


## Performance Report Cover

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11. Other attachments <input type="checkbox"/> Yes X No Transmit accompanying documents with this cover as instructed by the Institute of Museum and Library Services					
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### **Project Title**

Toward a Cloud Collection: Designing a National Framework to Manage Monographs

### **Project Partners**

California Digital Library  
Center for Research Libraries  
Committee on Institutional Cooperation

### **Project Summary**

The project explored development of a framework for national collaborative archiving and storage of print monograph collections with goals of a) defining the characteristics of a such a model and; b) identifying issues needing testing to confirm it. If successful, a collaborative model for monographs would potentially safeguard unique materials; advance space management and related financial strategies; improve long-term preservation and storage practices; establish a cooperative infrastructure that would result in efficiencies and savings for libraries; and coordinate storage practices with digitization activities to ensure cost-effective archiving as well as reliable long-term access.

LYRASIS and the project partners designed and hosted a meeting of 30 library leaders from across the United States on October 27 and 28, 2010 in Chicago. Attendees identified themes, concerns, possible implementation scenarios, and issues to study to spark future action. The outcomes from the think tank meeting were disseminated through a variety of means to encourage discussion and feedback from the library community.

### **Project Activities**

- Formed a steering committee of experts (see attachment 1) that met regularly throughout the project term
- Established a closed, online work space for committee work
- Gathered and reviewed existing research on print retention issues
- Created a vision document and compiled a reading list (attachment 2)
- Identified current and potential leaders, influencers to invite to the workshop
- Polled leaders, influencers for interest and gathered interest, opinion to inform event planning
- Planned event logistics

- Determined list of attendees (attachment 3), prepped with advance communications
- Devised an agenda and meeting plan (attachment 4)
- Facilitated the meeting
- Produced and disseminated reports of the meeting outcomes including:
  - Workshop summary (attachment 5)
  - Public website (attachment 6)
  - Written report for use at ALA Midwinter and presentation at ALA Midwinter (attachment 7)
  - Article authored by Steering Committee members Kieft and Payne in Collaborative Librarianship (attachment 8)

### **Project Audience**

The primary audience was the workshop attendees (attachment 4). Secondary audience is/was the library community at large.

### **Analysis**

#### **Achievements:**

- Succeeded in engaging leaders and influencers in discussions on the monograph format (see attachment 5, “Workshop Summary,” Breakout session 1: Affinity Groups and elsewhere in the document)
- Articulated areas for research (see attachment 5, “Workshop Summary,” Breakout session 2: Discussion Topics and Final Plenary Session)
- Identified and narrowed scenarios for focusing collaborative efforts (see attachment 5, “Workshop Summary,” Plenary Session 3 and Breakout Session 3)

#### **Unanticipated events:**

- None

#### **Obstacles:**

- None

**Lessons learned:**

Enthusiasm for collaborative efforts focusing on print monographs is high even as practical efforts currently are focused primarily on print journals. There is recognition that beginning discussion and investigation on efforts for monographs now combined with experience gained from print journal retention projects will allow quicker development of monograph projects within several years.

Libraries interested in collaborative retention of print monographs represent a broad range of academic libraries and some public libraries.

Significant leadership already exists in the form of individuals and organizations involved in print retention both in the research and practical settings. Those with experience in journal retention appear willing and able to apply that experience to the monograph format in the future in addition to addressing the particulars that the monograph format presents. Awareness was heightened of the Hathi Trust as a willing organization with significant data holdings that could be applied in collaborative print monograph efforts.

**What's Next?**

There were no major obstacles encountered in the project itself but the project did highlight potential challenges to future implementation of a collaborative model including:

- As a result of tensions between achieving actual cost and space savings and questions of mission, institutional identity and pride in campus collections, commitment of research libraries to fully participate may waver in the short term.
- Better, cleaner data on monograph collections is needed, but there is no clear path to either improving data or establishing the major infrastructure needed for a disclosure system.
- Despite the potential for long-term savings, budget and funding prospects for projects and research remain murky.
- Issues of copyright loom and will be difficult to resolve
- More adequate delivery mechanisms would need to be developed in tandem with any major national effort for collaborative retention of print monographs.
- There is inadequate information and research on user behavior relative to the affected print materials and digital surrogates.
- Faculty attitudes towards removal of print materials from campus libraries continue to evolve.

Work in the area of collaborative print monograph retention continues under the auspices of multiple organizations. Several known projects that are either direct outcomes of or influenced by the project include:

- Preliminary conversations with scholarly society representatives to explore areas of common interest around collaborative print monograph retention (led by Kieft – winter/spring 2011).
- Preliminary steps by the Center for Research Libraries to build action plans on scenarios identified at the workshop.
- Data is being gathered by a broad set of libraries about plans to divest monographs, attitudes toward collaboration, and projects already in process.
- Organizations such as Ithaka S+R and LYRASIS are identifying benefits they are positioned to bring to ongoing efforts.
- There is ongoing commitment by interested organizations and individuals to maintain contact through regular, informal meetings at American Library Association midwinter and annual conferences. LYRASIS and the Center for Research Libraries have or will sponsor, with Kieft as convener.

**Grant products**

See attachments:

1. Steering Committee roster
2. Vision and background documents for preparation of workshop attendees
3. List of workshop attendees
4. Workshop agenda
5. Workshop summary
6. LYRASIS public web site for the project
7. Summary used in reporting at the January 2011 American Library Association Midwinter meeting
8. Kieft, Robert H. and Lizanne Payne. "A Nation-Wide Planning Framework for Large-Scale Collaboration on Legacy Print Monograph Collections." Collaborative Librarianship 2/4(2010):229-233. Retrieved March 11, 2011 <http://www.collaborativelibrarianship.org/index.html>

Steering Committee Roster			
Name		Institution	Title
Ivy	Anderson	California Digital Library	Director of Collections
Kim	Armstrong	Committee on Institutional Cooperation	Deputy Director
Timothy	Cherubini	LYRASIS	Program Director, Regional Services East
Bob	Kieft	Occidental College	College Librarian
Lizanne	Payne	Center for Research Libraries	Print Archives Program Manager
Mark	Sandler	Committee on Institutional Cooperation	Director, Center for Library Initiatives
Emily	Stambaugh	California Digital Library	Shared Print Manager

## **Developing a North-American Strategy to Preserve & Manage Print Collections of Monographs**

This document serves as background for workshop participants. The vision it sketches is not a blueprint for a completed program but rather the scaffolding on which the workshop will build a plan that responds to needs, trends, and alternatives; lays out components of a system; and defines the work that needs to be done.

### ***Statement of Problem and Workshop Background***

As libraries divest of older, unused materials, repurpose local library space, and address decreasing financial resources to manage collections and facilities, it is imperative that they develop a shared approach to cooperative management of legacy monograph collections. Libraries are already working toward collaborative management of journals, newspapers, legal materials, and government documents, but concerted efforts focused on print monographs have not emerged, due in part to the complex challenges presented by monograph collections.

With support from the federal Institute of Museum and Library Services (IMLS), LYRASIS and its planning partners the Center for Research Libraries (CRL), the Committee on Institutional Cooperation (CIC), and the California Digital Library (CDL) are sponsoring a national discussion to explore a framework for collaborative retention of print monograph collections.

The key feature of the six-month planning initiative is a multi-day 'think tank' that will convene library leaders from across the country to define characteristics of a collaborative monograph archiving model and to identify issues that require testing or research to confirm a framework for future action. In focusing intense attention by participants on the possibilities for collaborative retention and preservation of print collections of monographs, the workshop builds on the approach successfully used in the 2003 "Preserving America's Print Resources" (PAPR) workshop sponsored by CRL and funded by IMLS, which sparked discussion and action on a number of formats, particularly journals.

### ***Workshop Outcomes***

The workshop will produce two outcomes:

- 1) Recommendations for a nation-wide strategy for shared print monograph retention and preservation.
- 2) A list of research or test projects needed to confirm the strategy; these projects will form the basis of one or more future grant proposals.

### ***Seeding Discussion Through a Vision: Outlining an Ideal Framework***

Development of the framework requires a common understanding of the environment in which libraries work, the experiences that libraries have had in addressing preservation and retention of collections, the communication and record management opportunities afforded by technology, and the complexities of developing a national strategy to preserve rich monographic collections. That common understanding most likely includes the following assumptions:

*In the next 5-10 years, mass digitization projects will mature and their attendant legal issue be addressed; the majority of staff and faculty will employ congenial software and devices to read and use most texts in their digital version (at least in the first instance of reading); libraries and their home institutions will continue to redevelop library spaces for purposes other than housing of printed materials; few libraries (and even fewer parent institutions and funding sources) will want to create more storage space off campus to house their own collection; and cultural changes resulting from online bookselling, user-initiated borrowing through regional/national catalogs of library holdings, discovery of books on the Web, and POD technologies will persuade most users that most tangible versions of library materials can be delivered in a reasonable period of time rather than held in open stacks on campus.*

*These changes will occur faster for some fields and user groups than others. As trusted stewards of the record of scholarship, libraries will continue to work collaboratively to capitalize on their long history of resource-sharing, ensuring that printed works are preserved in adequate numbers as insurance against the need for re-digitization and to afford ongoing access to texts in the form in which they were published.*

*In developing this stewardship program libraries will build on their experiences with collaborative approaches to preservation of and access to print journal backfiles and other types of material, approaches which demonstrate the importance and power of building a strong structural framework that includes well-defined goals, organizational responsibilities and relationships, and policy and governance arrangements. Libraries will also consider the lessons learned from emerging collaborative models focused on monographs.*

The ideal framework must develop over the next few years a structure for legacy print monographs that accomplishes the following:

- helps libraries collectively preserve the record of scholarship published in monographs
- creates a systematic, coordinated, sustainable, and strategic approach that replaces local, ad hoc, and independent approaches to de-accessioning or storage of monographs
- develops a process that identifies stakeholders, analyzes opportunities and vulnerabilities, and builds on patterns of relationships, recognizing the need for libraries to repurpose space and achieve savings in housing costs



by reducing unnecessary duplication while preserving an adequate number of copies

- uses an information system that discloses retention decisions and responsibilities, facilitates large-scale holdings comparisons of print and digitized monographs, and automatically generates reports for libraries of items they should retain or may consider for removal
- provides rapid access, when needed, to intentionally retained copies
- supports discoverability of print copies and digital surrogates in the same discovery layer
- provides avenues for a broad spectrum of libraries to financially support and sustain the retention commitments and access services

### *Developing the Vision, describing the Strategy*

The following five topics will constitute the primary agenda of the workshop. Participants will be divided into working groups for these topics based on expressed interest (participants may be assigned to more than one group). Plenary and breakout sessions will allow participants to interact on all topics.

The five topics are as follows:

#### *A. Enumerate the archiving/preservation issues that are specific to monographs.*

What is the problem to be solved and what are the expected benefits? How is preservation of monographs different from preservation of serials? It will be important to identify any special considerations related to monographs so that collaborative archiving, preservation, and access programs may be designed to address them.

For example:

- The sheer numbers: A 2009 study of OCLC's WorldCat determined that 84.8 million of its 135.3 million records represented printed monographs, 63% of the database;
- High uniqueness rates: Of the 26 million distinct print monograph titles identified in a 2005 study of OCLC's WorldCat, 36% are uniquely held and less than 10% are held by 50 or more institutions<sup>2</sup>
- Differences in imprints and editions that vary with the date/place of publication, posing questions about which variants to retain;
- Differences in condition, binding, marginalia, and other physical characteristics that make it more likely for any given copy to be damaged or otherwise marked, requiring an archiving arrangement to ensure that copies retained are sound and complete;
- Differences in the quality and completeness of metadata describing monographs, including potentially lack of metadata and/or holdings information for many monograph titles;

- Broad engagement of organizations in digitization of monograph titles, with wide variance in quality, lack of clarity regarding preservation strategies for the digital surrogate, and limited access to metadata;
- Challenges with delivery to users: Digital delivery of journal articles from offsite storage is common practice, but it is more costly and not always feasible for monographs; at the same time, physical delivery of monographs may not be cost-effective in a national model.
- De-selection of monographs is dauntingly labor-intensive if undertaken title-by-title and, unlike de-selection of serial publications, can be inefficient in terms of the space gained per decision made.

It will be useful to suggest ways to break the monolithic term "monograph" into categories or types of publications in order to address the needs of each according to a risk assessment framework and to prioritize these types or categories of publications for action. For the purposes of this work, a monograph may be defined as a non serial publication complete in one volume or a finite number of volumes. As a pragmatic definition, a monograph might more easily be identified by the OCLC catalog record/MARC fixed field BLvl code "a." Are these definitions appropriate?

*B. Describe the relationship between and issues related to digital surrogates and print archive copies.*

Suggest a scenario (or scenarios) in which the availability of digital surrogates will become the library collection of first resort. What conditions need to be in place in order to allow digitized copies to be the primary means for accessing and using texts? What do we know now about how the existence of digitized text affects use of print and what more do we need to know? Recognizing the importance of linking digital surrogates to their archived monographs, how will we design a workable model to associate these variant formats, addressing any legal issues as well as bibliographic details that may arise. A strategic starting point might be to identify titles in the HATHI Trust compared with printed monographic titles that are unique or scarce.

*C. Outline the requirements for a bibliographic information/disclosure system (or alternative systems) that would enable large-scale collaboration on monographs among libraries.*

A nation-wide framework must describe the ideal information system to support selection and retention of archived monographs.

A sample scenario might be described thusly:

*For a library to be a good citizen in preserving the scholarly record as it divests of holdings it no longer wants, it would need in its catalog records a note that identifies unique or scarcely held titles at the regional or national level. This note would be used to produce reports as libraries make divestment decisions. When a library divests of*

*batches of titles, its holdings symbols would be taken off OCLC and regional catalogs in batches. When a library keeps unique or scarcely held titles, that information is batch loaded to OCLC or regional catalogs. A library could automatically send unique or scarcely held books it is divesting of to a regional repository that does not have them among its holdings; appropriate information about such batch transfers would go into local, regional, and national catalogs in batch at the same time.*

As a starting point, how well do the following statements describe the information system needed to support collaborative monographic archiving? What other components are needed and how would they work?

- be as automated as possible so that a very high number of individual disposition decisions can be made by machine;
- clearly and broadly communicate holdings info (in local as well as national catalogs) about the copies in a national print archiving program;
- employ a system that allows batch comparison of holdings (what has ReCAP learned about mass comparison?);
- enable title/copy-level decisions in large numbers automatically, holdings changes in national catalog automatically, and automatically enable acceptance of scantily-held discards by a depository;
- use standards for verification of condition like used-book dealers have; condition goes into note about stored/archived copies;
- enable selection of titles for digitization and feed scarcely held titles into the digitization stream.

Significant work is underway among print journal archiving projects (such as WEST and CRL) to define disclosure methods, metadata standards, and collection analysis functions as described above. Can monograph archiving projects build on or participate in this work? Are there requirements specific to monographs which must be accommodated?

*D. Outline the characteristics of service models and business models to sustain retention commitments and provide new modes of discovery and access to retained copies.*

We know that the future environment for research collections is likely to include dynamic distribution permissions for monographs that acknowledge the evolving interpretations and landscape of copyright laws. A section of the monograph collections today may be in copyright and the digital surrogates not distributable, it may be orphaned and possibly distributable electronically, or it may be in public domain and distributable. In all cases, the print copies for those sections of the collections are also distributable. The future environment is likely to include user preferences for print and electronic depending upon the distribution permissions at a given point in time (and other factors). Users may prefer to discover both formats in the same discovery layer in order to make choices about which format to access and their preferred turnaround/access time. Users also may prefer rapid delivery to the physical and virtual space in which s/he conducts research.

In this likely environment, the workshop planners start with several assumptions about an eventual print monographic collections framework. They are, of course, open to

discussion and are based on recent projects with other formats and on the history of collaboration on monograph collections. The framework will exhibit some or all of the following characteristics:

- rely on and take advantage of existing relationships and programs established by local and regional consortia or other cooperatives and organizations;
- rely initially on copies that are already in storage;
- avoid creating an entity to oversee a program and instead will rely on an organization that already exists, one that will agree to serve coordination and communication functions for regional projects;
- begin as a "what not to withdraw" program that identifies and protects the unique and scarce;
- not establish an agreement regarding the minimum number of copies that should be archived in all cases but will rely on guidelines for a more ad hoc approach to copy retention and disposal, specifying only the general conditions and protocols for local and regional determination of which library keeps which copies;
- rely on a voluntary declaration by libraries of their willingness to archive copies; such libraries will probably be those that have historically regarded their mission's being to preserve the print record;
- need flexible preservation policies and storage requirements that include desiderata for treatment of damaged volumes and state minimum environmental controls and monitoring and disaster plans;
- have back-up and sunset strategies in case a participant needs to withdraw from the program;
- be flexible with respect to the nature and level of access to archived monographs (how "light" or "dark" should stored collections be);
- suggest a trajectory for moving a monograph from storage to "true" archival status.

With these assumptions about the framework in mind, a likely future environment for monographs may include, then, fewer physical copies retained by some research libraries on behalf of a network of libraries. Their doing so will require new business models to sustain those retention commitments, new engagement in collection development with those supporting libraries, and new modes of access services to provide rapid delivery to the physical space in which the researcher works (and/or the nearest research library.)

What are the desiderata of a service model and business model for preserving print monographs and providing access to them in a multiformat, dynamic distribution rights environment?

Requirements to be considered include:

- Incorporate the mechanics of the retention/disclosure system
- Include a retention and collection development decision framework specific to print monographs at the network level
- Provide discovery of retained print monographs and digital surrogates (when they exist) in the same discovery layer at the network level

- Show the user how to move from the network level discovery layer to access to materials
- Access policies for circulation, lending, and duplication within the collective archive
- Include an access service that allows the user to choose which format to receive based on preferred delivery time (download, standard, expedited), format (print or electronic) and delivery location (hard drive, handheld device, office, home or nearest research library to which s/he belongs)
- Recover costs for retention commitments
- Recover costs for access services to the retained copies
- Include a sustainable model

*E. Design a process for assessment that includes goals and milestones and evaluates the framework on an on-going basis.*

Assessment markers can include a report on how many of the estimated 26 million distinct monograph titles are already in storage; how many unique titles have been digitized and stored; how often testing of accuracy of bibliographic records and items should occur to sustain a trusted system; and reviewing procedural approaches to ensure that the system invites participation and ease of use by libraries and scholars. The business model requires consistent review for sustainability, sufficient economic leveraging for networks and individual libraries, and the on-going dynamics of print monographs and digitization projects.

<sup>1</sup> Brian Lavoie and Lorcan Dempsey, "Beyond 1923: Characteristics of Potentially In-copyright Print Books in Library Collections," *D-Lib Magazine* 15:11/12 (November/December 2009). Available at [www.dlib.org/dlib/november09/lavoie/11lavoie.html](http://www.dlib.org/dlib/november09/lavoie/11lavoie.html) (retrieved 20 November 2009).

<sup>2</sup>Brian F. Lavoie and Roger Schonfeld, "A Brief Tour of the System-wide Print Book Collection," *Journal of Electronic Publishing* 9:2 (Summer 2006). Available at <http://quod.lib.umich.edu/cgi/t/text/textidx?c=jep;cc=jep;q1=3336451.0009.2%2A;rgn=main;view=text;idno=3336451.0009.208> (retrieved 16 December 2009).

## **Developing a North-American Strategy to Preserve & Manage Print Collections of Monographs**

### **Reading List for the Workshop October 27-28, 2010 Chicago, IL**

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**Developing a North American Strategy  
To Preserve and Manage Print Collections of Monographs**

**Attendee List**

October 26-27, 2010

Chicago, Illinois

*This event is made possible by a Grant from the U.S. Institute of Museum and Library Services*

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## Developing a North American Strategy To Preserve & Manage Print Collections of Monographs

Agenda for the Workshop  
October 27-28, 2010  
Chicago, Illinois

*This event is made possible by a grant from the  
U.S. Institute of Museum and Library Services.*

### Wednesday, October 27, 2010

#### **8:45AM-9:45 AM: Plenary Session #1**

Refreshments & Greetings

Welcome from LYRASIS  
Timothy Cherubini, LYRASIS

Review of background document, schedule, and conduct of meeting  
Bob Kieft, Occidental College

Discussion  
Karen Schmidt, Illinois Wesleyan University; Workshop Facilitator

What is the status of existing cooperative projects for library materials, including emerging strategies, procedures, and policies; what can we learn from them, what do they suggest or what direction do they give us for a program for monographs?

OUTCOME: list of lessons learned and their possible application to the design of the framework.

#### **9:45-10:45 AM: Breakout Session #1**

Affinity Groups (University Librarians, Collections Officers, Consortial Leaders).

Discussion based on Topic A: What are the problems to be solved and what will be the impediments or facilitators of a solution? What are your main concerns about and goals for a nation-wide framework for monographs? What research or other work will need to be done to address the issues that monographs raise?

OUTCOME: lists of concerns and goals that will inform work on Topics B-E and that the framework needs to respond to.

University Librarians (Conveners: Ivy Anderson, California Digital Library & Mark Sandler, CIC)  
Collection Development Officers (Conveners: Bob Kieft & Timothy Cherubini)  
Consortial and research organization staff (Conveners: Lizanne Payne, CRL; Kim Armstrong,  
CIC; Emily Stambaugh, California Digital Library)

**10:30 – 10:45 AM: Break**

**10:45 AM-12:00 PM: Plenary Session #2**

Report out from affinity groups; synthesize plenary #1 and affinity group results, especially as they point to issues to be taken up in afternoon breakout sessions.

**12:00-1:30 PM: Lunch**

**1:30-3:30 PM: Breakout Session #2**

- Topic B: Describe the relationship between digital surrogates and print archive copies (Convener: Ivy Anderson)
- Topic C: What are the requirements for a bibliographic information/disclosure system that will support collaborative monograph archiving (Convener: Lizanne Payne)
- Topic D: What are the characteristics of service models and business models needed to sustain retention commitments and provide new modes of discovery and access to retained copies (Convener: Emily Stambaugh)

As part of the discussion, each group will note the research or demonstration projects needed to build and test a nation-wide framework for library cooperation on legacy monographs.

OUTCOME: preliminary description of the components of the framework as defined by Topics B-D; tentative list of projects and research that will be refined on Thursday.

**3:30 to 3:45 PM: Break**

**3:45 – 5:00 PM: Plenary Session #3**

Group reports from Breakout Session #2; identification of work that still needs to be done by each group; adjustment of Thursday agenda as needed.

**6:00 PM: Dinner (on your own)**

**6:00-8:00 PM: Steering committee meeting**

## Thursday, October 28, 2010

### **9:00-10:00 AM: Plenary Session #4**

Review of previous day; overnight thoughts

Discussion: What have been success factors and measures for large cooperative collections projects in the past; what will be the overall success factors and measures for a nation-wide project on monographs?

OUTCOME: groundwork laid for Topic E.

### **10:00-11:30 AM: Breakout Session #3**

Group work as suggested at end of Wednesday.

Group C: What are the requirements for a bibliographic information/disclosure system that will support collaborative monograph archiving (Convener: Lizanne Payne)

Group D: What are the characteristics of service models and business models needed to sustain retention commitments and provide new modes of discovery and access to retained copies (Convener: Emily Stambaugh)

Group E: Enumerate the components of a process for assessment of success of the framework that includes goals, milestones, and points to review and evaluate the strategy (based on plenary discussion) (Convener: Mark Sandler)

OUTCOME: description of the components of the framework that will feed the post-lunch discussion.

### **11:30 AM-12:00 PM: Plenary Session #5**

Group reports

### **12:00-1:00 PM: Lunch**

### **1:00-3:00 PM: Plenary Session #6**

- Summary/Synthesis of framework
- Identification of research needed
- Identification of potential demo projects and partners
- Next steps: Publicity/future communication; grant writing

### **3:00 PM: Workshop Adjourned**

## Friday, October 29, 2010

**8:30 AM – 1:00 PM:** Steering Committee meeting

**Developing a North-American Strategy  
To Preserve & Manage Print Collections of Monographs**

**October 27 – 28, 2010**

**Summary of a Planning Meeting funded by the Institute for Museum and Library Services (IMLS)**

Approximately 30 library leaders from across the United States gathered in Chicago, Illinois on October 27 and 28, 2010 to define characteristics of a collaborative monograph archiving model. (See Attachment 1 for a complete list of attendees.) Through a combination of plenary and breakout sessions, attendees identified themes, concerns, possible implementation scenarios, and issues that require testing or research to confirm a framework for future action.

**DAY 1: OCTOBER 27, 2010**

**Plenary session 1**

The opening plenary session served as an open-ended discussion to define the context for further consideration. Several major themes and issues emerged.

1. There is significant overlap between Hathi Trust materials, library storage facilities, and campus collections (based on analysis by OCLC Research), which could support digital delivery backed up by archived print copies. One major obstacle is the degree to which access to the digital copy is limited by copyright restrictions: only about 25% of Hathi materials are currently in the public domain. However, a key finding of OCLC's research in the Cloud Library project is that a bilateral agreement between a given library and storage facility would not provide sufficient coverage: a network of shared print repositories with explicit agreements would be necessary to provide access to a large enough shared print collection to enable collection management decisions at individual libraries.
2. "Bibliographic indeterminacy" is a significant problem. It is difficult to compare title holdings where OCLC numbers and ISBNs may be missing, where OCLC numbers may be obsolete, erroneously unique, or duplicated.
3. Monograph archiving may be more politically difficult and more costly than journal archiving. For serials, there is an enormous level of duplication across a small number of titles. For monographs, the pattern is the opposite: a relatively small amount of duplication across a very large number of titles. Questions include how to achieve actual cost and space savings while supporting pride in campus collections and providing adequate delivery. One possibility is to emphasize preserving the unique rather than eliminating the duplicative.

4. It will be important to study actual user behaviors regarding browsing and use of digital and print copies. It may be necessary to provide digital surrogates for browsing and skimming (such as “Inside the Book”). Faculty attitudes are evolving based on experience with electronic journals.

Decisions about print monograph collections disproportionately affect faculty and students in the humanities. It will be important to build the infrastructure for the next generation of scholars. It is also important to note that use of print monographs has been declining even before e-books were available (based on ARL circulation statistics).

### **Breakout session 1: Affinity Groups**

During the first set of breakout sessions, attendees divided into groups according to their primary roles. The main points identified in those groups are outlined below.

#### **1. University Librarians**

The group defined this goal for the overall effort: develop a framework to collectively manage print collections with less cost in the context of digital collections

Some concerns were expressed:

- Over promising what can be accomplished
- Copyright restrictions (how accessible can we really make materials?)
- Cost savings (the assumption is that significant costs will be eliminated but new costs will appear).
- Subject expertise: How will subject expertise be deployed? How can expertise be made available at the network level when it is currently affiliated with the individual institution?

The group identified some steps or information needed in order to move to a new model.

- Develop better knowledge of what is already held in the collective collection. What are the gaps? What is the overlap? Are items listed in the catalog actually on the shelves?
- Explore copyright restrictions, including pushing the envelope on lending of in-copyright digital material.
- Analyze collections in a more granular way, to identify and focus on scholarly monographs.
- Engage faculty and scholarly societies about how to build shared collections and what should be kept. Involve experts outside the libraries. Develop a positive vision for shared collections and services.

#### **2. Collection officers**

This group identified several areas of focus:

- Develop a positive vision. There is a tension between downsizing print collections with access to archived print materials vs preserving the scholarly record, which has great importance to the

scholarly community. One approach may be to prioritize scantily-held works in digitization efforts. We need to ensure that current economic pressures do not decimate the national collection. To be realistic, we should consider what constitutes acceptable losses. Another approach may be to concentrate on widely held copies to maximize the number of items that could be held in few instances. Another aspect of the vision centers around concern about which items require preservation as artifacts.

- Develop better data. It is important to understand – and to improve --the accuracy of information about holdings. Disclosure of archived holdings will be very important, through systems that can provide data effectively both at the local and network levels. Automated holdings disclosure and collection analysis will be important to facilitate widespread use.
- Determine appropriate kinds and levels of access. Users should be able to access these materials in the format that they choose. Are digital surrogates reliable and accepted?
- Press on copyright and licensing issues
- We need to take on the notion of what is an acceptable loss.

### 3. Consortium leaders

This group considered the following questions.

- How much duplication of holdings is there? There is a need for more visibility of the holdings in storage facilities in order to understand what is already contained in access-controlled and environmentally-controlled environments. Better information is needed about duplication and uniqueness in collections: some analyses of WorldCat indicate a certain level of uniqueness but closer examination shows false uniqueness. There is more overlap than we think. Even though there are significant issues with data and matching, we should not obsess about perfect data, but begin with what is known in order to foster cooperation.
- What is the role of consortia? Existing consortia represent trust networks but they may not scale. Are they equipped to support shared print programs for monographs? Most consortia don't have operational leadership or capabilities around this issue. Where do the conversations need to continue over time? Who should manage and lead them? Are the right people in the right roles?
- Who can provide the infrastructure for collection management at network scale? Every institution will fall along a different place along the spectrum of preserving the scholarly record or saving space. Every institution will have a different perspective. Groups with a national constituency (e.g. CRL, OCLC, Hathi Trust) may provide infrastructure while regional consortia may provide relationships and operational support. Journal archiving efforts grew organically from regional consortia, can monograph archiving efforts follow the same pattern?

During the plenary discussion session which followed the breakout groups, attendees outlined the following topics for further research or exploration:

- What is the overlap between campus collections and existing storage facilities? OCLC Research has done some work in this area, can this be extended to additional institutions?
- Do we know what we actually have in library collections? How accurate is catalog data for identifying holdings, and are those items actually still in the collection? Materials may be withdrawn, lost or misshelved. Conduct a sample-based inventory of catalog holdings and items actually on shelves. Holdings data for storage facilities is considered to be more accurate, but is it?
- Do we know how users actually use monographs? There are a lot of assumptions about what users want, how they behave and how their behavior is evolving. How do they think of the monograph? How do they use it? How much are researchers buying individually (digital or POD), and at what price point?
- What would it take for libraries and scholars to have confidence in digital access? What provisions would make institutions comfortable? How does the quality of digital books affect access?
- Which materials are the most likely candidates for collaborative retention? Can we identify scholarly monographs at a more granular level? Scholars can be intensely interested in a body of material. Can that interest be operationalized at the network level? Where are there real benefits that can be gained from the band of scholars?

### **Breakout session 2: Discussion Topics**

In the second set of breakout sessions, attendees divided into groups to discuss several different topics. Summaries of these discussions are outlined below.

1. Digital Surrogates: Describe the relationship between and issues related to digital surrogates and print archive copies.

A digital surrogate is a digitized or digital copy of a manifestation of a work. Some sources of digital surrogates are HathiTrust, Google Books, Internet Archive, licensed ebooks (purchased or leased), other local or network projects.

Digital surrogates may serve these purposes: preservation, print replacement, artifactual representation, computation or data mining, expanding access, portability, ability to manage/place collections more remotely.

What do we need in a digital repository or service in order to consolidate or collectively manage print collections?

- Open standards-based formats
- Accurate information about quality/completion
- Usability for a given purpose (most need is not artifactual)
- Discoverability (increased discoverability of in-copyright materials may lead to increased use; not necessarily so for public domain items)



- Reliability/permanence/trust

The group summarized the following points for further exploration:

- Who will retain print copies, what are the incentives to store vs not store?
  - Ebooks that correlate to highly-duplicated materials are the first priorities
  - Need research projects to study relationship of online discoverability and print use
  - How do we balance mass digitization (Google, Hathi, Internet Archive) and publisher digitization [as materials to rely on?]
2. Bibliographic information: Outline the requirements for a bibliographic information/disclosure system (or alternative systems) that would enable large-scale collaboration on monographs among libraries.

The group discussed issues related to systems and data to support print archiving. What characteristics are specific to monographs? How does this effort fit with journal archiving initiatives? CRL is talking with CDL and Ithaka to develop a print archives registry and collection analysis system for serials archiving. Discussions are underway with OCLC to design methods to disclose print archiving commitments through WorldCat.

Participants identified the following issues and approaches:

- Build on the plans being developed for journal archiving: WEST recommending use of existing OCLC WorldCat features for disclosure and resource sharing, and an archives registry and collection analysis service to be developed by CRL. Don't develop separate architectures for journal and monograph archiving.
  - What is the impact of separate records for print & digital, how do we refer users to the archived copy? There needs to be a link between print copies, digital copies, and copies in library storage. Should we be concerned about exactly which print volume was the source used for the digital copy?
  - It will be important to keep representatives of all editions; how to define edition?
  - Need to agree that cataloging is a requirement for print archiving, the same as retention and access agreements. Need community standards for using Institution Symbols, 583 Preservation Action Notes.
3. Service models and business models: Outline the characteristics of service models and business models to sustain retention commitments and provide new modes of discovery and access to retained copies.
- There are declining incentives (and possibly a declining time horizon) to keep print.
  - How can consortia facilitate commitments? Should there be different types of members (roles, e.g. libraries which retain vs those which use? Examples of partner categories: Sustaining vs Retaining (as in Hathi Trust).

- What services are required? Storage, retention, discovery, delivery, data mining, digitization, legal services, subject expertise
- Agreements are necessary to define expectations and commitments
- What kinds of organization(s) are necessary to manage this?

### Plenary Session 2: First day wrap-up

The end-of-day discussion resulted in three well-defined statements:

- Need sharply-defined scenarios describing possible future approaches
- Need to define the pain, i.e. the problem to be solved
- Frame the goal as “save the long-form argument”.

## DAY 2: OCTOBER 28, 2010

### Plenary Session 3

Building on a suggestion from the group, the agenda for the second day was revised to focus on six scenarios (outlined by the Steering Committee). Some working assumptions are: 1) archiving would be based on a distributed model; 2) some kind of retention and access agreements would be developed; 3) a system infrastructure for disclosure and resource sharing would be defined. All of these characteristics would need to be defined for any of the approaches below, and are not addressed separately.

Each of the following scenarios emphasizes a focus on collaborative preservation of monographs selected or identified in one of the following ways.

1. **Already in storage.** Under this scenario, libraries would identify and disclose low use monographs already housed in library storage facilities. These materials are already shelved in a protected environment and they may be costly to deaccession (and thus are likely to be retained).
2. **In Hathi Trust and in the public domain.** This scenario would use the approximately 1 million public domain titles currently in the Hathi Trust as the basis for identifying corresponding print holdings for archiving.
3. **By class range, subject, or discipline.** Under this scenario, participants would identify collectively a set of domains or class ranges as a proactive way to focus print archiving efforts.
4. **Library volunteers titles or subjects to preserve.** Under this scenario, participating libraries would volunteer commitments to certain titles or subject areas as opposed to having a community defined direction. The goal is to create the lowest barrier to entry for participation, but it may result in the most complex or diffuse organizational model and the archived contents may be difficult to explain.

5. **Branch Library Closings:** This scenario drives archiving and deselections decisions based on the fact that institutions are closing branches and need to decide what to do with the collections. The advantage of this approach is that those collections need to be processed anyway. However, most branch closings involve science libraries, which do not include many monographs.
6. **In Hathi Trust and published through 1963 or 1976:** This scenario is similar to Scenario #2, but covers all titles published through 1963 (which would include those which required explicit copyright renewal) or 1976 (those published before copyright term was changed to author's life plus 50 years). This approach would significantly increase the pool of materials available to be archived.

A straw vote was conducted to identify the most promising scenarios. The votes indicated interest in the scenarios based on 1) already in storage, 2) in Hathi Trust, both in the public domain and published up to 1976 (i.e. a combination of scenarios 2 and 6), and 3) by class range, subject, or domain.

### Breakout session 3: Discussion of scenarios

Attendees divided into groups to discuss and report on these scenarios further.

#### Scenario 1: Already in storage

- Advantages: volumes already in a protected environment, facilities already provide some degree of access/delivery, relatively quick to initiate this approach after identifying these items, opportunity to experiment with delivery models, understanding the capacity and contents of these storage facilities, and extending their utility, would carry weight with university administrations, relatively high confidence that these copies actually exist because each volume has been ingested individually into storage, then maintained in access-controlled facilities.
- Disadvantages: Relatively random selection of materials, difficult to predict which items will be covered, may or may not have digital equivalent in Hathi or other resource. Instead of random selection, consider identifying the subset of stored materials that have a broad overlap with partner collections to create a more focused value proposition.
- Assume an opt-in approach among the 40-50 high-density facilities (need to define), pilot with a small number.
- Value proposition for large libraries (more likely to have storage facilities): contribution to greater good, less effort on selecting what to retain, direct delivery from storage relieves demand on ILL, collections already viewed as shared in some cases, there is an existing service structure, perhaps financial compensation for retention commitment
- Value proposition for medium/small libraries: Justify investment in facilities, can deselect based on others' retention, right to contribute unique items (access to storage), enhanced delivery service above and beyond ILL

- Suggested timeline: in 2011, disclose stored holdings and retention agreements, develop collection analysis system (planned by CRL)

Scenario 2+6: In Hathi Trust and also in public domain or published through 1963 or 1976

- Advantages: Clear link between digital availability and print preservation, advances the transition to digital delivery, supports testing use of digital copies, organizational structure already in place to lead the development (Hathi)
- Disadvantages: Hathi monographs are generally held by fewer libraries and disproportionately held by research libraries (perhaps less value in this approach for other libraries), may be relatively fragile and somewhat rare (may limit access), requires willingness to provide digital copies where copyright status is unknown (perhaps with take-down policy if protested)
- Consider additional ways to define the pool of materials:
  - U.S. titles published pre-1976 (over 820,000 in Hathi)
  - Identify widely held titles (e.g. 24% held by >100 libraries)
  - Match to titles already in storage

Scenario 3: By class range, subject, discipline

- Advantages: Engages scholars to address resource questions, elevates conversation from inventory management to scholarly communications, aligns libraries to scholarly enterprise, feeds digitization efforts, libraries can reclaim space efficiently by deselecting in a defined shelving area, institutional preservation of a certain domain, some disciplines (eg Z's) have high duplication but a smaller constituency
- Disadvantages: May exacerbate concerns of humanities scholars that their materials will be removed
- Recommendation: focus on history and literature, work with scholarly societies
- Value proposition: a way to engage scholars at a national level and thereby help with local collection strategies; better understanding of scholarly processes and aligning those with libraries; testing use of data about the collective collection as part of the argument about the need for large-scale collaboration; potential for feeding titles into the digitization process.
- Timeframe: In 2011, conduct preliminary research to identify materials, determine how to conduct the discussion with scholars and bring to local campuses, perhaps through a planning grant

### Preference among three scenarios

Subsequent discussion revealed significant interest in all three scenarios, with one likely approach being to combine all three into a single follow-on project: Pre-1976 humanities titles represented in Hathi Trust and in storage facilities.

### Final plenary session

The meeting discussions particularly on the second day resulted in identifying the following research and demonstration topics as likely projects for future action.

Areas for further research or analysis:

1. Optimal copies research. How many copies are needed to support collaborative print monograph preservation? What does “optimal” mean for monographs?
2. Library plans, goals, and constraints. Survey broad set of libraries (including small and mid-size) about plans to divest monographs and whether/what kind of collaboration they might support.
3. Overlap of materials in print collections and Hathi Trust that are in the public domain and already-identified storage facilities.
4. Circulation patterns. Study interlibrary lending/borrowing for monographs and local circulation if possible.
5. User behavior. How much are they spending outside libraries to get content?
6. Demand for print. How much demand for print in light of digital availability? Does presence of digital version increase or decrease use of print? Can libraries increase the use of print if positioned differently in Google and the catalog?
7. Cataloged holdings vs actual inventory. Sample-based study of holdings in catalogs compared to items in library.
8. Costs to deduplicate storage facilities (e.g. OhioLink) and library collections.
9. Leadership and ongoing coordination. What entity(ies) are in a position to lead and support long-term coordination on this issue?

Attendees also identified the following potential demonstration projects

1. Planning grant for subject-oriented project including discussion with society executives, develop plan to engage professional associations
2. Project to test actual and proclaimed user behavior, including browsing behavior and dependence on a shared collection (in storage, possibly in libraries, print only and print-and-electronic).
3. Project to expose Hathi orphan works digital copies for use.

**DAY 3: OCTOBER 29, 2010**

Members of the Steering Committee (representing Lyrasis, California Digital Library, CIC, and CRL) met on the day following the group meeting to identify next steps. They agreed to continue serving as an ad hoc coordinating body to promote further discussions and definition of specific grant projects over the next few months.

**OUTCOMES AND FOLLOW UP**

Throughout the workshop and subsequent Steering Committee meeting two ideas garnered particular attention. The first is the notion that identifiable bodies of material exist through the intersection of monographs that are:

- a) already in storage facilities, and/or;
- b) in Hahti, and/or;
- c) in a particular domain or domains.

These bodies of material could serve as the test bed for further development of the issues and concepts discussed, and a near-term project idea emerged. This project would focus on particular domain(s), particularly those well-represented in Hahti and, if identifiable, already in storage facilities, and would include planning and engagement with professional associations. Bob Kieft (Occidental College) is initiating discussion with Modern Language Association executives to take advantage of opportunity to meet at the MLA Annual Convention in early January 2011. Working with Bob will be Bernie Reilly (CRL), Martha Brogan (University of Pennsylvania), Michael Stoller (New York University), Roger Schonfeld (Ithaka S+R) and a representative from the Hahti Trust, most likely CDL's Ivy Anderson.

A second idea to be pursued in the near-term is gathering data from a broad set of libraries about plans to divest monographs and attitudes toward collaboration. There is consensus that ARL libraries will be moving forward in any case with actions both to retain and divest of monographs. The likelihood of success in collaborative efforts may increase through involvement of small and mid-size academic libraries. As an initial step to understand attitudes toward collaboration, Roger Schonfeld has included questions related to this workshop's topics in the 2010 Ithaka S+R Library Survey on collection management strategies (currently underway) and will share results.

Subsequent projects will be included in the final report of this workshop to the Institute for Museum and Library Services (IMLS) by the end of January 2011.

Workshop Attendees			Attachment 5
Name		Institution	
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Peggy	Johnson	University of Minnesota	
Paula	Kaufman	University of Illinois	
Anne	Kenney	Cornell University	
Bob	Kieft	Occidental College	
Tom	Leonard	University of California, Berkeley	
Michael	Levine-Clark	University of Denver	
Constance	Malpas	OCLC	
Lizanne	Payne	Center for Research Libraries	
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Emily	Stambaugh	California Digital Library	
Michael	Stoller	New York University	
Don	Waters	Andrew W. Mellon Foundation	
Mark	Watson	University of Oregon	
John	Wilkin	University of Michigan	
Bob	Wolven	Columbia University	
Amy	Wood	Center for Research Libraries	

Attachment 6: LYRASIS Public Web Site for the Project (1 page)



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Hardware Grant](#)[Gulf Coast Libraries Project](#)[Collaborative Print  
Monograph Retention](#)[Group Services](#)[Association Services  
Program](#)[Meet the Team](#)

## Collaborative Retention of Print Monographs



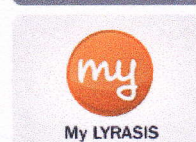
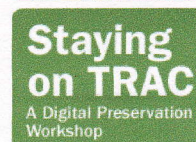
Offsite storage of printed collections has long been a strategy employed to balance preservation and access needs with finite limits to local library space and as one means to protect the scholarly record. Collaborative projects focused on journals, government documents, and newspapers are in place, but collective action for monographs has not yet emerged. LYRASIS, through funding provided by the Institute of Museum and Library Services (IMLS), sponsored a two-day "think tank" event in October 2010 to explore development of a collaborative framework for print monograph retention that has the potential to improve long-term preservation and storage practices for printed monographs on a national level, to establish a cooperative infrastructure that will result in efficiencies and savings for libraries, and to coordinate storage practices with digitization activities to ensure cost-effective archiving as well as reliable long-term access.

Highlights of the initiative are captured in the links below.

[Background Information](#)[Reading List](#)[Workshop Agenda](#)[Workshop Summary](#)[Attendee List](#)

For more information about the IMLS Collaborative Monograph Retention Grant, [click here](#) or email [Timothy Cherubini](#).

LYRASIS is pleased to have partnered with The California Digital Library, The Committee on Institutional Cooperation, The Center for Research Libraries, and Occidental College for this grant opportunity.



### Spotlight

**Grant-Subsidized  
Digitization with the  
Mass Digitization  
Collaborative**

Libraries and cultural institutions from Maine to Georgia have taken advantage of this great opportunity to digitize their historic books, newspapers, yearbooks, and much more.

**Preservation**

**Consulting**

Get help from our renowned team of consultants

**Developing a North-American Strategy  
To Preserve & Manage Print Collections of Monographs  
October 27 – 28, 2010  
A Planning Meeting funded by the Institute for Museum and Library Services (IMLS)**

Approximately 30 library leaders from across the United States gathered in Chicago, Illinois on October 27 and 28, 2010 to define characteristics of a collaborative monograph archiving model. Attendees identified themes, concerns, possible implementation scenarios, and issues that require testing or research to confirm a framework for future action.

### **Major themes and issues**

1. There is significant overlap between Hathi Trust materials, library storage facilities, and campus collections (based on analysis by OCLC Research).
2. “Bibliographic indeterminacy” is a significant problem (how to compare editions and holdings).
3. Monograph archiving may be more politically difficult and more costly than journal archiving.
4. It will be important to study actual user behaviors regarding browsing and use of digital and print copies.
5. Decisions about print monograph collections disproportionately affect faculty and students in the humanities.

### **Implementation scenarios**

Attendees identified three scenarios as most promising. All scenarios assume that 1) archiving would be based on a distributed model; 2) some kind of retention and access agreements would be developed; 3) a system infrastructure for disclosure and resource sharing would be defined.

#### Scenario 1: Already in storage

Under this scenario, libraries would identify and disclose low use monographs already housed in library storage facilities. These materials are already shelved in a protected environment and they may be costly to deaccession (and thus are likely to be retained).

- Advantages: volumes already in a protected environment, facilities already provide some degree of access/delivery, relatively quick to initiate this approach after identifying these items.
- Disadvantages: Relatively random selection of materials, difficult to predict which items will be covered, may or may not have digital equivalent in Hathi or other resource.

#### Scenario 2: In Hathi Trust and also in public domain or published through 1963 or 1976

This scenario would use the approximately 1 million public domain titles currently in the Hathi Trust as the basis for identifying corresponding print holdings for archiving. This group could be expanded to

cover all titles published through 1963 (which would include those which required explicit copyright renewal) or 1976 (those published before copyright term was changed to author's life plus 50 years). This approach would significantly increase the pool of materials available to be archived.

- Advantages: Clear link between digital availability and print preservation, advances the transition to digital delivery, organizational structure already in place to lead the development (Hathi Trust).
- Disadvantages: Hathi monographs are generally held by fewer libraries and disproportionately held by research libraries (perhaps less value in this approach for other libraries).

### Scenario 3: By class range, subject, or discipline

Under this scenario, participants would identify collectively a set of domains or class ranges as a proactive way to focus print archiving efforts.

- Advantages: Engages scholars to address resource questions, elevates conversation from inventory management to scholarly communications, aligns libraries to scholarly enterprise, feeds digitization efforts,
- Disadvantages: May exacerbate concerns of humanities scholars that their materials will be removed

## **OUTCOMES AND FOLLOW UP**

### **1. Followup project**

There was significant interest in all three scenarios, with one likely approach being to combine all three into a single follow-on project: Pre-1976 humanities titles in a particular domain that are represented in Hathi Trust and in storage facilities. This project would also include planning and engagement with professional associations. Preliminary conversations with scholarly society representatives indicate that they agree that this question of how libraries and their collections can best support scholarship is of sufficient interest to them that they are willing to discuss how a high-level library/society dialog can help shape an approach. CRL plans to host a followup conference call aimed at defining a set of issues or possibilities to shape a planning grant proposal.

### **2. Analysis**

A second idea to be pursued in the near-term is gathering data from a broad set of libraries about plans to divest monographs and attitudes toward collaboration. As an initial step to understand attitudes toward collaboration, Roger Schonfeld has included questions related to this workshop's topics in the 2010 Ithaka S+R Library Survey on collection management strategies (currently underway) and will share results.

Additional information including background documents are available on the LYRASIS website at: <http://www.lyrasis.org/Products-and-Services/Grants-and-Special-Projects/Collaborative-Print-Monograph-Retention.aspx>.

Attachment 8: Article (5 pages)

Kieft, Robert H. and Lizanne Payne. "A Nation-Wide Planning Framework for Large-Scale Collaboration on Legacy Print Monograph Collections."



## A Nation-Wide Planning Framework for Large-Scale Collaboration on Legacy Print Monograph Collections

Robert H. Kieft, Occidental College ([Kieft@oxy.edu](mailto:Kieft@oxy.edu))

Lizanne Payne, Center for Research Libraries (CRL) ([lpayne@crl.edu](mailto:lpayne@crl.edu))<sup>1</sup>

### Abstract

Libraries are working toward collaborative management and preservation of print journals, newspapers, legal materials, and government documents; they must also establish a similar concerted effort focused on print monographs. Monographs present complex challenges at a time when libraries want to ensure the preservation of the print record but have increasing incentives to divest of older, less used print materials and take advantage of the affordances of electronic text. With LYRASIS as lead organization, planning partners California Digital Library (CDL), Committee on Institutional Cooperation (CIC), and Center for Research Libraries (CRL) were awarded a grant from the Institute for Museum and Library Services (IMLS) to conduct a workshop titled “Developing a North-American Strategy to Preserve & Manage Print Collections of Monographs.” Workshop participants discussed the challenges and issues involved in collaborative monograph preservation and formulated an agenda of research and demonstration projects to test elements of a strategy.

A 2009 issue of *Collaborative Librarianship* (Volume 1, Number 3) carried a “From the Field” report by Robert H. Kieft and Bernard F. Reilly entitled “Regional and National Cooperation on Legacy Print Collections.” The article described the first in a series of informal meetings among librarians and consortial executives at American Library Association (ALA) conferences. From that meeting emerged an ad hoc group of organizations interested in developing a strategy for collaborative retention of print monograph collections. As libraries are already working toward collaborative management of journals, newspapers, legal materials, and government documents, they must also develop a concerted effort focused on print monographs. Such an effort must address the complex challenges monographs present when libraries have increasing financial and facilities incentives to divest of older, less used print materials at the same time that they want to take advantage of the affordances of electronic text and ensure the preservation of the print record.

With LYRASIS as lead organization, the planning partners were awarded a grant

from the Institute for Museum and Library Services (IMLS) to conduct a workshop titled “Developing a North-American Strategy to Preserve & Manage Print Collections of Monographs.” LYRASIS was joined in planning and conducting the workshop by the California Digital Library (CDL), the Committee on Institutional Cooperation (CIC), and the Center for Research Libraries (CRL), with a steering committee consisting of Ivy Anderson (CDL), Kim Armstrong (CIC), Tim Cherubini (LYRASIS), Bob Kieft (Occidental College), Lizanne Payne (CRL), Mark Sandler (CIC), Karen Schmidt (Illinois Wesleyan University), and Emily Stambaugh (CDL).

The workshop was held in Chicago on October 27 and 28, 2010 and was attended by approximately [30 leaders](#) whose work has involved collaboration on monographs. Through a combination of [plenary and breakout sessions](#), and using a flexible agenda that alternated data gathering with sessions for summary and synthesis, participants identified themes, concerns, possible implementation scenarios, and issues that require testing or research to confirm a

framework for future action. A [background document](#) described the ideal framework for large-scale collaboration on monographs for developing a structure that accomplishes the following:

- helps libraries collectively preserve the record of scholarship published in monographs;
- creates a systematic, coordinated, sustainable, and strategic approach that replaces local, ad hoc, and independent approaches to de-accessioning or storage of monographs;
- develops a process that identifies stakeholders, analyzes opportunities and vulnerabilities, and builds on patterns of relationships, recognizing the need for libraries to repurpose space and achieve savings in housing costs by reducing unnecessary duplication while preserving an adequate number of copies;
- uses an information system that discloses retention decisions and responsibilities, facilitates large-scale holdings comparisons of print and digitized monographs, and automatically generates reports for libraries of items they should retain or may consider for removal;
- provides rapid access, when needed, to intentionally retained copies;
- supports discoverability of print copies and digital surrogates in the same discovery layer;
- provides avenues for a broad spectrum of libraries to financially support and sustain the retention commitments and access services.

With these goals in mind, participants considered four topics:<sup>2</sup>

- the archiving/preservation issues that are specific to monographs;
- the relationship between and issues related to digital surrogates and print archive copies;
- the requirements for a bibliographic information/disclosure system (or alternative systems) that would enable large-scale collaboration among libraries;

- the characteristics of service models and business models to sustain retention commitments and provide new modes of discovery and access to retained copies.

Several themes and concerns emerged over the course of the two-day meeting. Major discussion threads included the following:

- the incentives for, or likelihood of, libraries of various sizes, with different traditions and missions and in various kinds of partnerships reducing their print footprint and relying on a relatively small number of (stored) print copies;
- who among users would object to the loss of on-site print and under what circumstances might they not;
- copyright restrictions and the accessibility of digitized text;
- user behaviors with print and electronic texts and the preference professed by many for shelf-browsing; their behaviors with respect to things they buy rather than borrow from the library;
- the costs of de-duplicating monographs in on-campus and in high-density storage facilities, the item level information needed about titles, the reliability and easy comparability of both title- and copy-level information in WorldCat;
- the components of a “what to withdraw” decision framework for monographs;
- whether to concentrate print preservation and digitization efforts on scarcely or widely held titles and the tension between preserving the print record and collaboration on access to print copies;
- which printed works require preservation in physical form, how many copies are enough, what is the acceptable loss rate, and how to break down the class “monographs” into groups in order to work on them;
- working with scholars or taking various approaches to monographic digitization that would select titles to digitize;
- the relationship of work on legacy collections to current acquisition practices;

- leadership and organizational auspices for a nation-wide cooperative.

On the second day, the group considered six scenarios for grappling with the many-headed beast of monographic publications and for helping to define a post-workshop agenda. Each of the six scenarios focused on collaborative preservation of monographs selected or identified in a different way, and all shared the same assumptions: 1) archiving would be based on a distributed model; 2) some kind of retention and access agreements would be developed and implemented; 3) a system infrastructure for disclosure and resource sharing would be defined. A collaborative approach, therefore, could start with monographs that are:

1. *Already in storage.* Under this scenario, libraries would identify and disclose low-use monographs already housed in storage facilities. These materials are already shelved in a protected environment and they may be costly to de-accession, and thus are likely to be retained.

2. *In Hathi Trust and in the public domain.* This scenario would use the approximately one million public domain titles currently in the Hathi Trust as the basis for identifying corresponding print holdings for de-accessioning and archiving.

3. *Selected by class range, subject, or discipline.* Under this scenario, participants would identify collectively a set of domains or class ranges as a proactive way to focus print archiving efforts.

4. *Volunteered by a library.* Under this scenario, participating libraries would volunteer commitments to certain titles or subject areas as opposed to having a community defined direction. The goal is to create the lowest barrier to entry for participation, but it may result in the most complex or diffuse organizational model and the archived contents may be difficult to explain.

5. *Designated from branch library closings.* This scenario drives archiving and de-

selection decisions based on the fact that institutions are closing branches and need to decide what to do with the collections. The advantage of this approach is that those collections need to be processed anyway. However, most branch closings involve science libraries, which include fewer monographs.

6. *In Hathi Trust and published through 1963 or 1976.* This scenario is similar to Scenario 2, but covers all titles published through 1963 (which would include those that required explicit copyright renewal) or 1976 (those published before copyright term was changed to author's life plus 50 years). This approach would significantly increase the pool of materials available to be archived.

After discussion of the components and merits of the six scenarios, participants identified the three most promising:

1. already in storage;
2. in Hathi Trust, both in the public domain and published up to 1976 (i.e. a combination of scenarios 2 and 6);
3. selected by class range, subject, or domain.

### Scenario 1: Already in storage

- Advantages:
  - volumes are already in a protected environment, in facilities that provide some degree of access/delivery;
  - it would be relatively quick to initiate this approach after identifying these items and would afford the opportunity to experiment with delivery models;
  - understanding the capacity and contents of these storage facilities, and extending their utility, would carry weight with university administrations;
  - we have relatively high confidence that these copies actually exist because each volume has been ingested individually into storage, then maintained in access-controlled facilities.

- Disadvantages:
  - facilities house a relatively random selection of materials, so it is difficult to predict which items will be covered by a plan;
  - titles in storage may not have digital equivalent in Hathi or other archives of digitized texts. Instead of random selection, we might consider identifying the subset of stored materials that have a broad overlap with partner collections to create a more focused value proposition.
- allows libraries to reclaim space efficiently by deselecting in a defined shelving area; institutional preservation of a certain domain; some disciplines, e. g., Z's, have high duplication but a smaller constituency.
- Disadvantages:
  - may exacerbate concerns of humanities scholars that their materials will be removed.

**Scenario 2+6: In Hathi Trust and also in public domain or published through 1963 or 1976**

- Advantages:
  - clear link between digital availability and print preservation;
  - advances the transition to digital delivery;
  - supports testing use of digital copies;
  - organizational structure already in place to lead the development (Hathi).
- Disadvantages:
  - Hathi monographs are generally held by fewer libraries and disproportionately held by research libraries (perhaps less value in this approach for other libraries);
  - may be relatively fragile and somewhat rare (may limit access to copies);
  - requires willingness to provide digital copies where copyright status is unknown (perhaps with take-down policy if protested).

**Scenario 3: By class range, subject, and discipline**

- Advantages:
  - engages scholars to address resource questions;
  - elevates conversation from inventory management to scholarly communications;
  - aligns libraries to scholarly enterprise;
  - feeds digitization programs;

The meeting discussions particularly on the second day resulted in identifying the following research and demonstration topics as likely projects for future action.

1. Optimal copies research. How many copies are needed to support collaborative print monograph preservation? What does "optimal" mean for monographs?
2. Library plans, goals, and constraints. Survey broad set of libraries (including small and mid-size) about plans to divest monographs and whether/what kind of collaboration they might support.
3. Overlap of materials in print collections and Hathi Trust that are in the public domain and already-identified storage facilities.
4. Circulation patterns. Study interlibrary lending/borrowing for monographs and local circulation if possible.
5. User behavior. How much are they spending outside libraries to get content?
6. Demand for print. How much demand for print in light of digital availability? Does presence of digital version increase or decrease use of print? Can libraries increase the use of print if positioned differently in Google and the catalog?
7. Cataloged holdings vs. actual inventory. Sample-based study of holdings in catalogs compared to items in library.
8. Costs to de-duplicate storage facilities (e.g. OhioLink) and library collections.
9. Leadership and ongoing coordination. What entity(ies) are in a position to lead



and support long-term coordination on this issue?

Attendees also identified the following potential demonstration projects.

1. Planning grant for a subject-oriented project including discussion with society executives, develop a plan to engage professional associations.
2. Project to test actual and proclaimed user behavior, including browsing behavior and dependence on a shared collection (in storage, possibly in libraries, print only and print-and-electronic).
3. Project to expose Hathi orphan works digital copies for use.

### Outcomes and Follow-up

Throughout the workshop, two ideas garnered particular attention. The first is the notion that identifiable bodies of material exist through the intersection of monographs that are:

- a) already in storage facilities, and/or;
- b) in the Hathi Trust, and/or;
- c) in a particular domain or domains.

These bodies of material could serve as the test bed for further development of the issues and concepts discussed, and a near-term project idea emerged. This project would focus on particular domain(s), particularly those well-represented in Hathi and, if identifiable, already in storage facilities, and would include planning and engagement with professional associations.

A second idea to be pursued in the near-term is gathering data from a broad set of libraries about plans to divest monographs and attitudes toward collaboration. There is consensus that ARL libraries will be moving forward in any case with actions both to retain and divest of monographs. The likelihood of success in collaborative efforts may increase through involvement of small and mid-size academic libraries. As an initial step to understand attitudes toward collaboration, questions related to this workshop's

topics have been added to the 2010 Ithaka S+R Library Survey on collection management strategies (currently underway).

For a more complete account of the workshop, see the [meeting notes](#) compiled by the steering committee. The final report of the workshop and its recommendations will be prepared by the end of January 2011.

### Endnotes

<sup>1</sup> With thanks to Karen Schmidt and the members of the steering committee.

<sup>2</sup> The workshop was informed by [research or demonstration projects](#) conducted by the organizing partners; such organizations as the Council on Library and Information Resources (CLIR), Hathi, Ithaka, and RLG Programs/OCLC Research; and monograph archiving projects on the regional level by the Consortium of Academic Research Libraries in Illinois (CARLI), the Minnesota Library Access Center (MLAC), the Research Collections Access and Preservation (ReCAP) facility, among others, as well as experience gained on collaborative approaches to journal archiving by CRL, Western Regional Storage Trust, Five Colleges, and many other consortia. Participants in the workshop learned shortly before the event that a consortium of public and academic libraries in Maine had received a National Leadership Grant from IMLS to develop a "Maine Shared Collections Strategy" (<http://umaine.edu/news/blog/2010/10/18/umaine-awarded-prestigious-grant-from-institute-of-museum-and-library-services/>).