TRANSFORMING RESEARCH COLLECTIONS FOR THE 21ST CENTURY: REBALANCING AND LEVERAGING

Carol Pitts Diedrichs
Vice Provost and Director of University Libraries
The Ohio State University
Columbus, OH, USA

Texas Library Association, April 9, 2014

TODAY’S PRESENTATION

- Brief historical context and purpose for collections
- Rebalancing collections
- Curating a discovery environment

HISTORICAL CONTEXT
**Purpose of Collections**

- Collections exist to serve users’ needs
- Collections must be thought of in the broadest way
- Every collection is a coherent whole


**Desired Outcomes**

- Ensure reasonable access to information
- Provide resources in the most convenient manner feasible
- Preserve works deemed unique and of long term value
- Maintain balance between collection growth, storage availability and financial resources
- Establish libraries as learning spaces which utilize librarian expertise

**Purpose of Collections**

- Provide quick access to high use print materials
- Offer 24/7 access to information in electronic form
- Provide access to special collections of exceptional objects that enhance research

- Provide reasonable access to lesser used print materials on a more extended timetable
  - From our own collections stored remotely
  - By borrowing from libraries in Ohio, our country and the world
REBALANCING

To redo or reconsider the current balance

The previous ideal had been to create comprehensive research collections. Most libraries should aim for a new ideal in which "every patron gets everything they need, with zero effort, in the moment they need it, in the format they prefer."

Key strategies for maintaining the library as a vibrant enterprise worthy of support from our campuses:

Retire legacy print collections in a way that efficiently provides for their long term preservation and makes access to this material available when required.
General collections are becoming commonly held

- Libraries increasingly subscribe and have access to the same packages of electronic information
- Publishers continue to merge and a smaller number of larger packages are available
- Large aggregations are being created such as the HathiTrust
- In essence our general collections are becoming less distinctive

H. THOMAS HICKERSON
Vice Provost for Libraries and Cultural Resources and University Librarian
University of Calgary, Canada


Too Rich Even for the Deepest Pockets
Even Top Institutions Pushing Back on "Best Library at Any Cost" Model

| 16.3 M | Physical volumes |
| 100 K+ | Serial titles |
| 1,200 | Full-time library employees |
| $159 M | Annual operating expenditure |

Limits of the Ownership Model

"While more patent trends, the Harvard libraries use no longer build libraries of large, comprehensive collections, but instead must develop their holdings more strategically. To do so, Harvard will need to envision a model that ensures access to not necessarily ownership of valuable materials owned by faculty, students, and other library users, now and in the future."

Library Task Force Report
Harvard University, 2009

From Ownership to Access
Reducing Collections While Expanding Access to Books

| Current State | Preferred End State |
| Books | Books |
| Large collections of physical books in open stacks with low utilization. | Small catalog larger than previous physical collection. |
| Books purchased prospectively "just-in-case" a patron might need them in the future. | Books purchased proactively (and accessible) through collections shared across consortia and owned whole. |
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Barriers to Change
- Copyright prevents access to scanned works and scanned material
- Ebook versions of academic monographs are not as widely available
- Ebook procurement was complicated than traditional purchasing
- Current IBIK rules favor first few patrons can read books.
Storage and retention of print collections

Content Archiving Services

- National libraries
- Subject specific initiatives
- Global initiatives
  - LOCKSS
  - CLOCKSS
  - Portico
  - Assessable Archive JSTOR

JSTOR preserves over 1,500 academic journals in print and electronic formats
- JSTOR includes print and digital archives, so retention of print copies at all local libraries is no longer needed
- Certified Trusted Digital Repository
- Accessible through Google Scholar

http://about.jstor.org/about-us
The OSU Libraries’ Print Collection

- 3.9 million volumes in libraries across the central campus
- 3.1 million volumes in the Libraries’ Book Depository

The OSU Libraries, Ohio State Book Depository, and Ohio’s book depositories are at or near capacity.

OSU Guiding Principles for Print Retention and Withdrawal

Make collection management decisions within the context of institutional and national programs considering teaching and research needs, the title’s place in the historical record, inter-institutional collection commitments, preservation options and availability of items through alternative sources.
Ithaka Library Survey 2010


CIC/Committee on Institutional Cooperation

http://www.cic.net/Home.aspx

Shared print storage project

• **Short term goal:** Create immediate opportunities to relieve space pressures at CIC libraries
• **Medium term goal:** Systematic plan for managing lesser used print collections
• **Long term goal:** Advance nationally coordinated efforts in print preservation

CIC Shared Print Repository

What’s Happening Now

• Two libraries committed to implementing: Harvard and Indiana. To put out national survey for the network.
• The CIC is assembling titles for Springer and Wiley collections. These titles will be compared to the school-sourced Holdings to create a useful list of candidates for each school.

<table>
<thead>
<tr>
<th>出版社</th>
<th>Tots</th>
<th>Vol.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Springer</td>
<td>1281</td>
<td>86540</td>
</tr>
<tr>
<td>Wiley</td>
<td>169</td>
<td>9789</td>
</tr>
<tr>
<td>&quot;We Pub&quot;</td>
<td>11</td>
<td>2185</td>
</tr>
</tbody>
</table>

**Note:** 
- *This list is subject to revision*
Western Regional Storage Trust

- Selection criteria
  - Selection criteria is based on risk management principles
  - Journal titles with moderate to high duplication in the region are initial candidates
  - Other criteria:
    - format availability,
    - scholarly/consumer/trade,
    - aspects of quality,
    - depth of holdings.

WEST Title Categories

<table>
<thead>
<tr>
<th>Title Category</th>
<th>Risk Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Print and Electronic with Digital Preservation</td>
<td>Lowest</td>
</tr>
<tr>
<td>2 Print and Electronic no Digital Preservation (publisher e-Journals)</td>
<td>Low</td>
</tr>
<tr>
<td>3 Print only with some full-text access through aggregator databases</td>
<td>Moderate</td>
</tr>
<tr>
<td>4 Print only with electronic abstracting and Indexing</td>
<td>High</td>
</tr>
<tr>
<td>5 Print only, no electronic access points</td>
<td>High</td>
</tr>
<tr>
<td>6 JSTOR</td>
<td>Various</td>
</tr>
</tbody>
</table>
Digital Preservation of Medical Journals

- For all journals indexed in MEDLINE
  - NLM has responsibility to ensure that the public will have permanent access to the articles cited
  - For print journals, NLM retains a copy of each indexed journal
  - PubMed Central is the official electronic journal archive
- MedPrint – Medical Serials Print Preservation Program – National Library of Medicine, USA
  - Distributed network of print repositories across the US
  - Retaining 12 copies of 250 key titles as a starting point


E-BOOKS AND MASS DIGITIZATION

What are the implications for collection development and technical services if all books are available in electronic form?

HATHI TRUST

Google
"We're all saving the same stuff – we need a national last copy and preservation program."

- Assure that a number of copies of specific titles are retained to avoid inadvertent discard
- Allow libraries to discard their copies of titles at other libraries’ storage facilities

Collaborative Storage of Monographs

**Strategies**
- Already in storage
  - Identify and disclose what is already in storage
  - Focus on titles already in HathiTrust and in the public domain (US copyright law)
- Work with libraries to identify
  - Titles to keep; and/or
  - Subjects or disciplines to preserve and maintain

Workshop on Developing a North American Strategy to Preserve and Manage Print Collections of Monographs, October 27-28, 2010

http://www.hathitrust.org/
Print books: Distinct manifestations*

World: 157.4m
N. America: 44.8m
CHS-PITTS: 19.0m
2.7m
12.4m

*As represented in
January 2013

Duplication in ARL Libraries and HathiTrust Digital Library
June 2009 / June 2010 / June 2011

Relative Rank in ARL Investment Index (2007-2008)

Median duplication in June 2011: 36%
Median duplication in June 2010: 31%
Median duplication in June 2009: 19%

OCLC Research. Derived from WorldCat and HathiTrust snapshots, data current as of June 2011.

How Many OSU-owned Titles are Available (from HathiTrust) in Full Text?

1,229,755 titles (35%)
1,063,277 titles (31%)

Digitized public domain
Digitized in copyright

OCLC Research. Derived from WorldCat and HathiTrust snapshots, data current as of June 2012.
Which OSU Library resources are represented in HathiTrust?

N = 1,229,755 titles duplicated

Mostly humanities monographs

Abundance versus availability: in copyright content is more widely held

OSU: Rare and core

OSU's "core" print book asset (~400K books)

More than 10: 14%

8 to 10: 18%

3 or less: 38%

4 to 7: 30%

OSU's "rare" print book asset (~1 m books)
OSU rare & core: Age

<table>
<thead>
<tr>
<th>Decade</th>
<th>Rare</th>
<th>Core</th>
</tr>
</thead>
<tbody>
<tr>
<td>1900</td>
<td>0%</td>
<td>0%</td>
</tr>
<tr>
<td>...</td>
<td>...</td>
<td>...</td>
</tr>
<tr>
<td>1940</td>
<td>23%</td>
<td>9%</td>
</tr>
<tr>
<td>1950</td>
<td>0%</td>
<td>0%</td>
</tr>
</tbody>
</table>

Rare: 23% published pre-1950
Core: 9% published pre-1950

A ‘rational’ redistribution of library investment in print preservation

Seek a CIC solution here
Seek an ARL or Hathi solution here

HathiTrust Print Monographs Archive Planning Task Force

- Ballot Initiative passed in 2011
- To develop a Distributed Print Monographs Archive corresponding to volumes represented within HathiTrust
- Current Status
- HathiTrust Governing Board has just approved the appointment of a task force to begin the process of implementation of this initiative
Terms of Ballot Initiative

- A print archive founded on formal agreements with the print repositories of member institutions or their affiliated agents
- Agreements would establish retention commitments to ensure continuing availability of the archived holdings to HathiTrust members

Terms of Ballot Initiative

- Provide financial support to the designated repositories sufficient to secure and maintain these agreements
- Initiate and carry out a formal planning process by which necessary policies, operational plans, and business models required would be established to sustain a distributed archive

Task Force Charge

Reporting to the HathiTrust Program Steering Committee, the Print Monographs Archive Planning Task Force is charged to develop plans for a distributed Print Monographs Archive on behalf of HathiTrust, including the requisite policies, operational plans, and business model.
Issues to be Addressed

- Exploration of the model needed to identify and preserve print resources
- Qualifications of participating repositories
- Analysis and identification of appropriate content for inclusion
- Additional criteria for participation such as geographic distribution, repository type, breadth of contribution, institutional commitment
- Retention periods
- Discovery, access policies and service models
- Business and financial model
- Roles and relationships among HathiTrust and other libraries and organizations engaged in collaborative management of print collections

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Grand Valley State University

<table>
<thead>
<tr>
<th>What to Discard</th>
<th>What to Keep</th>
</tr>
</thead>
<tbody>
<tr>
<td>Withdrawal candidate criteria</td>
<td>Fewer than 10 US holdings</td>
</tr>
<tr>
<td><a href="http://sampleandhold-r2.blogspot.com/2011_03_01_archive.html">No circulations since 1998</a></td>
<td>Not represented in HathiTrust</td>
</tr>
<tr>
<td>More than 100 US holdings</td>
<td>Publication year before 2000</td>
</tr>
<tr>
<td>More than 10 In-State holdings</td>
<td></td>
</tr>
</tbody>
</table>

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Last copy withdrawal

- University of North Carolina
- New workflow to maintain digital access to withdrawn out-of-copyright materials
- Includes links in online catalog to e-versions of print titles available through Google Books Search, HathiTrust or the Open Content Alliance
Espresso Book Machine

- Prints entire books in mere minutes
- Currently being tested at the World Bank Bookstore in Washington DC
- NYPL and Bibliotheca Alexandrina are each getting one this fall
- Current model
  - Prints the text of a 300-page book in just 3 minutes
  - With a color paperback cover
  - binds it
  - For only 1 penny a page
- Machine retails for less than $100,000

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Internet Archive Bookmobile

The Internet Archive Bookmobile will be coming to a town near you. Hanging out in the digital zone, tomorrow, and part of the annual OpenDay audio, video, and visual content available online.

Watch us!

After a brief hiatus, the Bookmobile is back up and running. This spring, one of our talented nation-wide teams will be making schools, public, museums, libraries, bookstores,stralized communities, and other public places around the Bay Area available. Stay tuned for a list of upcoming stops and visit the Bookmobile blog for all your public library news.


PATRON DRIVEN ACQUISITIONS (PDA)

Model Overview

- Title: Patron Driven Acquisition
- Publisher: ProQuest
- Series: ebrary
- Copyright: 2014
- Edition: 1
- Language: English
- Format: PDF
- Size: 16 MB
- Pages: 16
- License: This document is for your personal, non-commercial use only. It may not be sold or shared.

About

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E-Book Experiment

- 10,514 uses
- 5,251 of these uses were short term loans
- Only 343 used enough to trigger purchase
- Purchase price for 10,514 would have been $550,464
- Actual cost for the short term loans and purchases actual cost = $70,000
- Savings of $481,625
- 10,000 fewer books on the shelf

DOUG WAY
Head of Collections and Scholarly Communication
Grand Valley State University
Michigan, USA

Faculty expedited orders
- Automatic ordering of anything requested by a faculty member
- Suggest-a-book requests
- Patrons submit via a webpage and subject librarian reviews and orders
- ILL requests
- Purchasing titles that the library is unable to borrow
- Titles with multiple, simultaneous holds
- Three copy holds initiates an additional purchase
- Traditional PDA
- Titles loaded to catalog and purchased when user initiates access

REBECCA SCHROEDER
Five PDA Models
Monographic Acquisitions Librarian
Brigham Young University

JSTOR REGISTER & READ

- Free, read online access for unaffiliated scholars for 3 items every 2 weeks
- Some articles available for purchase & download
- 1,200 journals from more than 700 publishers, a subset of the content in JSTOR

Rebecca Schroeder, (2012), "When patrons call the shots: patron-driven acquisition at Brigham Young University", Collection Building, Vol. 31 Iss: 1 pp. 11 - 14
Permanent link to this document: http://dx.doi.org/10.1108/01604951211199128

http://sampleandhold-r2.blogspot.com/2011/06/front-end-alignment.html

http://www.insidehighered.com/news/2012/01/13/jstor-opens-limited-free-access-option-non-subscribing-scholars
NEW COLLECTIONS – DATA SETS

Science Magazine Cover

Ohio Congressional Archives

- More recently we have received the congressional records of Deborah Pryce
- These records include MSWord documents and email
- So now we are in less well charted territory

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Examples and Challenges

Former President Gee’s email files
OSU Athletics Media Guide
Digitization of historic material by campus departments

Blogs, twitter, etc

Lorcan Dempsey
Clifford Lynch
LEVERAGE

- Power or ability to act or to influence people, events, decisions, etc.;
- The use of a small initial investment, credit, or borrowed funds to gain a very high return in relation to one's investment.

http://www.wordle.net/

DISCOVERY

Instead of deliberately trying to identify titles most relevant to curriculum and research interests within a discipline, broad categories of material, that may be relevant, are enhanced for optimum discoverability, immediate delivery, and partial or temporary use.

http://sampleandhold-r2.blogspot.com/2011/05/curating-discovery-environment.html

RICK LUGG

Founding Partner
R2 Consulting
and SCS
Caroline Brazier: 2020: Collecting is no longer enough

Create
Manipulate
Discover, Access
Collect, Catalogue, Preserve, Store

Active support
Passive support

Capitalise


Discovery happens everywhere and discovery without fulfillment disappoints

- Integration of search, find and obtain
- Discovery is not enough
- Must be converted to fulfillment


Figure One: Transition from Purchased Materials to Curated Content

Lorcan Dempsey http://orweblog.oclc.org/archives/001425.html
After a decade of near-obsessive Googling, instant access to information with the right (textual) input is now expected, a way of life. The next frontier is visual information gratification: consumers accessing information about objects encountered in the real world, in more natural ways and while on-the-go, simply by pointing their smartphones at anything interesting.

www.trendwatching.com, Briefing
Feb/March 2012
WHAT DOES IT MEAN FOR LIBRARIES?

Could we develop a way for users to more easily navigate our libraries by translating the signs in the building into a variety of languages?

NAVIGATING POWELL’S BOOKS

- Four story, city block size book store in Portland Oregon, USA
- Smartphone app instead of fold up map
- Type in a title and the app gives you directions to its location inside the store

http://www.powells.com/app/
Last copy withdrawal

- University of North Carolina
- New workflow to maintain digital access to withdrawn out-of-copyright materials
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TABLET APPS

- British Library 19th Century Historical Collections

What We Should Be Doing

- Spending more time on collections that are currently uncataloged, undescribed and have little bibliographic access
- Digitization of full text of special collections

DIGITIZATION

http://exhibitions.nypl.org/biblion/worldofai/

http://www.slideshare.net/CharlestonConference/the-status-quo-has-got-to-go-by-brad-eden-dean-of-library-services-valparaiso-university-sat-930-am
And the final statement from our curator, Caitlin McGurk:

"Thanks for all of the information. This will most definitely add some weight to the previously sparse catalog record."
Placement with an institution to facilitate Wikipedia entries related to that institution:

- British Museum
- Smithsonian
- National Archives & Records
- OCLC

Additional links:

- University of Washington Libraries Exhibit
- The Canadian Encyclopedia

Wikipedia in Residence:

- 1. A coordination of projects that strengthen partnerships between museums and Wikipedia.

Museums with Wikipedians in Residence:

- The British Museum
- Smithsonian Institution
- National Archives & Records
- OCLC

Timeline:

- 2014:
  - Placement at the British Museum
  - Placement at the Smithsonian Institution
  - Placement at the National Archives & Records
  - Placement at the OCLC

Facts:

- 454 museums
- 318 libraries
- 218 archives
- 150 art organizations
- 234 educational institutions
- 53 historical societies
- 31 film companies
- 18 news organizations
- 7 scientific societies
- 625 volunteer translators

http://outreach.wikimedia.org/wiki/Wikipedian_in_Residence
WHAT LEADING THINKERS TOLD US

Retire legacy print collections in a way that efficiently provides for their long term preservation and makes access to this material available.

If you don’t like change, you’re going to like irrelevance even less
E. Gordon Gee
President Emeritus, The Ohio State University

In essence our general collections are becoming less distinctive
H. Thomas Hickerson

Collecting is no longer enough
Caroline Brazier

Demand-driven rather than anticipatory acquisition is expanding. As collective, open, and vendor-aggregated resources become prevalent, our focus is moving to the unique, the special and the local content.

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QUESTIONS?