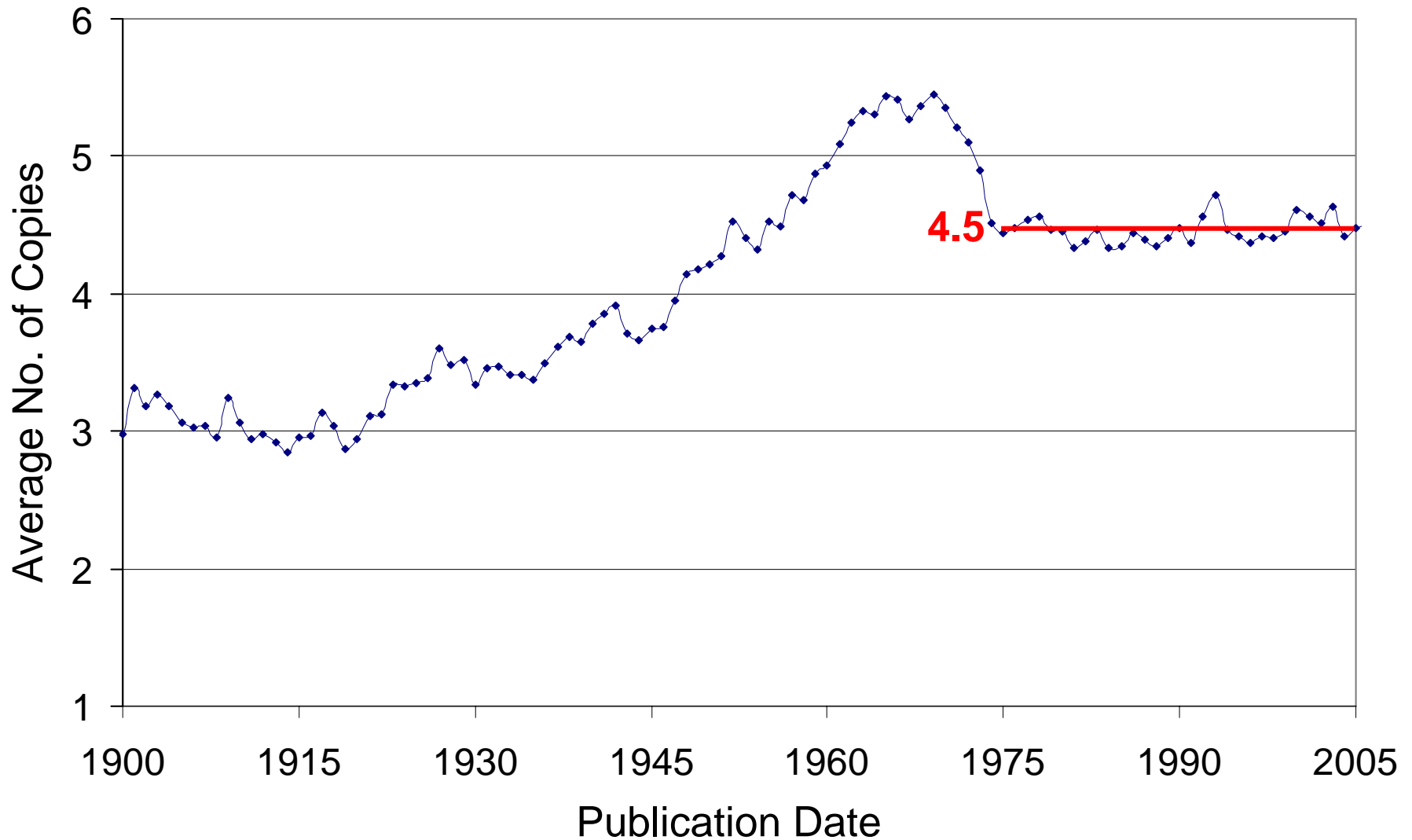
Research libraries are the ones still investing in print

The investment is very unevenly distributed

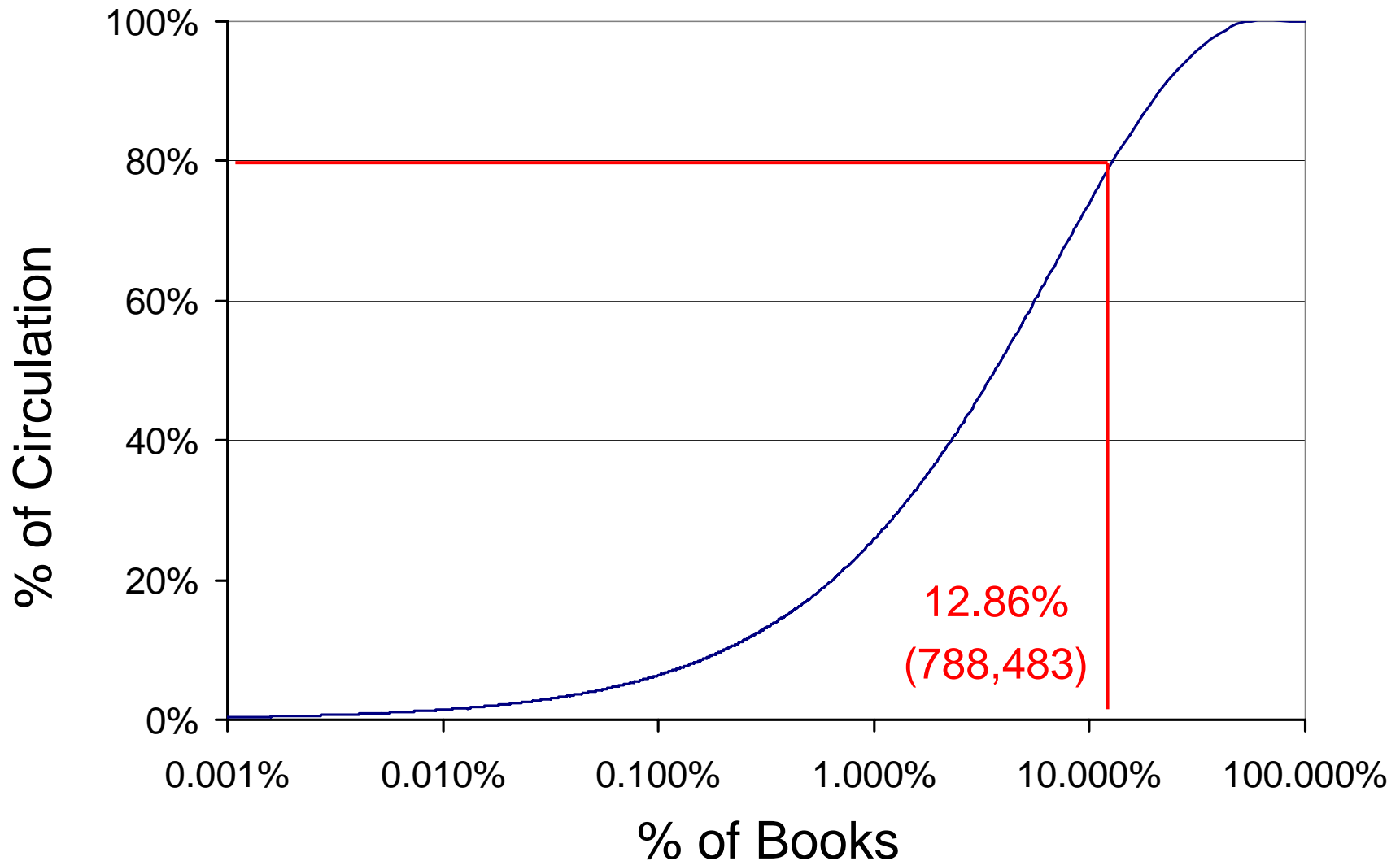
Actual Distribution of Volumes Added in 2006 by ARL Libraries



Duplication Rate in an Aggregate Academic Collection



Circulation in an Aggregate Academic Collection



Managing Risk: Cooperative Strategies

- **Prospective Journals Preservation project**
 - Risk-sensitive approach to investment in print serials
 - Academic humanities journals with print-only distribution channels and limited aggregate library holdings
 - Goals: shared workflow for assessing and managing at-risk print journals; improved understanding of cost/benefit of cooperative preservation strategy

- **De-duplication of Dual-Format Print Journals**
 - Focused on low-risk titles: widely duplicated, multiple formats
 - Obstacles to implementing change

Prospective Journals Preservation Project

- Risk-aware approach to continued investment in scholarly print journal literature
- Modeling cooperative approach to preservation of 'at risk' print serials
- Focus on discrete class of *active, peer-reviewed humanities and social science journals* with *print-only distribution* and *limited aggregate library holdings*

Goals

- ✓ *Shared workflows for identifying and managing sparsely-held print serials as a network resource*
- ✓ *Assess institutional commitments to long-term retention and acquisition of these resources*

Prospective Journals Preservation Project (cont.)

- 230+ title sample (2% of estimated 10,000 print-only refereed journals)
 - Median institutional holdings = 24 libraries
 - Median age of publication = 27 years
 - 42% English-language publications
- Titles individually assigned for institutional review
 - Coverage and condition of local holdings
 - Usage as measured by ILL, circulation, etc. over 12 & 60 mos.
 - Current subscription status
 - Shelf location: open, closed, off-site
 - Archiving and access commitments

Prospective Journals Preservation Project (cont.)

- Approx. 20% of titles reviewed are held in their entirety by the assigned institution
- In total, about half of titles reviewed are >50% complete and may be suitable for archiving
- ~ 50% are less than half-complete

- Condition is generally good; text block intact
- Bibliographic description is adequate (90%)
- Usage is very low; >50% of titles have not been requested in past 60 months
- Validation burden is relatively light (~15 min./title)

Prospective Journals Preservation Project (cont.)

- Approx. 85% of titles have been reviewed
- Anticipated completion: July 2009

Who's involved:

- ✓ Getty Research Library: Susan Allen, Ann Fath
- ✓ UCLA: Sharon Farb, Jake Nadal
- ✓ University of Arizona: Steven Bosch
- ✓ University of Michigan: Bryan Skib, Helen Look
- ✓ Penn: Dick Griscom
- ✓ Penn State: Lisa German
- ✓ NYU: Michael Stoller
- ✓ CDL: Emily Stambaugh

De-accessioning Print Back-files

- Grew out of conversations begun at the RLG Programs Shared Print Collections Summit, November 2007
- Imagined the path from mostly print collections to mostly digital collections
- Wondered why more libraries aren't clearing shelf space by de-accessioning JSTOR print back files
- Asked ourselves: "If not in this situation, when?"
- Inspired by experience of UKRR: "Just bin it!"
- Formed group to seek out **low-hanging fruit**

Goals

- ✓ *Clear shelf space of journal back files available in dual format*
- ✓ *Establish best practices*

Enter: An Intrepid Band of Fruit Hunters

✓ ARL

- ✓ Columbia University
 - ✓ Bob Wolven, Jeff Carroll
- ✓ Indiana University
 - ✓ Carolyn Walters
- ✓ New York University
 - ✓ Angela Carreno
- ✓ University of Arizona
 - ✓ Steve Bosch
- ✓ University of Michigan
 - ✓ Bryan Skib

✓ Medium Academic

- ✓ Binghamton University
 - ✓ Susan Currie

✓ Liberal Arts College

- ✓ Swarthmore College
 - ✓ Amy McColl

✓ Museum

- ✓ Brooklyn Museum
 - ✓ Deirdre Lawrence
- ✓ Frick Collection
 - ✓ Debbie Kempe
- ✓ Metropolitan Museum
 - ✓ Ken Soehner
- ✓ Museum of Modern Art
 - ✓ Milan Hughston

✓ Special Library

- ✓ U of Pennsylvania Law
 - ✓ Merle Slyhoff

✓ Legal Depository

- ✓ Trinity College Dublin
 - ✓ Margaret Flood

A Microcosm of the Library Environment?

- To what extent are you de-accessioning print journal back files?
 - 1 routinely, 6 dabbling, 2 have plans, 5 have no plans
- You have access to the data you need in order to de-accession print journal back files with confidence.
 - 1 strongly agree, 6 agree, 3 neutral, 3 disagree
- We need to seriously rethink processes for print serials check-in.
 - 4 strongly agree, 3 agree, 6 neutral, 1 disagree
- What is the most important element needed to reconcile the urge to act according to local need with aspirations for building a cooperative future?
 - 3 infrastructure, 6 policy framework, 3 funding, 2 central coordination

Some Obstacles to De-accessioning

- Legal deposit libraries are very limited in what they can discard
- Public institutions cannot divest themselves of state assets
- Law libraries need access to original paper copies for citation checking
- Cost data for discard vs. store not available when space needed
- So print journal backfiles moved to offsite storage
- Where they are now shelved by size
- So that discarding them has become prohibitively expensive

More Obstacles to De-accessioning

- We lack the infrastructure to record and disclose retention commitments
- We lack the network-level policy framework and business model to support keeper-divestor relationships
- We lack consensus that de-accessioning print journal back files is the right thing to do right now
- Storage is relatively cheap
- Until that changes it's easier not to de-accession
- We lack confidence:
 - that digital versions will persist
 - that 2 or 3 dark archives are sufficient
 - in validation of dark archives
 - that there is sufficient duplication of print holdings in the network
 - in the condition of non-archived print backfiles
 - that images are of sufficient quality in digital versions

Data Ranked “critical” or “important” to Making De-accessioning Decisions

| | |
|------------------------|--------------------------|
| ■ Quality of archive | 100% (76.9% “critical”) |
| ■ Quality of images | 100% (42.9% “critical”) |
| ■ Use | 92.8% (57.1% “critical”) |
| ■ Who else owns | 78.6% (50.0% “critical”) |
| ■ Cost | 78.5% (21.4% “critical”) |
| ■ Actuarial risk | 61.6% (15.4% “critical”) |
| ■ Retention guarantees | 57.2% (42.9% “critical”) |
| ■ Condition | 42.9% (0.0% “critical”) |

How To Make a Low-Hanging Fruit Salad

- Identify core data elements needed in hand in order to make responsible retention or discarding decisions 1
- Gather the actual data 4
- Identify sampling tasks to shed light on hard-to-address areas such as validation and optimal duplication 0
- Actually do the sampling tasks 6
- Produce a list of obstacles to discarding print backfiles of dual-format journals 3
- Produce advice on overcoming those obstacles 3
- Decide what level of assurance is “good enough” 1
- Create a manifesto challenging current thought and behavior regarding shared print 1
- Implement a de-accessioning project 1

Infrastructure and Implementation

- **Print Archiving & Network Disclosure: MARC 583**
 - Maximize visibility of title-level preservation data
 - Use cases for collection managers
 - Integration in distributed cataloging workflows
- **Decision Tree for De-duplication of Print Journals**
 - Context-appropriate approach to managing redundancy
 - Workflows adapted to different institutional settings
 - Maximize incentives for participation in shared print archiving
- **Toward a 'Cloud' Library**
 - Implementation framework for increasing reliance on shared print & digital repositories, maximizing operational efficiencies
 - Phased approach to rationalization of local print collection
 - Joint effort with HathiTrust, NYU, ReCAP and CLIR

MARC 583 for Print Archiving

- Absence of shared infrastructure for disclosing print preservation commitments - a *critical impediment* to achieving 'scale' in distributed print archiving efforts
- MARC 583 proposed as vehicle for sharing preservation data for monographic literature, ca. 2007.
- Now: extend to serials

Goals

- ✓ *Test feasibility of batch updating in local system and WorldCat*
- ✓ *Sample use cases for integration in collection management workflows*

MARC 583 for Print Archiving (cont.)

- Initially explored use of Action note in bibliographic 'master' record
- Proposal reviewed by >125 serials catalogers, preservation officers, collection managers
- Currently exploring use of Action note in local holdings record, CONSER's preferred approach
- Testing against titles in Journals Preservation project

Who's involved:

- ✓ UCLA: John Riemer, Valerie Bross, Jake Nadal
- ✓ Penn State: Christopher Walker
- ✓ NYU: Everett Allgood
- ✓ Others?

Decision Tree:

- RLG Programs Council decided a decision tree about de-accessioning or storing print journal back files would be best possible deliverable from DAP-J group

Goals

- ✓ *Document current landscape of various scenarios for managing print journal collections*
- ✓ *Create a decision tree showing the best way forward for libraries in various circumstances*

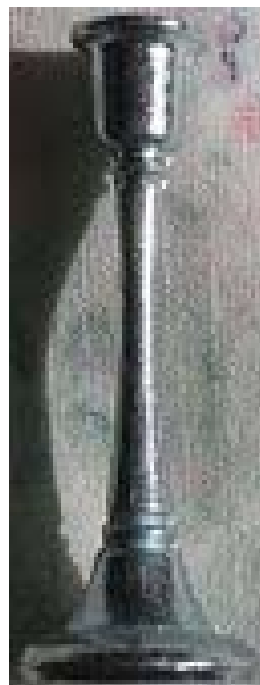
Decision Tree for De-accessioning



Play "Get a Clue!"



Storage Game Pieces



Print journal “wild cards”

■ Internal

- Faculty resistance
- Need to repurpose space
- Storage situation
- Collection use
- Discipline variance
- Delivery capability
- Option to do nothing
- Risk tolerance

■ External

- Google Books Settlement
- HathiTrust
- E-availability
- Still publishing vs. completed run
- Confidence in persistence
- Consumers vs. suppliers

How to win at “Get a Clue!”

- Every library draws card they need
- Work toward a shared framework for managing print journal collections as a network resource
 - *Preservation commitments known*
 - *At-risk titles protected, low risk titles identified*
 - *Policy layer in place for delivery*
 - *Sustainable business model to connect suppliers with consumers*

Case Study: Moving Collections 'into the Cloud'

- NYU - motivated customer
 - Acute space pressures; major library renovation
 - Limited mandate to build local collection of record
- ReCAP - supplier
 - Large-scale shared academic storage collection
- HathiTrust - supplier
 - Large-scale shared digital repository
- OCLC Research and CLIR -consultants and convener

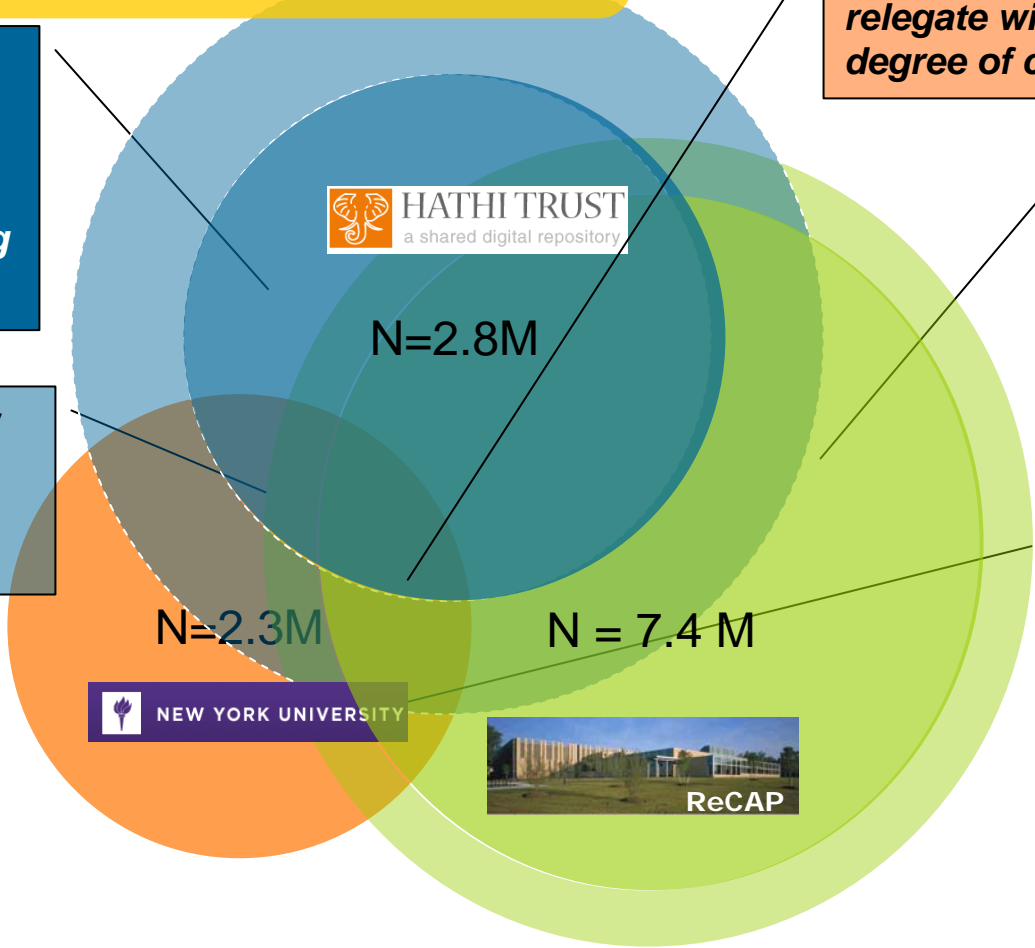
Goals

- ✓ *Implementation framework to maximize value of Hathi & ReCAP*
- ✓ *Model costs and benefits of deeper reliance on extramural coll'ns*
- ✓ *Requirements for sustainable business partnerships*

Value of partnership increases as number of participants grows

Material that NYU can obtain through HT dependent on copyright status – means of *enhancing 'local' collection*

Material that NYU can *relegate with a high degree of confidence*



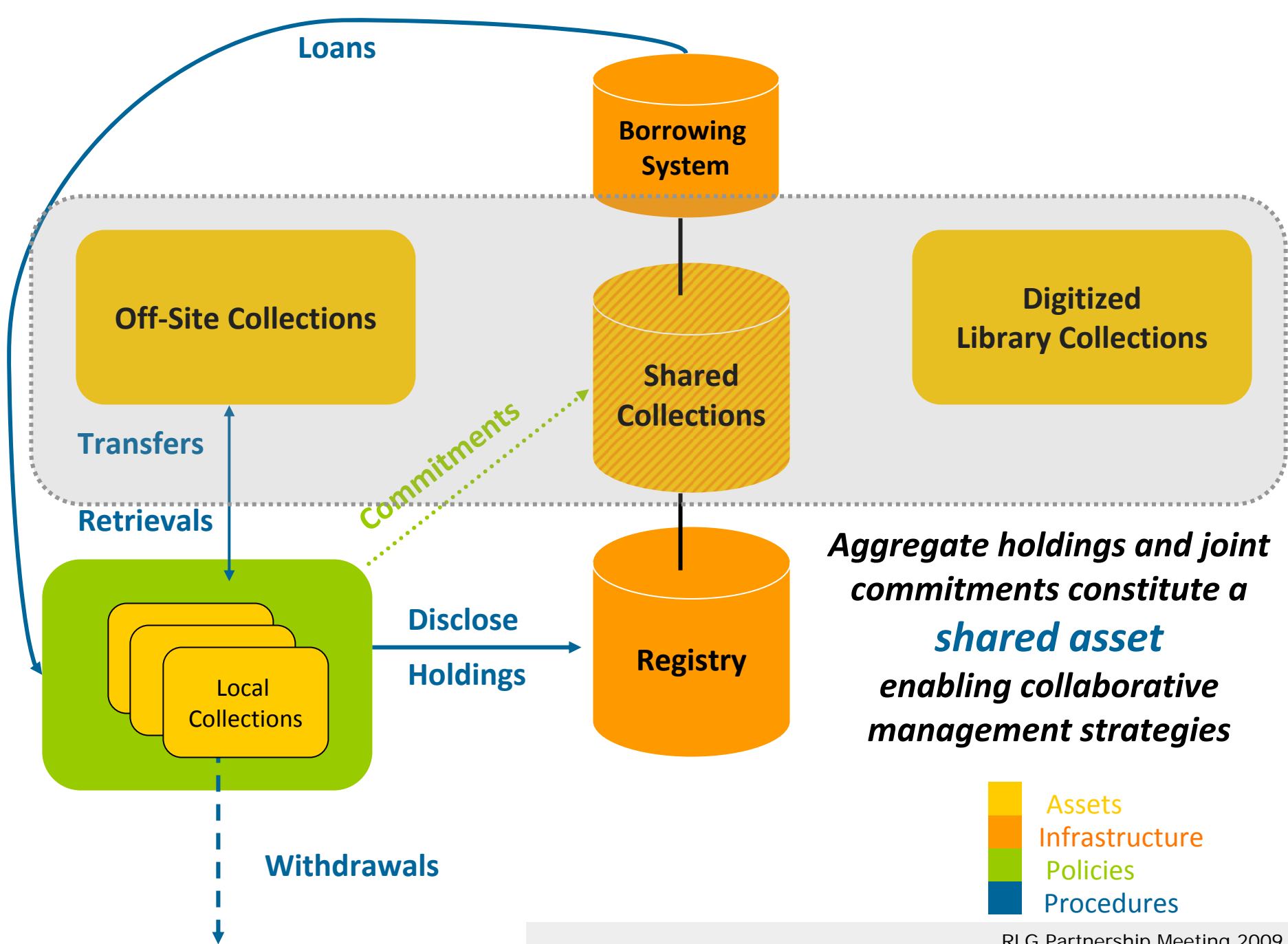
Material that NYU can already source through existing ILL – *enhance local collection*

Material that NYU may choose to *relegate based on copyright/availability*

Material that NYU may choose to *relegate with appropriate service level agreement*

Intersections

- Opportunities for Institutional Cooperation*
- Shared Policy Frameworks*
- Joint Service Agreements*
- Increased Operational Efficiencies*



Further Information:

- [Shared Print Collections](#) program
- L. Payne [*Library Storage and the Future of Library Print Collections in North America*](#) (OCLC, 2007)
- C. Malpas et al. [*Shared Print Policy Report*](#) (OCLC, 2009)

- [Journals Preservation Project](#) title list
- [MARC 583 for Print Archiving](#) proposal

- Future of Collections Discussion List
(Send email to malpasc@oclc.org to be added to list)

Questions, Comments?

*Creative re-use of
redundant print
collections at MIT*



98 Directories (Rocking Chair)
Stephanie Hartman, MIT