Journals Preservation Project: Managing Risk in Perilous Times

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Dennis Massie

RLG Partnership Meeting
2 June 2009
Changing Patterns of Academic Investment

Percentage of degrees in the humanities

ARL Library Expenditures, 1986-2007

Data not available for 1999.
Source: Humanities Indicators Project
THE NEW YORK TIMES
A ‘Narrowing Prospective’?


FIG. 1. Percentage of papers that received at least one citation, 2- and 5-year citation windows, by field, 1900–2005 and 1900–2002.
Aligning the Portfolio: Asset Allocation

- Burgeoning digital collections - licensed and locally created
- Increasing budget pressure on print serial and monographic acquisitions
- Est. 25,000-30,000 active scholarly journals
- Up to 10,000 print-only academic serial titles

How can we ensure broad coverage in print-based humanities collections and meet the growing demand for digital resources?
“Professor emeritus John Burnham, flanked by pickets, questions Joe Branin, right, the director of OSU Libraries, at a rally against a move to electronic books and journals in place of print versions.”

*Columbus Dispatch, 13 May ‘09*

Photo credit: Fred Squillante, Columbus Dispatch

Humanists remain the most vocal critics of diminished library investment in print
RLG Journals Preservation Project

- Risk-aware approach to print preservation: *where is cooperative action most needed, most likely to deliver value?*

- ‘At risk’ scholarly journals in the humanities with print-only distribution channel and aggregate WorldCat holdings <50

- Model costs and workflows for distributed print archiving of long tail print resources
Participating Libraries

A wide range of institutional perspectives

- UCLA
- University of Michigan
- University of Pennsylvania
- New York University
- Pennsylvania State University
- Stanford University
- University of Arizona
- Getty Research Library

...and the California Digital Library
Preserving long-tail resources *requires* cooperation

Avrea Parma: rivista quadrimestrale di storia, letteratura e arte.

Limited aggregate holdings (14)
Limited holdings within group (2)

Began 1912...
 Getty holds recent issues only
 Arizona holds single volume
Methodology

- Risk-sensitive selection criteria
- Empirical assessment of institutional holdings
- Usage patterns as proxy for demand (ILL, circ)

- Model cost requirements for validation
- Encourage voluntary archiving commitments
- Support network disclosure of preservation status

Evaluate ‘latent’ print preservation infrastructure
Optimize institutional resource allocation
Sample Characteristics

- ~230 active scholarly journals in the humanities
- Print-only distribution (no dual format access)
- Aggregate institutional holdings <50 libraries

- Median age of publication = 27 years
- Median institutional holdings = 24 libraries
- 42% English-language publications

Represents current scholarly content in the humanities and social sciences
Social Sciences
Portuguese language content
24 libraries
University of Michigan

Philosophy
English language content
23 libraries
University of Michigan

Art History
Polish language content
42 libraries
Getty Library
## Sample Characteristics by Discipline

<table>
<thead>
<tr>
<th>Discipline</th>
<th>% in Sample</th>
<th>Median Aggregate Holdings</th>
<th>Median in Group</th>
<th>Age in 2008</th>
</tr>
</thead>
<tbody>
<tr>
<td>Art</td>
<td>16%</td>
<td>28</td>
<td>2</td>
<td>28</td>
</tr>
<tr>
<td>History</td>
<td>44%</td>
<td>26</td>
<td>2</td>
<td>30</td>
</tr>
<tr>
<td>Humanities - general</td>
<td>14%</td>
<td>17</td>
<td>2</td>
<td>25</td>
</tr>
<tr>
<td>Philosophy</td>
<td>9%</td>
<td>23</td>
<td>1</td>
<td>27</td>
</tr>
<tr>
<td>Social Sciences</td>
<td>16%</td>
<td>24</td>
<td>2</td>
<td>25</td>
</tr>
</tbody>
</table>

| Total                    | 100%        | 24                        | 2               | 27          |
Language of Publication

64% of titles in sample represent non-English language content

Cf. ARL OCLC Global Resources Report (2007)

Language of Publication

<table>
<thead>
<tr>
<th>Language</th>
<th>% of Titles in Sample</th>
</tr>
</thead>
<tbody>
<tr>
<td>English</td>
<td>45%</td>
</tr>
<tr>
<td>Spanish</td>
<td>15%</td>
</tr>
<tr>
<td>German</td>
<td>7%</td>
</tr>
<tr>
<td>Polish</td>
<td>5%</td>
</tr>
<tr>
<td>Portuguese</td>
<td>2%</td>
</tr>
<tr>
<td>All other languages (n = 25)</td>
<td>6%</td>
</tr>
</tbody>
</table>
Aggregate Library Holdings per Title

Median institutional holdings = 24 libraries
A ‘Pareto’ Distribution?

<table>
<thead>
<tr>
<th>Holding Libraries</th>
<th>No. of Titles in Sample</th>
<th>% Distribution</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-10</td>
<td>1-10</td>
<td>18%</td>
</tr>
<tr>
<td>11-20</td>
<td>11-20</td>
<td>24%</td>
</tr>
<tr>
<td>21-30</td>
<td>21-30</td>
<td>25%</td>
</tr>
<tr>
<td>31-40</td>
<td>31-40</td>
<td>23%</td>
</tr>
<tr>
<td>41-50</td>
<td>41-50</td>
<td>10%</td>
</tr>
</tbody>
</table>

75% of titles held by 11-40 libraries
Title Review Assignments: Size Matters
Assessing Latent Preservation Status

- Institutional title reviews allocated randomly, based on title-level holdings
- ‘Issue level’ validation of local holdings
  - Coverage
  - Condition
  - Usage over 12 and 60 months
- Shelf location: open, closed, off-site
- Archiving and access commitments
- Subscription status and cost
- Time to completion
Data Capture

Scope of local holdings for this title/ISSN

- Total volumes held, of 512 total volumes published
  - Local holdings are complete: 100% of volumes issued and supplements are held
  - Incomplete: holdings represent >50% of volumes issued
  - Incomplete: holdings represent <50% of volumes issued

Validation method for assessing completeness of local holdings

- Checked inventory against local catalog record
- Checked inventory against local catalog and union catalog (consortial, regional, national)
- Checked inventory against local catalog, union catalog and publisher / title history
- Visual inspection of holdings

Condition of local holdings

- Back file not bound
- Some of back file is bound
- Text block is 100% legible
- Text block is only partly legible
- Paper is brittle
- Paper is not brittle

Validation method for condition assessment

- Sample of titles from local run (based on ___% sample)
- Comprehensive: every issue/volume was examined

Use of local holdings (including document delivery)

- There is no evidence that this title has been requested or used.
- It appears title has been used, but no circulation information exists.
- No. of uses (requests in local system or ILL, stamps on due-date slip) in past year.
- No. uses (requests in local system or ILL, stamps on due-date slip) in past 5 years.
- ILL/document supply requests for this title exceed local use.
Preliminary Findings

- Approx. 20% of titles reviewed are held in their entirety by the assigned institution
- About half of titles reviewed are >50% complete and may be suitable for archiving
- ~ 50% are less than half-complete; cost/benefit of archiving at series title level is questionable

- 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)
Implications

- Aggregate supply of humanities journals is relatively limited
- Demand is low, condition is good
- Probably adequate to ensure long-term preservation and access requirements provided...

We adopt a risk sensitive approach:
- Consolidate holdings to achieve maximum coverage
- ‘Shelter in place’ vs. dark archiving hybrid
- Disclose local & regional archiving commitments
What’s Next?

- Disclosure: Elevate library retention commitments
- Digitization: Explore partnership opportunities
- *(Re)-assess imperative for series-level preservation*

Target: Complete review of initial 230 title sample by June/July

Compile data on direct costs of validation and continuing subscriptions

Document selection and validation procedures for voluntary implementation
Stewardship: Intensification of Expectations?

As rarity increases, reliance on largest libraries grows

Aggregate and Group Holdings
MARC 583 for Print Archiving

- Core infrastructure requirement: support network disclosure of print archiving commitments

- Builds on work that began during Cooperative Collection Management Trust / NAST effort in 2007-2008

- Revived January 2009 to support print journal preservation project
Community Consultations - Jan/Feb 09

- US federal libraries (LoC, NAL, NLM)
- CONSER catalogers
- UK Research Reserve
- NLA/PANDORA Web archiving

- ALA Midwinter sessions
  - ALCTS Chief Collection Development Officers
  - ALCTS Preservation Administrators Interest Group
  - CONSER At Large

- Input used to revise draft guidelines
MARC Field 583 (Action Note)

>032 000154 $b USPS
>042 lc $a nsdp $a par
>050 00 HD1 $b .6
>050 14 HD2326 $b .68
>051 http://www.jstor.org/journals/00221821.html $c ELECTRONIC COPY
>070 0 HD1.35
>082 338.05
>090 $b
>049 OCLC
>210 01 J. ind. econ.
>222 4 The Journal of industrial economics
>245 04 The Journal of industrial economics.
>300 $c 22 cm.
>310 Quarterly
>352 01 v. 1- Nov. 1952-
>530 Also available via World Wide Web and on microfiches.
>530 Also issued online.
>583 1 $3 v.1-v.42 (1952-1994) $a committed to archive $c 20031106 $z CRL Distributed Print Archive $2 pda $5 MiEM
>583 1 $3 v.1-v.42 (1952-1994) $a transferred to optimal storage $c 20031106 $2 pda $5 MiEM
>583 1 $3 v.1-v.42 (1952-1994) $a condition not reviewed $c 2003-11-30 $2 pda $5 MiEM
>583 1 $3 Vol. 1, 1952/1953- $a committed to archive $c 2008-09-2-30 $1 access subject to prevailing inter-lending policy $u http://www2.lib.msu.edu/contact/request-reotestorage.jsp $2 pda $5 MiEM
>583 1 $3 Vol. 1, 1952/1953- $a transferred to optimal storage $c 2008-09-2-30 $2 pda $5 MiEM
>583 1 $3 Vol. 1, 1952/1953- $a condition reviewed $c 2008-11-30 $1 issue validated $1 undamaged $z UKRR $2 pda $5 Uk
>650 0 Industrial organization (Economic theory) $v Periodicals.
>650 17 Industry. $2 gtt
>650 6 Economie industrielle $v Periodiques.
>776 1 $t Journal of industrial economics (Online) $w (DLC)sn 98023004 $w (OCoLC)38170137
MARC 583 - Feedback

Despite limited distribution of document

- Reviewed by >125 individuals
- Comments and revisions contributed by many RLG partners
- International readership: US, Canada, Europe, Australia, Japan
- General acknowledgment that pragmatic solution is needed, “no time to model ideals”

What’s next

- Shift focus to Local Holdings Records
- Cataloging and collection management workflows
<table>
<thead>
<tr>
<th>Type</th>
<th>Rec Stat</th>
<th>Entered</th>
<th>Replaced</th>
<th>Lang</th>
<th>Ctry</th>
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<td>BLvl</td>
<td>s</td>
<td></td>
<td></td>
<td></td>
<td>gw</td>
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</table>

Example: 583 in Master Record, no Local Holdings Records

Aren’t all (2) extant holdings likely to be brittle?
Example: 583 in Master, multiple Local Holding Records

<table>
<thead>
<tr>
<th>OCLC</th>
<th>47828763</th>
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<tbody>
<tr>
<td>Cataloging</td>
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<tr>
<td>Search</td>
<td></td>
</tr>
<tr>
<td>* WorldCat</td>
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</table>

No holdings in OCL - 2 other holdings

<table>
<thead>
<tr>
<th>Type</th>
<th>BHy</th>
<th>S/L</th>
<th>Desc</th>
<th>Entered</th>
<th>Replaced</th>
<th>Lang</th>
<th>Ctrl</th>
<th>MRec</th>
<th>Alph</th>
<th>Dates</th>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>18uu, 18uu</td>
</tr>
</tbody>
</table>

Example: 583 in Master, multiple Local Holding Records

>007  c $b r $d b $e n $j a $k b $l p
>007  c $b r $d b $e n $j a $k d $l a
>040  WH $c WH $d OCLC $d CGU
>042  dlr
>043  n-us----
>090  $b
>049  OCLC
>110  2 National Farmers' Alliance.
>245  10 Proceedings of the National Farmers' Alliance at its ... annual meeting.
>260  Des Moines : $b Homestead Co.
>300  v. : $b il. ; $c 22 cm.
>301  Annual
>500  Description based on: 11th (Jan. 27, 28, and 29, '91 [i.e. 1891]).
>533  $3 1891 $a Also available as electronic reproduction. $b [Chicago] : $c University of Chicago Library, $d [2005]
>508  0 $3 1891 $a Digital version available with no restrictions $f Unrestricted online access $2 star $5 ICU
>531  1 $3 1891 $a digitized $c 20051220 $h University of Chicago Library $l committed to preserve $2 pda $5 ICU
>610  20 National Farmers' Alliance $v Congresses.
Transfer data from 583 in Bib to Local Holdings?

583 note mapped from master record to LHR
Special thanks:

- Steven Bosch, University of Arizona
- Ann Fath, Getty Research Library
- Lisa German, Pennsylvania State University
- Dick Griscom, University of Pennsylvania
- Helen Look, University of Michigan
- Jake Nadal, UCLA
- Michael Stoller, NYU

- Everett Allgood, NYU
- Jeanne Drewes & Rebecca Guenther, Library of Congress
- John Riemer & Valerie Bross, UCLA
- Christopher Walker, Pennsylvania State University
Further Information

- Journals Preservation Project title list
- MARC 583 for Print Archiving proposal

- J. Nadal & J. Riemer Preservation Actions, MARC21 Field 583, and Communal Local Holdings Records in OCLC WorldCat discussion paper

- Library of Congress Preservation & Digitization Actions: Terminology for MARC 21 Field 583 guidelines
Questions, Comments?

Creative re-use of redundant print collections at MIT

98 Directories (Rocking Chair)
Stephanie Hartman, MIT