

Feasibility Study on Monographs

Report by Information Power Ltd

Final Report

June 2017

Contents

0. Executive Summary	1
1. Background & Scope.....	3
1.1 Why is there still a requirement to retain print copies?	3
2. Methodology	5
2.1 Desk research & interviews.....	5
2.2 Stakeholder research & interviews	5
2.3 Online questionnaire.....	5
3. Models for collaborative management of monographs.....	5
3.1 Characteristics of the models.....	6
3.2 Examples of models	6
Model 1: Distributed storage and shared collection	6
Model 2: Physical consolidation of print materials into a shared repository	8
Model 3: Shared or cooperative storage facility.....	8
4. Similar UK collaboration models.....	9
5. Key issues for a UKRR (Monographs) or UKRR-M.....	10
5.1 Funding, sustainability & business models	10
Start-up funding.....	10
Business Models for sustainability.....	10
5.2 Bibliographic data	11
5.3 Collection analysis.....	12
5.4 Governance & leadership.....	13
5.5 Administration	14
5.6 Storage	14
Retrieval from storage	15
5.7 Shared collections and resource sharing	15
5.8 Ownership and resource sharing	16
5.9 Duplicate Materials.....	17
5.10 Academic liaison.....	17
5.11 Digitisation	18
6. Recommended strategy: UKRR-M	19
6.1 Time scale and commitment.....	19
6.2 Start-up funding	20
6.3 Business Models for sustainability.....	20

6.4	Governance and leadership	20
6.5	Storage	20
6.6	Administration	20
6.7	Bibliographic data	20
6.8	Collection analysis	21
6.9	Ownership	21
6.10	Workflow	21
6.11	Retrieval	22
6.12	Academic liaison and making the business case	22
Appendix A: Institutions interviewed about collaborative activities.....		23
Appendix B: Interviews with institutions.....		23
B1	Institutions interviewed	23
B2.	Summary of interviews with key stakeholders	23
B3.	Collaborative Management of Monographs.....	24
B4.	Areas of Collaboration	24
B5.	Collections.....	26
B6.	Governance	27
B7.	About confidence and trust	28
B8.	Financial	29
B9.	Use of shared collections	30
B10.	Cultural.....	30
Appendix C: Institutions responding to survey		31
C1.	Survey responses	31
C2.	Issue of Space.....	32
C3.	About collaboration to address the problem of space in your library	32
C4.	About bibliographic data.....	33
C5.	About Storage	33
C6.	About shared collections.....	34
C7.	About confidence and trust	35
C8.	About measuring success and commitment	36
Appendix D: Survey questionnaire		38
Appendix E: Potential Timeline		42
References.....		44

0. Executive Summary

01. This report has been commissioned by the UK Research Reserve (UKRR), Research Libraries UK (RLUK), HEFCE and SCONUL.

0.2 The context for the study is that pressure on library space continues to rise, and as more materials become available digitally, there is a need to explore various aspects relating to the management of low-use materials, to identify potential solutions to meet the community's needs, and to address issues associated with the national monograph management agenda. This coincides with the development by Jisc of the National Knowledge Base, a national-scale shared service, with the potential to help libraries collaboratively manage their collections and improve access to resources.

0.3 Low-use monographs occupy substantial space at a time when libraries face pressure to provide more study space. Libraries already address this by actively managing monograph collections. However, by working individually, library actions are limited without confident knowledge that such materials are securely preserved and that access to them is quickly available elsewhere. Thus, many libraries welcome a collaborative approach to preservation, storage, and wider and fast access to low-use monographs.

0.4 The study has been informed by a literature review, interviews with the leaders of collaborative solutions for monograph management elsewhere in the world, interviews and a survey of stakeholders in the UK.

0.5 The report looks at models of collaborative management that operate elsewhere in the world, and the factors that result in success and failure. It identifies three main models for consideration:

- Distributed storage and shared collection
- Physical consolidation of print materials into a shared repository
- Shared or cooperative storage facility

0.6 The report looks at these models in terms of their essential characteristics and how these characteristics would meet the interests and requirements of most UK stakeholders in terms of national or regional collaboration, distributed or consolidated collections, ownership and storage.

0.7 The report sets out a recommended scenario for the UK; in this report the scenario has the working title of UKRR-M. This is a national solution, which would provide a central Shared Repository, preferably at Boston Spa, to preserve research material for the UK HE research community, release library space, co-ordinate retention and provide quick and easy access.

0.8 The governance model is broadly based on the tried and proven model of UKRR, which provides a national collaboration for the management of print journals. The report recommends a consolidated Shared Collection of monographs managed under nationally agreed retention guidelines, stored in a Shared Repository, with access ideally within 24 hours.

0.9 UKRR-M would establish a Board that would reflect a partnership between the British Library and UK HEIs. It would also establish a Stakeholder Panel, which would ensure that the views and requirements of participating libraries inform the development of the policies and guidelines required for establishing an optimum Shared Collection.

0.10 The establishment of UKRR-M would require start-up funding, to support a central activity and to assist libraries in the initial work of selecting monographs for transfer to the national Shared Collection. Funding for UKRR has demonstrated how freeing up shelf space in libraries has resulted in reduced estate and capital expenditure across the HE sector. Without UKRR-M it is envisaged that capital expenditure on low-use monographs would increase, as libraries seek out individual storage solutions, which, without a national process, would duplicate the cost of storing identical low-use materials. Furthermore, individual and uncoordinated efforts would not result in a managed Shared Collection for the benefit of the UK HE research community.

0.11 A business model for ongoing sustainability will need to be developed and agreed, and it is envisaged that this would be an equitable subscription based on size or Jisc band, although other cost-sharing formulae based on submissions to the Shared Repository could be considered.

0.12 It is recommended that UKRR-M is launched with a Start-up Phase, which would manage the challenges and prove if UKRR-M is a workable concept. Further phases would add additional participating libraries, providing greater economies of scale and growth of the Shared Collection.

0.13 If possible, it is recommended that the British Library provides the Shared Repository because of its proven leadership and expertise in this area and its depth of experience in document delivery.

0.14 It is recommended that in the Start-up Phase, deduplication (in terms of reaching the optimum number of copies for the Shared Collection) is done at the Shared Repository. This will provide a faster return on investment and greater assurance regarding the agreed number of last copies. As the National Knowledge Base is developed, deduplication could be possible prior to transfer to the Shared Repository.

0.15 It is recommended that ownership of the Shared Collection is transferred to UKRR-M as a separate legal entity or the British Library.

1. Background & Scope

The UK Research Reserve (UKRR), Research Libraries UK (RLUK), and SCONUL placed a contract with Information Power (IPL) to explore potential solutions for the collaborative management of monographs in the UK. There is constant pressure on academic libraries to reduce their estate footprint and creatively use the space available to provide the maximum return on investment. Libraries face pressure to accommodate only collections that are currently of value to their institutions and to ensure those collections are discoverable and rapidly accessible.

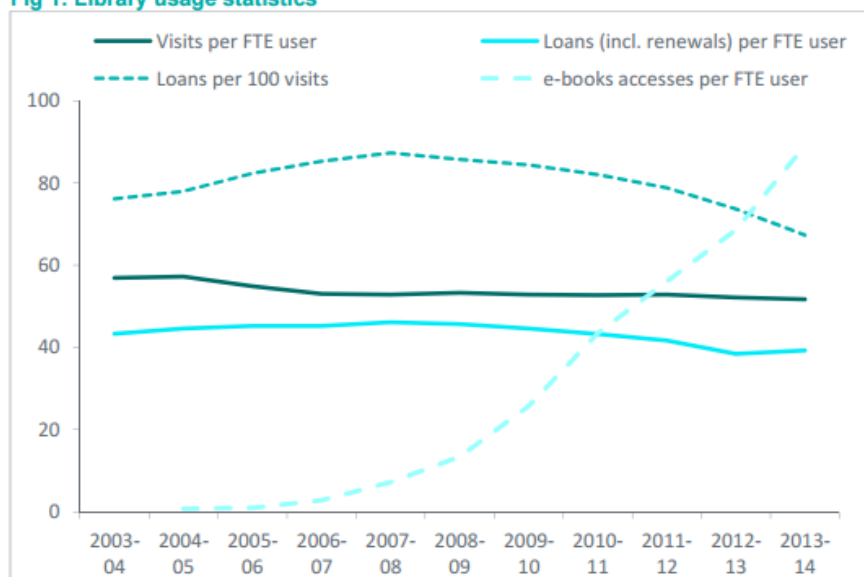
The UKRR is a model for one possible solution, having demonstrated the effectiveness of creating a shared collection of low-use journals. However, the model may not be directly transferable to monographs as the management of monographs is far more complex.

It was agreed that the study should focus on printed academic monographs rather than textbooks and reference books. IPL undertook extensive desk research and conducted interviews with a range of international stakeholders to explore a range of possible solutions suitable for the collaborative management of monographs. The research focused on the models, governance, workflows, structure and funding used in other European, North American and Australian initiatives. Interviews with UK librarians focused on the requirements and appetite for a national solution to printed monograph retention and storage.

1.1 Why is there still a requirement to retain print copies?

Analysis of SCONUL data shows that while the use of electronic titles is increasing significantly, there is no diminution in acquisition of print titles. The following graph from the SCONUL report ¹ shows that print is still being used to a significant level in UK academic libraries. Despite heavy use of ebooks user studies show that this use is likely to continue, especially in certain disciplines. For example, a recent study of students at a UK teaching university showed that 78% of students preferred to use print.²

Fig 1: Library usage statistics



There are several reasons why libraries still need to acquire, retain and preserve print editions:

- Many titles are not available in e-format, either because the date of publication pre-dates the electronic era, or because publishers chose not to make e-books available to libraries for business reasons. For example, literature titles are often not made available in e-format and some foreign language materials are not in e-format because of low demand in the country of publication. In other cases, digital rights management (DRM) restrictions limit the usability of e-books.³
- The prevailing academic cultures in many disciplines show a preference for paper, for example the Carlock and Perry study (2008)⁴ concluded that lecturers from the faculties of sciences and engineering are more inclined to use e-books than those from the faculties of humanities and social sciences. A more recent survey also concurred that humanities and social science researchers show a strong preference for reading in print.⁵ There is also evidence that students find it easier to read and to remember what they have read when reading from paper rather than from a screen Myrberg & Wiberg study (2015).⁶ There is some limited evidence to suggest that even when freely available online through open access (OA), in HTML format publishers continue to sell print versions, and have not seen any negative effect on sales for most titles.⁷
- The longitudinal Ithaka S+R surveys of the academic community showed preference for print⁸. The 2015 survey showed that academic preference for using scholarly monographs in various ways in print format rather than digital format has only increased since the previous cycle of the survey; there was no observed trend towards a format transition for monographs.
- Although preservation services such as Portico's E-Book Preservation Service provide some assurance, long-term stability of this form of access remains untested. The retention of a minimum number of print copies ensures secure long-term access.

Print copies of monographs must continue to be preserved and accessible to support UK research. Collections at risk are not 'special collections', but monographs published between 1850 and 1970 which form the bulk of many library collections, especially in the arts and social sciences (Emly and Mertens, 2012).⁹

The report *Cloud-sourcing research collections: managing print in the mass-digitized library environment* highlights how digitisation increases the growing importance of these print materials: "The emergence of a mass-digitized book corpus has the potential to transform the academic library enterprise, enabling an optimization of legacy print collections that will substantially increase the efficiency of library operations and facilitate a redirection of library resources in support of a renovated library service portfolio."¹⁰

2. Methodology

2.1 Desk research & interviews

IPL carried out desk research and discovered over 200 relevant references and abstracts which described collaborative initiatives around the world. These have been compiled into a searchable SQL database and a Word document. Those quoted in this report appear in the references at the end of the report. These items and the consultants' contacts were used to identify key players in collaborations around the world and detailed telephone interviews were carried out with those listed in Appendix A. These interviews were carried out to discover what the outcomes of collaboration had been and what were the factors which influenced them; the issues arising were used in the UK stakeholder interviews. There was great variation in the nature of these collaborations, particularly with regard to their funding and leadership. However, there are lessons to be learned from the initiatives that are flourishing and those that have floundered. Details of the interviews are given in Appendix A.

2.2 Stakeholder research & interviews

Interviews were set up with key stakeholders within UK higher education institutions (HEIs). These were identified in conjunction with the National Monograph Steering Group (NMSG) and attempted to cover many different types of libraries. A set of detailed questions was prepared and used to gather detailed information about the current conditions and requirements in the UK. A summary of these interviews and those interviewed is given in Appendix B.

2.3 Online questionnaire

In consultation with the NMSG an online questionnaire was set up to gather further information about the appetite for collaboration amongst UK HEIs. This was distributed using the UKRR, SCOUNL and RLUK lists. The results of the survey are given in Appendix C.

3. Models for collaborative management of monographs

The literature review and interviews carried out as part of this study looked at collaborative management initiatives elsewhere in the world and found a variety of approaches. In some European countries collaboration is centrally managed and funded. For example, in Finland the Ministry of Education has, for twenty years, provided a shared storage space with loan requests processed within 24 hours.¹¹ Ongoing government funding for such an initiative is unlikely to be the case in the UK, and thus the models discussed in detail are found in the USA, Canada and Australia. Shared collections may be established in a centralised or distributed pattern, and may involve specialised storage facilities or traditional library locations. Ownership may be retained by the original holding library or ceded to another party. Three key models emerge.

3.1 Characteristics of the models

Model 1: Distributed storage and shared collection

- No shared or collaborative storage
- The holding library retains ownership
- Evidence-based decision making for retention and de-duplication
- Access should be enabled by interlibrary loan (ILL) between participating libraries

Model 2: Physical consolidation of print materials into a shared repository

- Collaborative storage, access and in some cases digitisation on demand
- The number of copies in a shared repository is usually limited
- Ceded ownership
- Evidenced-based decision making for retention and de-duplication
- Some have “last copy” policies; if a monograph is the last copy of that work held within the group of participating libraries, a process is in place for retaining it on behalf of the group
- Access is from the shared collection in the repository rather than by ILL amongst participating libraries

Model 3: Shared or cooperative storage facility

- Each library retains ownership of its collections, with separate location of collections for each participating library within the storage facility
- Flexibility for participating libraries providing a short-term return on investment
- This model does not encourage de-duplication, and a shared store could be holding several copies of the same items for different owners. As a result, it may be unlikely to achieve any significant cost savings in overall space

3.2 Examples of models

Model 1: Distributed storage and shared collection

Example 1

Michigan Shared Print Initiative (MI-SPI)¹²

<https://mcls.org/engagement/mi-spi/>

MI-SPI was founded in 2011 and it has nine participating libraries. Its goals are:

- To responsibly reduce the size of local print collections by reducing duplication of low circulating titles among the participating libraries so that library space may be freed up for other uses.
- To create and maintain a distributed, shared collection of these identified monograph titles to ensure that circulating copies of them are retained within the group, readily accessible to group participants and other Michigan libraries.

Participating libraries are committed to work together collaboratively to meet the project goals above for a minimum of 15 years (with options for review, renewal and dissolution).

The MI-SPI collaboration agreement stipulates that two print copies of each withdrawn title are retained in a shared print collection distributed among the participant libraries. The two copies are maintained at two separate designated participant libraries that already own and have recorded holdings of the title. Libraries maintain ownership of their designated retention titles. Retention titles are housed in facilities operated or shared by the owning library at the expense of that library. All titles are searchable in MeLCat and able to be requested through the RIDES delivery service. The shared titles circulate locally according to each library policy and follow the standard ILL practices of each institution for lending to other libraries. The collaboration uses GreenGlass® for Groups, which analyses the group of libraries' individual and collective holdings, sharing mechanisms, and retention needs.

Example 2

Eastern Academic Scholars' Trust [EAST]

<https://eastlibraries.org/>

EAST was founded in 2011 and currently has 54 participating libraries. EAST is a distributed retention model whereby libraries become retention partners committed to retaining and sharing designated print copies of monographs and journals for use of the patrons of any of the libraries participating in EAST. Materials are maintained at the retention partner libraries, either in traditional campus shelving locations or in library storage facilities, at the library's discretion^{13,14,15,16,17}

To promote stability of the programme, members agree to join EAST for an initial three-year term. Thereafter EAST membership is renewed annually on a 12-month term.

The mission of EAST is to ensure that scholars, including faculty and students, in the eastern region of the United States, have access to the scholarly record of print monographs, print journals, and serials through multi-library collaborative arrangements that ensure copies of even infrequently used materials are retained in sufficient number to be readily available. The continued need for access to print copies requires collaborative agreements among libraries to ensure that individual collection management decisions do not eliminate materials to the detriment of scholarly needs. The funding model of EAST comprised grant start-up funding and then annual membership/subscription fees.

Retention partners maintain ownership of the materials which they agree to retain for a 15-year retention period. Retention partners agree not to sell, discard, donate, or otherwise relinquish ownership or control of any of the retained materials prior to the end of the retention period, except to transfer materials to another EAST retention partner or with permission of the Executive Committee. Materials so relocated become the property of the retention partner.

The EAST Data Librarian has developed an [online database](#). This database supports searching of the 6 million EAST records by OCLC number and title. Searchers can locate titles across all of the EAST Retention Partners or search in a single collection or group of collections. EAST member libraries use their own institutional policies to fulfil requests, at no charge, from other EAST libraries.

Other examples: Shared Print Archive Network (SAPN) <http://www.coppul.ca/programs/shared-print>, Triangle Releaser Libraries Network (TRLN) <http://www.trln.org/>

Model 2: Physical consolidation of print materials into a shared repository

Florida Academic REpository (FLARE)

<http://cms.uflib.ufl.edu/flare/>

FLARE was founded in 2007 and has 15 participating libraries. The goal of the FLARE shared collection is to provide participants with highly cooperative solutions for the storage of low-use library materials. The collection is housed in an environmentally controlled, carefully inventoried and secure high-density facility located in Gainesville and administratively hosted by the University of Florida. Materials from participating libraries are voluntarily and permanently transferred to the shared collection and made available for retrieval by means of a Florida-specific unmediated borrowing service, through traditional ILL, or by electronic delivery.

It is the intention of the participating libraries that FLARE serves as a permanent collection. Participating libraries wishing to terminate involvement in FLARE and this agreement must provide written notice. The funding model of FLARE is an annual membership/subscription based on institutional size (weighted student and faculty FTE) which is used to fund daily operating costs of the facility.

Deposited materials are irrevocably transferred to the University of Florida on behalf of FLARE. These materials are considered permanent transfers and become part of the FLARE collection. FLARE items may be loaned to any participating library and that library has responsibility for the item from the time it leaves the shared collection until it has been returned to, and received by, the shared collection.

All academic libraries in Florida are granted the right to deposit last copies of monographs, government documents, and serials being withdrawn from their collections in the high-density facility for preservation. Only one copy of a serial, edition of a monograph or title as a microform is accepted into FLARE, unless an exception is recommended and approved by the participating libraries.

The FLARE collection operates standard ILL practices. Hard copy loans are for 60 days with a 30-day renewal. Items are loaned to the individual library and that library has responsibility for the item, notices and fines. Extended loan periods are available to faculty and graduate students for one semester with a one semester renewal.

Another example: Massachusetts based Five Colleges Consortium¹⁸

Model 3: Shared or cooperative storage facility

CARM (CAVAL Archival and Research Materials) Centre (Australia)

<https://www.caval.edu.au/member-services/shared-collection>

CAVAL was founded in 1978 and is owned jointly by the Vice-Chancellors of 11 Australian universities. It is an established not-for-profit agency, whose mission is to help Australian libraries

add value to the teaching and learning environment. CARM (the CAVAL Archival and Research Materials Centre) was set up in 1996 to provide a specially designed storage facility for CAVAL libraries requiring a high-quality and low-risk storage solution at a reasonable rate.

It is funded by upfront capital contributions from participating libraries in return for an allocation of space within the facility and an annual subscription/ maintenance fee. The costs vary according to whether the institution has contributed capital funding or whether it leases space on an annual basis. Costs also vary according to whether the items are placed into high-density storage (therefore incurring an upfront processing cost) or are stored in a 'library-like' medium-density configuration. Non-capital contributors who are CAVAL members contribute to consortium collection at a per-volume rate set by the CAVAL board. Loan fees are charged for non-capital contributors and non-CAVAL members.

In exchange for a contribution to the capital costs of CARM each institution receives licensed space for a 30-year period.

Ownership of items in storage is retained by each participating library, and each member library makes its own decision about print items for storage.¹⁹ Requests for materials stored in member-owned off-site collections stored in the CARM Centre are responded to and supplied by CAVAL through inter-library loan and document delivery.²⁰

Other examples: PASCAL (Preservation and Access Service Center for Colorado) <http://pascal.ucdenver.edu/generalinfo.htm>; and ReCAP (Research Collection and Preservation Consortium) <https://recap.princeton.edu/>

4. Similar UK collaboration models

UK Research Reserve (UKRR)

Although designed and tested for journals, the UK Research Reserve (UKRR), founded in 2007, is included here because it is a tried and tested model for collaborative management and storage in the UK. It is in fact a variant of Model 1 above. It aims to preserve research material for the UK HE research community and provide coordinated retention and quick and easy access. Physical consolidation of print journals has significantly helped UK libraries release space. UKRR preserves research material for the UK HE research community and also provides a distributed retention model via UKRR member libraries. However, access is from the primary research reserve at the British Library.

The goals of UKRR are to safeguard the long-term retention, preservation, and access to low-use print journals within the UK HE sector. The purpose of the UKRR is to provide support for libraries attempting to balance the needs of a new generation of users who value group study and IT facilities with the need to protect the research contained within space-intensive low-use print journal collections. UKRR Phase 2 had 29 participating libraries and was set up with initial HEFCE funding of £9.83 million. Ongoing subscriptions (tiered by Jisc Band) from libraries contributed to the storage costs of housing the journals at the British Library.

The ownership of journals belongs to the library holding them for UKRR. The UKRR process is designed to ensure completeness of the principal research collection securely housed in the British

Library Document Supply Centre at Boston Spa. In order to safeguard access, two further copies are retained within UKRR member libraries. Access to material held in the Research Reserve is provided via the British Library's established document supply service, with UKRR members receiving a premium 24-hour electronic delivery service for all their document requests. Through holdings checks, gaps are filled in the British Library's loanable collections, ensuring that complete runs of journals are held for the Research Reserve wherever possible. Two additional copies are then held in participating HE libraries, distributing the costs of continued storage.

5. Key issues for a UKRR (Monographs) or UKRR-M

5.1 Funding, sustainability & business models

Start-up funding

Some European initiatives have benefited from government funding for both development and ongoing sustainability. For example, The National Repository Library of Finland is funded by the Finnish government. In other parts of the world set-up funding has come from a state system or a foundation. The Andrew W. Mellon Foundation and the Davis Educational Foundation have provided funding to get several projects off the ground. Such funding has enabled project planning, support for shared collections, analysis of bibliographic records and offsite storage infrastructure. Examples include:

- The Research Collections and Preservation Consortium (ReCAP) in the USA received start-up funding from the Mellon Foundation of \$1,000,000 in 2015 to support the development of a new software system for an offsite storage facility housing a collection shared by three major research libraries.²¹
- The Mellon Foundation provided funding of \$50,000 in 2013 to the New England Regional Library Print Management Planning to support planning for the shared management and shelving of collections of print monographs among northeast regional college and university libraries.²² Mellon also provided \$89,000 in 2013 to Bryn Mawr College to develop, in collaboration with Swarthmore and Haverford Colleges, a shared library research collection as well as an off-site storage space.²³
- A Mellon Foundation grant of \$50,000 in 2011 was made to the Extensible Infrastructure for Irish Research Libraries to support collaborative storage and collections services for Irish research libraries.²⁴
- In 2015, the Davis Foundation awarded \$400,000 to the Collections Analysis for Eastern Academic Scholars' Trust (EAST) to conduct an analysis of bibliographic records and recent circulation activity for print monographs at participating campuses.²⁵
- In the UK, approximately £10 million in funding from HEFCE for UKRR achieved more than 11km of shelving space released in the first phase. This resulted in recurrent estate saving of approximately £318,000 p.a. and capital saving of £3,333,000. In Phase 2 a further 76km shelving space was released, resulting in recurrent estate saving of approximately £2.2 million p.a. and capital saving of £23 million.

Business Models for sustainability

As with UKRR, most collaborations elsewhere in the world depend on membership/subscription fees from participating libraries for ongoing costs such as:

- Overhead costs: Project management and administration
- Fixed costs: Storage and systems
- Activity: validation, delivery, retrievals, re-shelving and metadata updates

Collaborations need to agree the business model, deciding which costs are covered collectively and which are absorbed locally, and how payment is equitably divided. Initiatives operating a distributed storage and shared collection model generally appear to charge subscription fees based on each library's operating budget and/or size. Shared or cooperative storage facilities generally appear to charge per linear metre for storage, often with additional one-time payments for transporting and accessioning materials into the storage facility on a per-volume basis.

Initiatives which provide physical storage and access to a shared collection, such as *ReCAP (Research Collection and Preservation Consortium)* have developed a cost-sharing formula, to cover activities and storage costs. Fees for storage in the shared collection are divided proportionally by share of the shared collection, and retrieval and re-shelving fees are based on the borrowing library rather than owning library. However, it should be noted that these fees are subsidised through other storage fees for non-shared materials.²⁶

In the UK there are several examples of local/regional collaborations which are proving successful, including the White Rose consortium and the University of London collaboration. However, interviews with UK HEIs indicate that although successful, these initiatives are not scalable to a national initiative.

There are some notable examples of collaborations that failed due to the lack of a sustainable business model. CASS: a collaborative academic store for Scotland project was a pilot service for seven Scottish Confederation of University & Research Libraries (SCURL) member libraries. The National Library of Scotland provided initial introductory storage space, but the project folded when this could not be continued. At the end of the project, a costly exercise was required to take back or dispose of the stored collection; 80% of the materials were discarded and remainder was repatriated. The project carefully recorded the lessons learned.²⁷

While central ongoing funding is sometimes seen as desirable, it can cause failure if the funder's policy changes. In 1949, the German Research Foundation (DFG) began funding a collaborative collection plan for journals and monographs, but recently policy shifted to a focus on electronic items only. Although the initiative has run for such a long time, it has reverted back to the status of "project" and participating libraries are concerned about its sustainability. Those that were eager to get involved now worry about committing when planning and funding is short-term.

The IPL interviews with stakeholders and the online survey indicate that early transparency about the business model for sustainability is essential for encouraging participation.

5.2 Bibliographic data

Shared bibliographic data is central to the success of all types of collaborative initiatives. Some collaborations have established sophisticated systems for the sharing of bibliographic data. For example, the Finnish National Metadata Knowledgebase provides a new working environment for metadata production. Sharing the metadata makes it easier to utilise work done by other libraries and minimise the need for multiple bibliographic descriptions. The storage of bibliographic metadata

is maintained by the National Library and brings efficiency and cost effectiveness for the whole Finnish library sector.

In the USA, OCLC holdings metadata is generally considered definitive, indeed to the extent that other vendors report not having developed collection assessment tools, because librarians would always want to compare the data they generate against OCLC's data.

A centralised metadata system is beyond the bounds of possibility, and indeed the desire, of many library collaborations, but there is a generally acknowledged need to establish what is rare and unique. There also need for each individual library to understand its collection's strengths and match them against its university's learning and research strategy.

The IPL research indicates beyond doubt that accurate and consistent bibliographic data is essential for any collaboration. In the UK the National Bibliographic Knowledgebase (NBK) currently being developed by Jisc will eventually include catalogue data from more than 225 academic and specialist libraries. One of the key benefits stated by Jisc is to "Support the formulation of a more joined-up national strategy around retention of print materials". NBK will be working with OCLC on the database. Once UKRR-M has been established it will be important that priority be given to assimilating metadata from those institutions in the start-up phase.

5.3 Collection analysis

Collection analysis is a key issue for both individual libraries and existing shared monographs collections. Interviews with UK stakeholders demonstrated that many individual libraries are already undertaking collection analysis both to understand their collection strengths and weaknesses and to provide an evidence base for de-duplication and de-selection. One UK library which has been working on collection analysis for about 18 months said:

"We are adamant that an evidence-based approach is the key to success. We need to be able to demonstrate that there is a sound methodology behind our strategy. We do not feel inhibited about discarding items but we do need to establish what is rare and unique. It is important to understand our collection strengths and match that against the University's research strategy."

Many of the existing shared monograph collections in the USA are also undertaking collection analysis of their shared collections. For example, in 2015 the EAST libraries provided bibliographic data to Sustainable Collection Services (SCS), owned by OCLC, which then created a collective EAST dataset including over 16 million items. The data was, and continues to be, mined in the GreenGlass® database by the EAST project team in order to ensure that the three primary components of their retention model are fulfilled. The retention model requires: (i) the retention of all existing holdings for titles that are scarcely held in the region; (ii) the retention of up to five holdings for all titles that have significant use within EAST; and, (iii) the retention of one holding for titles that are not scarcely held or heavily used.²⁸

Libraries adopt a variety of methodologies for de-selection of titles ranging from the relatively simple "one in, one out" or the discarding of multiple copies of old editions, to the use of sophisticated collection analysis tools. Responses from the UK interviewees were mixed about the use of such tools. Some libraries are using OCLC's GreenGlass®. However, the perception is that it is expensive, both from a system cost and a person resource perspective. There is also some concern

about the accuracy of GreenGlass[®] where analysis has gone against the gut instinct of librarians. Slight differences in the records, for example, “Wiley” or “Wiley Blackwell” result in a different OCLC number; hence two of the same titles can appear not to match. One interviewee also pointed out that GreenGlass[®] does not cope well with collections that have books with different classification schemes (a common problem in many libraries) and varying quality of metadata. Other UK librarians reported using the Copac Collection Management (CCM) Tools, with one commenting that they found them easier to use and less time-intensive than GreenGlass[®].

5.4 Governance & leadership

All successful monograph collaborations need clearly thought out and agreed governance procedures. IPL’s research revealed a diverse range of documentation regarding the governance of monograph collaborations, ranging from succinct Memoranda of Understanding (MOU) to highly detailed policy manuals. It is unlikely that any of the existing agreements could be used in their entirety as a basis for a UKRR-M agreement but the following examples may contain useful information on the components of an agreement.

CARM -The CAVAL Archival and Research Materials Centre in Australia has produced the *CARM Collections and Services Policy Manual* which is fairly detailed and covers information on: collection ownership; criteria for acceptance; bibliographic access; loans; document delivery; and charges for deposit and loans.²⁹

The Michigan Shared Print Initiative (MI-SPI) has a useful and concise *Memorandum of Understanding* (MOU) which includes information on: guiding principles; duration of agreement; and release from agreement terms. The MOU then goes on to detail the maintenance of the shared print repository, covering: ownership and location; protection and retention; damaged and lost copies; and data refreshment.³⁰

The Five College Consortium in Massachusetts has a seven page document entitled *Five College Library Repository Collection Policies*. This document covers, in reasonable detail, all important aspects of the collaboration including: governance; participation; facilities (including conditions and maintenance); operational costs; deposits and ownership; return of materials; circulation; and lost/damaged materials.³¹

The *UKRR Memorandum of Agreement (MOU)* is a short document outlining the aims and objectives of the collaboration and membership information. The MOU is supplemented by two associated documents the *UKRR Handbook* and the *UKRR Retention Agreement*. A number of UK interview respondents stated that governance of a monograph collaboration along the lines of UKRR would be welcomed.

Leadership is obviously a critical element of governance, and all the agreements studied by IPL detail the governance and leadership of the collaboration. There are many leadership models used around the globe, ranging from management committees comprised of library directors through to leadership by the national library, e.g. in Finland. The interviews conducted with UK library stakeholders specifically asked about leadership in the UK context and without exception all respondents said that they thought that the British Library was a natural leader for monograph collaboration, as it has knowledge and expertise built up over many years. Most respondents agreed

that it would also be important to establish a national membership organisation as a separate legal entity and to ensure that the membership had a voice and were listened to.³²³³ Kristina McDavid, Executive Director of the Council of Prairie & Pacific University Libraries (COPPAL) summed this up: “There is a real need for consensus building between libraries. Trust is vital. Libraries need to feel that they are able to voice their concerns and have them addressed.”

The OCLC document (Appendix 2) has links to all the shared print collaborations’ policies.

<http://www.oclc.org/content/dam/research/publications/library/2009/2009-03.pdf>

5.5 Administration

The vast majority of stakeholders were of the opinion that administrative support was key to any collaboration, with libraries making either personnel or finance available. Successful collaboration requires dedicated administration to support governance, create documentation and liaise with members. Only one example was found of a collaboration with no separate administration - Michigan’s MP-SPI.

5.6 Storage

In the USA increasing numbers of shared facilities are being planned and built. Of the estimated 75 North American high-density facilities, at least 15 are shared by multiple libraries. Existing library consortia or university systems have developed shared depositories, and very often the “Harvard Model” of high-density storage facility is the design of choice.

A successful model is Florida Academic Repository (FLARE), the state-wide shared collection of low-use print materials from academic libraries in Florida. It started with 4000 little-used monographs and it now contains 1.9 million volumes contributed by five academic libraries. An important factor in its success is the digitisation operation in the same building. Digitisation is on demand but the digital surrogates are then available through the shared catalogue which has been the cornerstone of this initiative. Perhaps a victim of its own success, this initiative is now planning a new High Density Library Facility project based on the Harvard model with a capacity of three million print volumes. However, it has yet to be fully funded.

As described in the Models section of this report, shared storage is not a requirement for all collaborative initiatives. However, evidence gathered in this study indicates that storage is a key driver for UK libraries. Some face an acute space shortage and many others struggle to balance the need for study space with the need to offer a breadth of titles across a given subject area. Only 4% of respondents to the survey did not report a problem with space in their library.

Respondents showed little appetite for shared distributed collections and articulated a distinct preference for shared collections in a shared store. Of respondents to the survey, 78% would be interested in using an off-site shared storage solution and 73% would be interested in collection sharing at a national level with the involvement of the British Library.

There is a strong preference for a non-commercial storage solution. Of respondents, 76% indicated a preference for a storage facility managed by the British Library. Retrieval times would be a major factor for libraries, and several indicated that storage provided by the British Library would be desirable because of its expertise and knowledge in this area and because reliable and efficient

retrieval is essential. A collaborative store without the involvement of the British Library might result in savings of space, but would require the development of a new document delivery service from scratch.

Interviewees said that in order to participate in a collaborative initiative they would need to demonstrate a return on investment (RoI) to their institutions and the survey results indicate space saving would be the primary measure for establishing RoI and making participation worthwhile.

Retrieval from storage

The IPL research showed that reliable and efficient retrieval from store is a high priority for libraries and would be essential for success. The survey indicates a preference for 24-hour delivery, although some might accept a slower delivery for a lower-tiered price.

An examination of the delivery times from shared repositories elsewhere in the world indicate that 24 hours is typical. Loans are for around 60 days. For example, PASCAL (Preservation and Access Service Center for Colorado) allows 56 days in total with actual loan period to patron of 21 days with one renewal. The remaining 14 days provide time for shipping, patron notification and return to loaning library. Retrievals are subject to usual ILL practices.

In considering policies for a UKRR-M, consideration needs to be given to the conditions of access. Some collaborations make access available to all libraries, others limit access to contributing members. If the former applies, would participating libraries benefit from priority access to the shared collection? UKRR, for example, provides participating libraries with special benefits in the form of a premium 24-hour electronic delivery service for all their document requests.

5.7 Shared collections and resource sharing

Unlike North America, the UK has a long-established national resource sharing serving service based at the British Library at Boston Spa. In other countries, resource sharing has usually been established by consortia. Several initiatives in the USA and Canada are committed to some form of resource sharing. Clearly articulated goals and a shared vision are key factors in their success.

One of the oldest and most successful projects is Michigan Shared Print Initiative (MI-SPI). The group of librarians had not shared automation or consortia purchasing but were motivated to work together because of the shared geographic area, with an established transport network to move books around. There was no attempt to pool the collections, and each library's collection is in a separate area.

The Triangle Research Libraries Network (TRLN) is a collaborative organization of Duke University, North Carolina Central University, North Carolina State University, and The University of North Carolina at Chapel Hill, which took the unusual step of group ownership. Its philosophy is "One Research Collection for One User Community". This collaboration requires a lot of work in terms of library management systems, with records changed to reflect the changed status of the items. The ambitious vision for the future is unlimited resource sharing within the consortium. That involves sharing materials across the institutions, removing barriers to access and providing easy and rapid delivery services.

In Canada, the COPPUL consortium is comprised of 22 university libraries. Its Shared Print Archive Network (SPAN) is a distributed retrospective print repository programme. SPAN's main goals are to provide access to shared print archives, create opportunities for the reallocation of library space, and preserve the print record for its members in a cost-effective way. Rather than thinking about the project in terms of preserving the "last copy," this partnership emphasises the role of the archived print as part of an optimal copy network that includes other print archiving initiatives. Their current monograph project is at the stage of collection analysis and they are working with OCLC and GreenGlass®.

All these collaborations have resulted in a more extensive resource for their research communities.

5.8 Ownership and resource sharing

The literature review and interviews with collaborators elsewhere in the world indicate that deciding which entity will own the physical volumes in a shared collection is a key. Three models operate:

- The original owning library
- The retaining library (if different)
- The consortium or collaboration (if a separate entity)

Transferring ownership of library materials can be complex and requires clear procedures. Most "distributed storage and shared collection" models define ownership of the shared materials as remaining with the original owner, which is very often the retaining library. In the "physical consolidation of print materials into a shared repository" models, the original holding library irrevocably transfers ownership to the retaining library.³⁴ In other cases, the shared collection becomes the property of the consortium, for example the Five Colleges (Mass.) Library Depository (Payne, 2012).³⁵

In the USA the issue of ownership has been contentious, particularly for large libraries whose stature in the community of American research libraries is closely linked to the number of volumes they own (Reilly and DesRosiers, 2003).³⁶ The findings of the IPL research indicate that ownership would not be an issue for a shared collection of widely held low-use monographs in the UK. This is with the provisos that a national shared collection is managed and curated by a trusted party (ideally the British Library) and that access arrangements are robust. Indeed, some of the stakeholders consulted as part of this study noted that ceded ownership may be a more efficient model in the longer term.

The IPL study found that while space saving would be a key measure for RoI, resource sharing which would improve user satisfaction, discovery and ease of access to materials would be another important measure. There is interest in resource sharing if it would mean that libraries could reduce collections in areas that are not their strengths, or which are little used, providing that access was easy and cost effective i.e. cheaper than local storage or ILL.

5.9 Duplicate Materials

Optimum Number

The optimum number of duplicate monographs contributed to a UKRR-M must be agreed. OCLC's Shared Print Policy Review Report found that about half of the collection-sharing regimes it reviewed prohibit duplication of contributed monographs above the agreed level.

Work Flow

It is proposed that bibliographic data is submitted to UKRR-M. The agreed *optimum number* of copies will then be called in from submitting libraries and checked. If they are a match and in good order they will be secured in UKRR-M. Without this physical check, it would be difficult to be certain that the duplicate copies submitted were identical.

If any of the first called duplicate copies are not fit for purpose, additional copies would be requested for checking. If any library is unclear that their library is copy is identical they could submit it for checking.

When the *optimum number* of copies is secured in UKRR-M, other libraries may then choose to deselect additional copies held in their collections.

It is recommended that all the *optimum number* of last copies are kept in UKRR-M (rather than distributed across libraries) because the obligation to retain copies under a distributed storage model may provide a barrier to recruiting member libraries, particularly in a start-up phase of a UK collaborative solution.³⁷

5.10 Academic liaison

It is a fact that discarding books, or even removing them to a remote store, can cause outrage among the academic community. A perfect example is an article entitled "On UCSC's outrageous mass destruction of books" published in *The Mercury News*, Dec. 24, 2016. The academic in question was quoted as saying:

*In 1990, when I arrived to work at UCSC, I took pride in our Science Library. By 2000 new journals were no longer displayed. By 2010 the journal room was gone, turned into a large study. We could no longer browse new journals. After journals had been vanquished, the next enemy was clear: books. At the beginning of this Fall quarter I entered the library. No books on the first floor. I walked up to the second floor, where the math and physics collection used to be. Nothing. No books."*³⁸

However, evidence from IPL's interviews seems to demonstrate that, on the whole, the issue appears not to be such a problem as it was a few years ago. The key to success is to consult extensively with the academic community and demonstrate evidence-based decision making as articulated by one UK interviewee as follows:

"We are putting the user at the centre of the exercise and undertaking research on the use of the collections and exploring use patters. We have undertaken extensive consultation with users, including faculty. This had never been done before. At the beginning we did experience faculty

resistance, but by presenting them with an evidence based methodology they are definitely 'over the hump'.

One interviewee commented that the reality of space charging and the changing way that academics interact with the library (e-access) have changed the dynamics. Another said: *"My perspective is that the academic community is increasingly more willing to consider it (monograph de-selection) and I am now prepared to broach the issue, whereas I wouldn't have dared ten years ago."* Another large research library separates research collections from teaching collections when discussing the issue with faculty and they have re-named their teaching collections "self-maintained collections".

Those interviewed acknowledged initial difficulties in getting faculty on board for any kind of collaborative storage. There is a need for reassurance and to build a strong evidence base, for example, the cost of keeping a book on the library shelf as opposed to in a shared store. However, if that is provided along with a reliable and quick service for delivering books from a store, academics are indeed reassured and accept the decision.

In the event of libraries undertaking significant de-selection in order to utilise the UKRR-M, it would be helpful to provide national guidelines on the benefits of a shared UK monographs collaboration.

5.11 Digitisation

Digitisation, digital preservation and print on demand are increasingly important elements in many successful collaborations. HathiTrust in Michigan reports that half their 120 members are interested in monograph retention/sharing schemes. The HathiTrust Shared Print Program aims to ensure preservation of print and digital collections by linking the two, to reduce overall costs of collection management for Trust members, and to catalyse collective management of collections. Key attributes of the programme are:

- Secure retention commitments for print holdings that mirror book titles in the HathiTrust digital collection
- Maintain a lendable print collection distributed among HathiTrust member collections
- Reflect support by and provide benefits to all HathiTrust members

The first phase of the project (2016-2017) is expected to build momentum through a "quick launch" effort that will focus on finalising policies and the MOU, and will identify an initial set of retention partners and commitments. In Phase 2, they will build infrastructure by adopting tools to support further collection analysis and resource sharing, and will define future priorities and services to coordinate print retention and digitization.

HathiTrust seems to be a trusted organisation because of its governance. Only one library has ever withdrawn and ten were added in the last year. All HathiTrust funding comes from member contributions. HathiTrust charges more than cost recovery so it can invest in future and cover the Shared Print Program.

Other consortia collaborations, for example COPPUL, also have digital preservation initiatives. Digitisation facilities alongside shared storage are also seen as an important bonus and have contributed to the success of FLARE, for example.

However, some of the IPL interviewees acknowledged that digital surrogates give little comfort in certain disciplines where the physical object is required. Others said that still, too often, the e-books they would like to acquire are not available. Some of the lack of availability is because publishers have not digitised back-list titles. In other cases the e-books are available but the cost is too high for multiple purchases. When libraries digitise books from their collection or use HathiTrust or the Internet Archive it is usually when the books are out of copyright.

It is clear that the UKRR-M will need to address the issue of offering a digitisation service for monographs in the medium term. However, IPL suggests that this is tackled after the initial start-up phase of dealing with print.

6. Recommended strategy: UKRR-M

IPL proposes the adoption of the following strategy for collaborative management of low-use monographs in the UK.

A national membership organisation would be formed to manage collaborative management of low-use monographs in the UK. For the purposes of this document we are calling this UKRR-M.

The goals of UKRR-M would be:

- Quick and easy access to research material
- Coordinated retention
- Collaborative storage, helping UK HE libraries to release space
- Preservation of research material for the UK HE research community

UKRR-M will achieve the above goals by:

- Offering a national solution ensuring that all libraries are working to common guidelines
- Providing physical consolidation of print materials into a Shared Repository Collection, creating a Shared Collection of Monographs at Boston Spa
- Providing central administration
- De-duplication of materials transferred to the Shared Repository Collection. (After the Start-up Phase and assuming development of the NBK and confidence in its metadata, subsequent phases could have de-duplication before transfer)
- Timely access to a shared collection for the benefit of UK research

6.1 Time scale and commitment

A Start-up Phase would operate for some three to five years. The Start-up Phase would identify and manage the challenges and prove if UKRR-M is a workable concept.

If a workable concept, UKRR-M could scale in terms of numbers of participants and number of years in subsequent phases.

An explicit retention commitment (regardless of duration) for titles committed to the Shared Repository Collection would be agreed.

A possible timeline is given in Appendix E.

6.2 Start-up funding

Seed funding from, for example, a national organisation or an international foundation, similar to the funding provided for UKRR, would enable project management, administration and the development of systems. Seed funding would include a de-duplication fund to help HEIs with the costs of releasing and re-using shelf space occupied by low-use print monographs. If seed funding cannot be obtained, the participating institutions would need to get together to provide start-up funding in exchange for discounts in the future (e.g. the CARM model).

6.3 Business Models for sustainability

Mechanisms need to be in place for UKRR-M to continue running after initial funding has ceased. Membership fees from participating libraries and storage fees would be required depending on the business model selected.

6.4 Governance and leadership

Our research indicates that the British Library is considered a natural leader in this area. Thus, we propose that UKRR-M is a partnership between the BL and the HE community. As with UKRR, participating libraries would sign a Memorandum of Understanding with other participating organisations.

UKRR-M would be governed by a Board. Its role would be to provide strategic leadership and to ensure UKRR-M fulfils its stated aims, and meets the needs of the UK HE sector. The membership of the Board would reflect the diversity of the research community in the UK.

The UKRR-M Stakeholder Panel would comprise representatives from the stakeholder community, with responsibility for developing the process for the de-duplication of monographs, which will allow participating libraries to combine in discarding their low-use print monographs whilst collaborating with the creation of the UKRR-M shared collection. The panel would agree the evaluation criteria for material to be de-duplicated, and agree processes and workflows. To ensure that members have a voice, nominations for the UKRR-M Stakeholder Panel would be sought, and participants would vote to elect members.

6.5 Storage

Storage would be provided and managed by the BL. (We understand that the BL could provide fit-for-purpose storage for the Start-up Phase).

6.6 Administration

UKRR-M would have central administration like UKRR. In the Start-up Phase (at least) staff at the BL would be needed to undertake physical comparison and examination before de-duplication.

6.7 Bibliographic data

Participating libraries would have bibliographic data in NBK at the start of their collaboration. NBK would work with the Shared Repository Collection to include its holdings data as part of the overall aggregation. We would recommend that the NBK creates a separate searchable dataset for UKRR-M. It will be necessary for the libraries to update their status to reflect the new location, post de-duplication.

However, it is recognised that there will be work necessary by NBK and the libraries to check the quality of the metadata before input. NBK would also need to develop some way to indicate the location of copies retained in the Shared Repository Collection.

6.8 Collection analysis

1. Individual libraries require collection analysis tools, and participants in the Start-up Phase should have access to the Copac Collection Management Tools (CCM) (although this would not prohibit the use of other analysis tools such as OCLC's GreenGlass®).
2. There may also be a need for CCM Tools to be applied to the Shared Repository Collection.

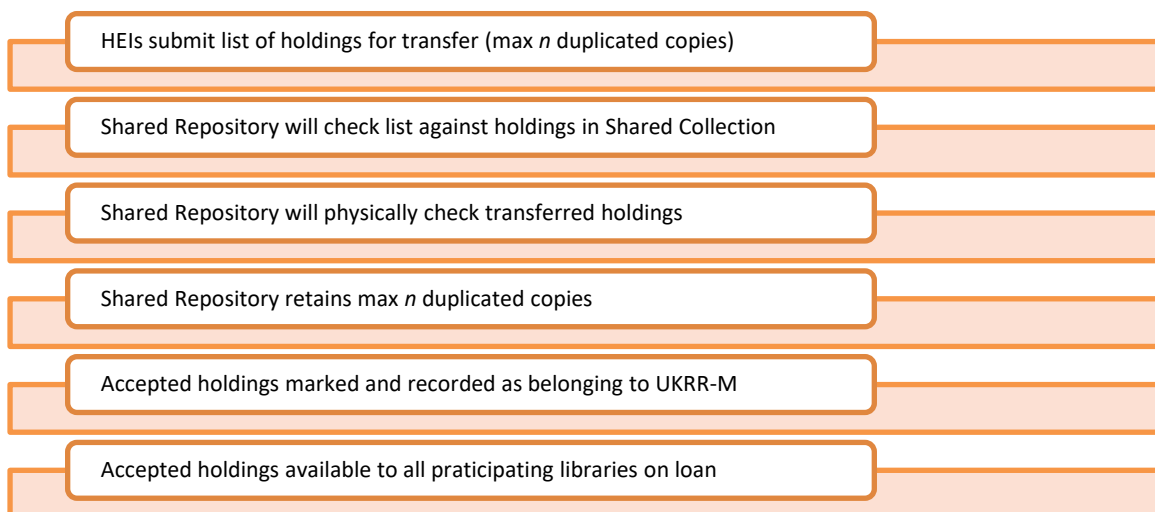
6.9 Ownership

Ownership would be ceded to the library holding the Shared Collection for UKRR-M, or to UKRR-M.

6.10 Workflow

Libraries would be able to submit no more than an agreed number of duplicate copies to the Shared Repository. Upon transfer to the Shared Repository, holdings would de-duplicated, following physical comparison and examination, ensuring that no more than an agreed optimum number of duplicate copies are retained. Evidence from IPL's interviews and survey indicate that without a distributed storage model no less than three copies should be held in the Shared Repository Collection.) Accepted items would be marked and recorded as being part of the UKRR-M collection.

It would be at the discretion of individual HEIs as to whether they retain, or dispose of, material rejected as unsuitable for inclusion in the UKRR-M Shared Repository Collection.



6.11 Retrieval

Items accepted by the UKRR-M would be available to all participating libraries as a shared resource. Most libraries would be satisfied with a tiered delivery service, price dependent, ranging from urgent 24-hour delivery, to non-urgent 72-hour delivery.

6.12 Academic liaison and making the business case

Although each participating library would tailor communications for UKRR-M, common advocacy materials and a common timetable would ensure a consistency of message. Advocacy materials would be developed to describe the benefits of UKRR-M in terms of access to material, preservation of research material and local space-saving benefits.

Appendix A: Institutions interviewed about collaborative activities

Institution	Interviewee
University of Aberdeen/FLARE	Diane Bruxvoort
Big 10/University of Michigan	Charles Watkinson, Kathleen Folger
British Library	Caroline Brazier
Copyright Clearance Center	Roy Kaufmann
COPPUL	Kristina McDavid
Center for Research Libraries	Bernie Riley
German Research Foundation (DFG) & Bayern-Konsortium	Hildegard Schaeffler
EAST (Eastern Academic Scholars' Trust)	Susan Stearns, Matthew Revitt
Finelib	Arja Tuuliniemi
HathiTrust	Mike Furlough, Lizanne Payne
Internet Archive	Brewster Kahle
Jisc	Neil Grindley
Knowledge Unlatched	Frances Pinter
ProQuest	Jane Burke
SCURL	Jill Evans
University of London	Nick Barratt, Chris Foreman
WHELF	Janet Peters
University of Wellington (CAUL)	Janet Fletcher
White Rose Consortium	Sarah Thompson, Liz Waller

Appendix B: Interviews with institutions

B1 Institutions interviewed

Institution	Interviewee
King's College London	Robert Hall
Northumbria University	Nick Wooley
University College London	Paul Ayris
University of Bristol	Jessica Gardner
University of Essex	Cathy Walsh
University of Exeter	Clare Powne
University of Leeds	Stella Butler
University of Oxford	Richard Ovenden
University of Southampton	Jane Savidge
University of St Andrews	John MacColl

B2. Summary of interviews with key stakeholders

A set of structured questions was prepared and in conjunction with the Steering Committee key stakeholders were identified. The structured interview and the Library Directors interviewed are below. The diversity of interviewees, from a range of university libraries, not unsurprisingly provided

some diversity of views. However, there are points of common interest and agreement. All the libraries interviewed experience significant space issues, and based on the success of UKRR would welcome a collaborative effort. Sharing accurate bibliographic data is seen as key infrastructure for a collaborative initiative. While there is little or no appetite for shared collections, there is interest in shared storage and national guidelines about the retention of last copies. The National Bibliographic Knowledgebase, shared storage and national guidelines may be a spur for more confident de-selection. Trusted governance and leadership, which must include the British Library, are seen as essential. A summary of the responses follows:

B3. Collaborative Management of Monographs

All the stakeholders welcomed the interview, because they face significant space and storage issues. UKRR has already helped many of those we interviewed to create space by removing journals, and now some are actively deselecting monographs, focusing often on quick wins: multiple copies and previous editions.

For some libraries, the pressure comes from large collections of low-use monographs. Others have a strict “one in one out” policy, but nonetheless suffer from a shortage of space because of the need to provide multiple copies of textbooks and print copies for reading lists (often because e-versions are unavailable to libraries). Many have some form of off-site storage, varying from dedicated warehouse space off campus, to the use of basements. Nonetheless, whatever storage is already at their disposal, all are struggling to balance the expectations for collections and study and learning space. Libraries that serve humanities scholars seem particularly tested because of senior management and academic demand for print collections.

Changes in library policies over the last few decades have led to the need to buy several copies of books on reading lists and the creation of more study space. Lack of space not only limits the areas that can be converted into study space but also collection building and the acceptance of donations.

B4. Areas of Collaboration

In general stakeholders interviewed expressed a willingness to collaborate with other libraries. However, some of them noted that their university’s view might be different in terms of collaboration with competitors for both students and research funding, particularly in areas where it is felt that their library collections are distinctive and unique.

Bibliographic Data & Collection Analysis

The development of Jisc’s National Bibliographic Knowledge base was regarded by all interviewees as a vital foundation block for any national collaboration.

Responses were mixed about the use of tools for collection analysis. Some libraries are using GreenGlass® and welcome its potential for international collaboration. However, perception is that it is expensive, both from a systems and resource perspective. There is also some concern about the accuracy of GreenGlass® where analysis has gone against the gut instinct of librarians. Slight differences in the records for example “Wiley” or “Wiley Blackwell” result in a different OCLC number; hence two of the same title can appear not to match. One interviewee also pointed out

that GreenGlass® does not cope well with collections that have books with different classification schemes (a common problem in many libraries) and varying quality of metadata.

Some libraries use the Copac Collection Management (CCM) Tools, and find them nimbler than GreenGlass®. However, it should be noted that one interviewee complained that the CCM Tools were unavailable to them because they are not a research library. Perhaps more needs to be done to promote access to CCM Tools and make them available to all institutions who are members of the UK Access Management Federation.

Shared Distributed Collections

There was not a great deal of enthusiasm for shared collections. Some interviewees could not picture how it would work in practice. Another had experience of previous initiatives in this area which had “died a death”. One said that such a concept is old thinking, predicated on ILL. ILL is still being widely used, especially in the USA.

Shared consolidated collections? (shared collections in a shared store)

There is some interest in a shared collection but at national not regional level. One interviewee said, “There are real difficulties about local initiatives, they don’t provide efficiency – the solution needs to be big scale.” However, subject to issues of governance and ownership, shared collections in a shared store may have potential. As one interviewee said, there is little point in everyone storing the same thing. If libraries could be certain that items were stored and available in a shared store this would certainly provide scope for de-selection.

Collaborative purchase and management of print books and e-books?

None of the respondents showed any enthusiasm for shared purchase of print monographs. There was, however, an interest expressed in the shared purchase of e-monographs with several saying that innovative, nationally agreed licences for e-books would be helpful.

Shared storage

Shared storage is an area where there is enthusiasm for collaboration. One interviewee summed this up: “A union tool would be fabulous, with a shared store with a mixed approach”.

Interviewees were asked about the following options:

- Non-commercial (e.g. sharing an academic owned offsite location with other libraries)
- Shared storage – with commercial providers that meet recognised curatorial and environmental standards
- Shared storage – if the BL could provide it

A national solution, based on the BL (a trusted partner) at Boston Spa, would for some be the natural solution, if it were available. There is also interest in non-commercial shared storage, with two interviewees saying that they would be particularly interested in the opportunities of scale which could be provided by the Bodleian Library, which has a storage facility in Swindon.

Some interviewees had explored commercial options previously and found that the economics did not stack up. However, there would be interest if collaboration provided sufficient scale for a good price, with the costs divided between participating libraries.

However, it should be noted that two of the libraries interviewed said that a shared storage solution would need to provide significant impact in terms of space saved for a business case to be made. One remarked that it would have to be “the equivalent in space to a small campus library”. Other interviewees could foresee making more modest use of a shared store, saying that they would welcome a UKRR-type initiative that would allow them to send rare items for future use.

It was generally felt that is if the service model was right, the geographical location was unimportant. One person remarked that Boston Spa was designed for this! It was also pointed out that digitisation makes geographic location less important in the longer term. Nonetheless, in the short to medium term, service requirements may not be trivial. One interviewee, who already has use of off-site storage, reported 200 requests a day for material from the store, which must be delivered to academics within 24 hours. Others, however, noted low use of items stored off-site.

Whichever solution emerges, the important issues would be the contract terms, contract of ownership, fees and document delivery.

Cooperative subject specialist collections at regional, national or international levels.

This was not seen as an immediate priority; there was little interest.

Cooperative shared cost digitisation programme for preservation and access purposes.

Possible as a longer-term solution, but membership and collaboration with HathiTrust is a greater imperative in the shorter-term. HathiTrust has recently been talking to UK organisations and are involved in the National Bibliographic Knowledgebase.

B5. Collections

Special collections

All interviewees had collections that they would not be prepared to share. It was felt that concentrating on low-use, high-volume twentieth-century material was the quick win.

De-selected titles from other libraries

Most respondents said they would not welcome them in their libraries as space is the overriding issue. One interviewee pointed out that a policy of offering collections earmarked for disposal to the others had the potential to create a race to dispose, with the last library obliged to offer to retain its materials for the other libraries.

Possible collaborators

There was a wide variety of opinions about this. Some felt strongly that any initiative should provide a national solution that will ensure that all libraries are working to national guidelines and a national framework, and the British Library would be the natural trusted partner. Those with that view indicated that a network of regional consortia would be very unsatisfactory, with too many points of

possible failure. Such a national solution could start with a core of collaborators, with others coming on board in waves. One interviewee cited the UK National Scholarly Communication Licence, as an example of such an approach. This initiative worked to get 'waves of universities' to work together to use common advocacy materials, follow a common timetable and use the centrally-provided legal advice.

Geographic location did not generally provide for natural collaboration because of lack of similarity with nearby institutions in terms of size, age, research and teaching focus. The exception perhaps are research libraries in large cities, who could envisage Russell Group libraries and other big civic multi-disciplinary libraries working together as natural collaborators.

Leadership

The British Library is seen as a natural leader in this area. Most agreed that it would be important to establish a national membership organisation as a separate legal entity. Governance along the lines of UKRR would be welcomed. This would provide strong leadership from a Board of Directors which would include a representative from the British Library. One interviewee felt it would also be important to have HEFCE or alternative government representation on the Board.

The lead players would establish funding model, proof of concept and trust, and show if it is an acceptable model. An imperative would be to ensure that the membership had a voice and were listened to.

Administration support

This was felt to be key to any collaboration, with libraries making either personnel or finance available.

B6. Governance

Most participants felt that leadership and support from national organisations such as the BL, Jisc and RLUK was very important. They also felt that a membership organisation would be a crucial element of the project so that members can meet on a regular basis to discuss strategy. Everyone needs to feel that they have a voice and can give feedback.

It was felt that the following were all critical to collaboration.

- Terms of agreement
- Service level standards
- Delivery model
- Access
- Cost
- Reliable collections data

In general, there was no issue with loss of ownership, especially if libraries could show that they had access to a greater range of collections. The only issue of concern about ownership was if an error was made and a library wished to reassert ownership of a rare or valuable book. The CASS project in Scotland agreed, but did not implement, ownership agreements to deal with such eventualities, and these could be revisited and revised.

B7. About confidence and trust

All respondents were clear that whatever model of collaboration is adopted, it is vital that participating libraries have trust in the people and institutions they are working with and the systems and governance of the scheme. This was emphasised time and time again in interviews with US consortia such as EAST and FLARE and in the UK by the White Rose consortia and the University of London.

Interviewees were asked about a range of factors that would make them (as Library Directors) and their staff feel confident about de-selection. The following responses were elicited:

Reliable date about last copies in the UK – the Jisc National Bibliographic Knowledge Base (NBK)

This was deemed to be essential and “absolutely vital” by most interviewees. It was felt to be a foundation stone of any collaborative initiative in the area of monographs. One person commented that Jisc is doing important work with the NBK and need to learn from KB+. Keep it simple and focused on discovery, access and a channel for ILL.

A given number of last copies

Unsurprisingly, most participants found this question difficult to answer and came up with a range of responses. There is a little doubt that this will be hotly debated, and it is essential that a policy decision is reached at an early stage. Interviewees felt that a minimum of three copies and a maximum of five to seven would be appropriate. The agreed *optimum number* of last copies in UKRR-M would need to be sufficient to provide assurance to libraries and their users, while balancing the cost of storage. The more copies retained, the higher the cost of storage.

A national or consortia agreement on the minimum number of copies the community pledges to retain

This was felt to be essential, and indeed a majority of interviewees felt that there should be a national agreement which could also be used by regional collaborations.

Reliable data about copies held in the deposit libraries

This question is obviously linked to the first question about the NBK. All participants said that *reliable* data was essential and others commented that the BL does not have all copies listed in its catalogue and the COPAC data can be unreliable. The NBK must do better.

Delivery from storage

- Item delivered from store within 24 hours
- Item available to lend within 24 hours

Many interviewees were not sure about the difference between the two factors above. However, most felt that having the item delivered to the requesting library within 24 hours was very important. One person thought that 24 hours would be necessary for certain types of materials but perhaps not for everything. They wondered whether it would be possible to have defined timescales for different types of material or even whether a premium and standard delivery would work. What

is important is that libraries manage expectations. Only one participant thought that 24 hours was unachievable and would be dangerous to set as an expectation. They currently offer 3-5 days delivery from off-site store.

Reliable data about, and access to, digital surrogates available from HathiTrust

Interviewees all felt that improved access to digital texts was an important way forward. One said that a UK initiative in this area should seek to join the HathiTrust, given there is a critical mass and trusted agreement. However, it was acknowledged that copyright issues are complex, and one person said that she thought the project should focus in the first instance on print and deal with e-issues separately. Another spoke about having experience in this area from chairing a Jisc project on the digitisation of medical information. It showed that mass digitisation of texts (rather than selected texts) was the only cost-effective way forward and digitisation on-demand is too expensive.

Print on demand

There was little enthusiasm for print on demand.

B8. Financial

It should be noted that many participants had already spoken about the question of funding and finance earlier in the interview.

Willingness to commit resource to collaborative management of monographs

Most interviewees recognised that any initiative would require both start-up and on-going funding and would be willing to pay (indeed a number were already paying into regional consortia for related services). Two people said that additional cost could not be supported by the library budget, one of whom said they would only be able to use financial offset i.e. they could contribute what they are already paying for space.

Measuring return on investment (RoI)

Most interviewees would be required to make a business case providing potential RoI, in order to get funding to collaborate in such an initiative. As noted above, scale would be essential in making this case, with considerable space saving as the key factor most closely aligned with their university's strategies and priorities. All interviewees agreed that it would be vital for every library to be able to clearly demonstrate RoI to their paymasters, space saving being most important, followed by saving money and staff time.

Magnitude of space saving

IPL asked interviewees what magnitude of space would make it worthwhile. For some this question fell into the "too difficult" category. However, as previously mentioned, two libraries would seek to free up the equivalent of a small campus library. Another said that his institution had recently created a learning hub with 5,000 student spaces. Freeing up space for another 250 learning spaces would be his starting point.

B9. Use of shared collections

In-balance in demand from participating libraries

IPL asked if there was a problem regarding an in-balance in ILL demand from participating libraries. For most respondents, this was not seen as a show-stopper. A number were already net providers, one of whom commented that they already make money out of ILL so they would not mind. However, they would not want to be a net lender for no financial advantage. Another commented that decision about ILL would depend on the level of use and suggested that this would need to be modelled.

Lack of physical proximity to shared collections

This question did not elicit many comments. One person said that local collaborations do not work because ILL does not scale up locally.

B10. Cultural

De-selection and academic resistance

This issue appears not be such a problem as it was a few years ago, although one person noted that there is always concern from academics about de-selection (they are ok with de-duplication). She has told faculty about de-selection but they have not broadcast it! They have not had any push-back. Another commented that the reality of space charging and the changing way that academics interact with the library (e-access) have changed the dynamics. As long as the library can set out the benefits and take the necessary steps to guarantee access, it should not be problem. Having an evidence base is important. One large research library calls their teaching collections “self-maintained collections”. One interviewee said that he had recently spoken about the issue of monographs with his library committee and they had emphasised that 24-hour delivery must be available. Digital titles would be acceptable but they would also want digitisation on demand. An interesting final comment from one interviewee related to a briefing she had had from her collection management team. They had wondered to what extent storage and delivery needed to be obvious to users. Some books would be locally stored, other collections remotely stored, but providing the user received requested books in a timely issue, the actual location should not be an issue.

Appendix C: Institutions responding to survey

C1. Survey responses

The survey was open from 30 March to 19 April 2017. The survey was promoted through the RLUK and SCONUL Library Directors' lists, and 49 institutions completed the survey. The library director usually completed the survey, but in some cases another senior member of the library management team. The full list of respondents and their Jisc Bands can be found below.

Jisc Band	Institution Name
E	Birkbeck, University of London
D	Birmingham City University
A	Cambridge University Library
F	Canterbury Christ Church University
J	Courtauld Institute of Art
E	Cranfield University
C	De Montfort University
A	Imperial College
I	Leeds College of Music
A	Leeds University Library
E	LSE
C	Middlesex University
B	Newcastle University
C	Nottingham Trent University
N/A	Royal College of Surgeons of England
E	Royal Holloway University of London
I	Royal Northern College of Music
I	Royal Welsh College of Music and Drama (RWCMD)
F	SOAS University of London
G	Scotland's Rural College
A	University College London
E	University of Bedfordshire
B	University of Bristol
G	University of Chichester
F	University of Cumbria
C	University of Dundee
D	University of East London
A	University of Edinburgh
E	University of Essex
A	University of Glasgow
C	University of Hertfordshire
D	University of Huddersfield
B	University of Liverpool
E	University of London
A	University of Manchester
B	University of Northampton

C	University of Nottingham
C	University of Plymouth
C	University of Portsmouth
C	University of Salford
B	University of Sheffield
B	University of Southampton
G	University of St Mark & St John
E	University of Stirling
D	University of Sunderland
D	University of Sussex
D	University of Warwick
D	University of West London
C	University of Westminster
C	University of Wolverhampton

C2. Issue of Space

The survey asked respondents if there is a problem with space in their library and therefore a need to de-select; 46% confirmed that this is the case, and several others reported that although they currently have sufficient space they are very close to being at full capacity.

Many respondents reported the problem of balancing the need for study space, pcs and laptops with the need to offer a breadth of titles across a given subject area.

One respondent said: “Whilst we have generally been able to retain material thought to be useful, weeding stock to free up space, maintaining only single copies in our stores, space (for study space and storage) is at a premium. Ability to resolve concerns around lack of study space provision and/or maintain the growth rate in our collections is becoming increasingly difficult and we will need to change our approach soon – in the first instance retaining less material.” In another case, de-selection is no longer sufficient: “I stopped de-selecting four years ago and now am sending items to off-site storage.”

C3. About collaboration to address the problem of space in your library

On a sliding scale (0-100) respondents were asked to rate collaborative collection management of monographs as a way help to address the problem of space in their library. The average rating was 59.

Respondents were asked which areas of collaboration they had the most interest in. Only three respondents are not interested in collaboration. The areas of collaborations which have the most interest are:

Bibliographic data to inform retention and de-selection decisions	85.11%
	40 respondents
Shared storage	59.57%
	28 respondents
Shared collections	55.32%

The question “Who would you see as natural collaborators?” provided for a mixed response:

All UK academic libraries through a national UK wide scheme	42.22%
	19 respondents
Other libraries of similar academic/teaching focus	15.56%
	7 respondents
Other libraries within your geographic location	33.33%
	15 respondents

One respondent said, “We would not be averse to sharing with all UK academic libraries through a national UK-wide scheme or with independent/national libraries.” Another felt that although geographic location felt more natural, a solution should be more ambitious and at national level. Several respondents indicated that shared storage might work better at regional level.

Twenty RLUK members responded to the survey, and this group showed a strong preference (80%) for a collaboration of all UK academic libraries through a national UK-wide scheme.

C4. About bibliographic data

The survey asked respondents if they were aware of the National Bibliographic Knowledgebase (NBK), and 41 confirmed that they know about it; 26 of these respondents believe that NBK will help libraries in the UK to collaborate more effectively. Sixteen respondents use COPAC Collection Management (CCM) Tools. Others reported that they are not using CCM Tools because their collections are not listed in COPAC. One respondent reported using OCLC’s GreenGlass®. Nine respondents told us that they do not currently use any tools or carry out collection analysis, although many expressed interest in doing so.

C5. About Storage

A range of storage options is already being used by 24 of the respondents as follows:

Separate on-site storage	58.62%
	17 respondents
Individual off-site storage (just used by your institution)	44.83%
	13 respondents
Shared off-site storage	13.79%
	4 respondents
Commercial off-site storage	10.34%
	3 respondents

The survey asked if there would interest in in using an off-site shared storage solution, and 35 respondents indicated interest, with preferences as follows:

Shared storage – non-commercial (e.g. sharing an academic owned off-site location with other libraries)	91.89%
	34 respondents

Shared storage – sharing academic-leased off-site storage provided by a commercial company meeting recognised curatorial and environmental standards	45.95% 17 respondents
Shared storage if the British Library could provide it.	75.68% 28 respondents

Several respondents indicated that any shared storage options would be assessed on merit, speed of delivery and cost. One respondent pointed out: “Shared storage needs to have a robust and reliable service delivery model to support it, otherwise it is in danger of just being a dumping ground for low-use materials across libraries rather than being the nexus of a shared service.”

Views varied about the importance of location for a shared storage solution:

Very, storage must be local, within 25 miles	34.15% 14 respondents
Reasonably important, storage must be within 200 miles	39.02% 16 respondents
Not very important, storage could be anywhere in the UK	26.83% 11 respondents

Delivery time is an important consideration, all respondents indicating that 24 hours is acceptable. However, 87.18% would find 48 hours acceptable and 31.71% would find 72 hours acceptable, if the price was differentiated and affordable.

C6. About shared collections

On a sliding scale (0-100) respondents were asked to rate interest in sharing monograph collections. The average rating interest rate was 62.

In the free text field, respondents pointed out that there are many questions around this approach which would need to be explored before they committed, but there is a willingness for options be investigated. There was generally less interest in shared collections from institutions more focused on teaching, but if a national, cost-effective model can be found, other institutions would be interested:

“If we are to take the concept of a shared national collection seriously, it needs to be at the above institutional level. We recognise that for some institutions this is a highly political issue but believe that it is in the interest of the sector to achieve this.”

“As others are, we are increasingly moving to a model of “just in time” and are prepared to use ILL and on demand purchase rather than carrying large stock. If a more cost-effective model can be collaboratively created then it would be of interest.”

“Yes, if shared collections mean surrendering ownership to a “national collection”, as probably the most efficient model for the longer term. No, if it means certain institutions specialising in collecting - funding hard to leverage; local circumstances will force impermanence.”

Respondents were asked what type of arrangements they are interested in for shared collections. The greatest interest is in sharing a national level with the involvement of the British Library:

I am interested in sharing at a national level with the involvement of the British Library	73.33% 33 respondents
I am interested in national sharing with regional hubs	68.89% 31 respondents
I am interested in sharing at a regional level	64.44% 29 respondents
I am interested in sharing through a national distributed model with no central organisation	31.11% 14 respondents
I am interested in sharing with a small group of libraries with a similar academic/teaching focus	33.33% 15 respondents
I am interested in cooperative subject specialisation to build distributed distinctive collections at regional, national or international levels	42.22% 19 respondents

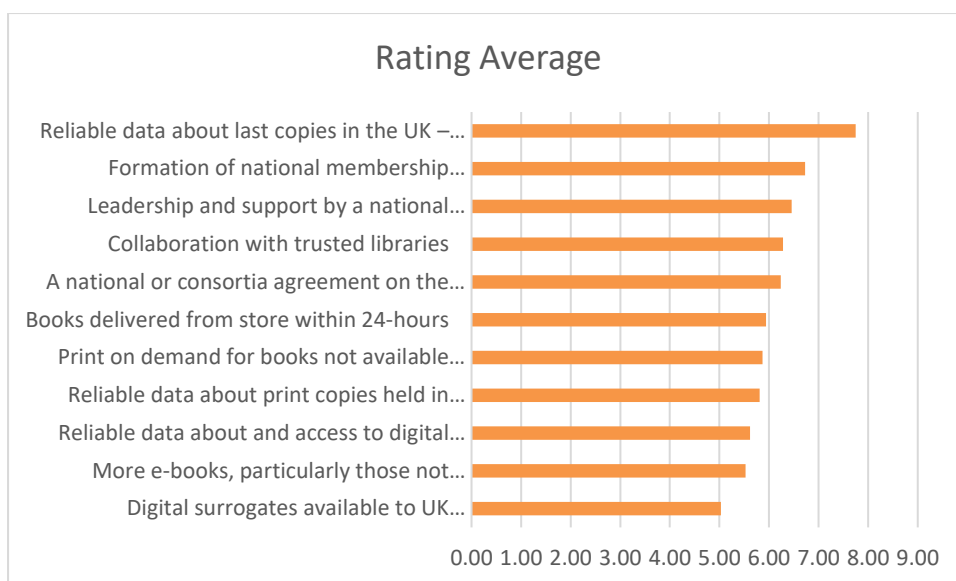
Most have collections that they would not want to share and these include high-use teaching material, manuscripts, archives and special collections. Most libraries would not welcome de-selected titles from other libraries which might augment those collections. Generally, most respondents said that there are not collections they would particularly like to de-select, if confident another library and/or the BL held a minimum number of copies.

Respondents were asked if country of publication impacts on de-selection and retention decisions, and for 76.74% this is not an important criterion. The date of publication is more important and is a criterion for 65.12% of those that answered the question.

C7. About confidence and trust

Respondents rated the following list of requirements for making confident decisions about de-selection. Reliable data about last copies in the UK – the National Bibliographic Knowledgebase was scored most highly, followed by the formation of a national membership organisation to lead and support in this area. However, digital surrogates and more e-books rank less highly as important requirements.

The chart below provides score for each requirement.



Respondents also noted that a trusted long-term strategy with financial commitment will be essential. One said that a scheme would need to be trusted and efficient, as has been the case with UKRR; it is important to be linked to the national library and associated brand. Guidelines and governance are important requirements, including an undertaking by all participating libraries that they would carry out the necessary checking before de-selecting materials, that their catalogue records accurately reflect materials they are retaining, and that these copies are secure.

Respondents emphasised the need for the National Bibliographic Knowledgebase to be accurate and up to date: “Getting buy-in from the academic community is important to us. We want to be confident that de-selected materials are discoverable and deliverable”.

C8. About measuring success and commitment

Eight of the respondents said that they would be able to commit resource (financial and personnel) to collaborative management of monographs now, and 16 respondents said that they could commit to a limited extent.

Five respondents cannot commit now and others require more information to answer the question. While institutions recognised that this would be a long-term project, a five-year commitment with options to renew was thought to be most reasonable. A number said that it would be difficult to get funding for longer.

Return on Investment would be measured by space saving by 34 respondents and money saving by 25 respondents. Other measures respondents would use to measure RoI include:

- More effective collection management and sharing of monographs that are not easily accessible. Potential collaborative projects around digitisation e.g. UKMHL
- Cultural change within the HE environment, facilitating greater efficiency in delivering teaching and research
- Enhancing access to collections and re-purposing space - being part of a national trusted scheme
- User satisfaction, discovery, and ease of access to materials

Respondents were asked about the magnitude of space saving that would make it worthwhile. As expected, there was a wide variation ranging from “Currently we have nothing, so an option could make all the difference” to “significant, e.g. an entire floor or more of a substantial building”. Some respondents could provide specific linear requirements ranging from 2km to 20km.

In a free text field, we asked participants for any other comments and received 17 responses. There were no particularly common themes, but some points of note are as follows:

- We have a policy of prioritising electronic resources so providing digital access to monographs through such a service would be important to us.
- My perspective is that the academic community is increasingly more willing to consider it and I would be interested in broaching it whereas I wouldn't have dared ten years ago.
- 24-hour delivery would make a huge difference to our ability to 'sell' this approach within the institution, which is likely to be nervous about a change in our content strategy overall. Reliable and sustainable partnerships will be critical.
- We're interested, we're flexible, but believe the devil is in the detail, so detailed exploration is required. This should include discussion and agreement to ensure ongoing access to low use items. In addition, equity in retention of copies of last resort is becoming an issue for us. As are administrative delays which require holding space, and the user friendliness of the management software. Another thought is around scanning and electronic delivery.
- There is the possibility of collaborative collection management programmes across the federal University of London. These discussions need to link to shared monograph storage initiatives and the NBK.
- We would be concerned regarding the current political situation, particularly the prospect of Scottish independence. We would hope that any consultation/steering group would be jointly led by the relevant national libraries. There may need to be separate policies for the devolved nations.

The survey asked respondents if they would be interested in a pilot and 15 answered positively. A further 20 others said possibly.

Appendix D: Survey questionnaire

Online Survey Questions

1. Please tell us the name of your institution
2. Is there a problem with space in your library and therefore a need to de-select?

Drop down: Yes/No

Please tell us more:

Page 2: About collaboration to address the problem of space in your library

3. On the scale below, please indicate if you think collaborative collection management of monographs would help to address the problem of space in your library

I don't think collaboration would help	Not sure	I think collaboration is essential
(0)		(10)

This is a sliding scale 0-10

4. Which areas of collaboration are you are most interested in (*you may choose more than one area*)
 - Bibliographic data to inform retention and de-selection decisions
 - Shared storage
 - Shared collections
 - Not interested in collaboration
5. Who would you see as natural collaborators?
 - All UK academic libraries through a national UK-wide scheme
 - Other libraries of similar academic/teaching focus
 - Other libraries within your geographic location
 - Other

If other, please tell us more:

Page 3: About bibliographic data

Do you believe that Jisc's National Bibliographic Knowledgebase will help libraries in the UK to collaborate more effectively?

Drop down: Yes/No

6. Do you have preferred tools for analysis and benchmarking your own collections and/or overlap with collections in other libraries?

Copac Collection Management Tools
 OCLC's GreenGlass®
 Other
 Please tell us more:

Page 4: About Storage

7. Does your library have separate on-site storage anywhere on your campus?

Drop down: Yes/No

8. Would you be interested in using an off-site shared storage solution?

Yes/No

9. Which of the following possible shared solutions would be of interest to you? *You may select more than one of the possible solutions.*

- Shared storage – non-commercial (e.g. sharing an academic owned off-site location with other libraries)?
- Shared storage – sharing academic leased off-site provided by a commercial company meeting recognised curatorial and environmental standards?
- Shared storage if the British Library could provide it.

Please tell us more

10. How important is geographic location when considering using a shared storage site?

Very, storage must be local, within 25 miles	Reasonably important, storage must be within 200 miles	Not very important, storage could be anywhere in the UK
(0)		(10)

[This is a sliding scale 0-10](#)

Page 5: About shared collections of monographs

12: On a sliding scale how interested are you in sharing monographs collections

I am not interested	Not sure	I am interested
(0)		(10)

Please tell us more:

13. What type of arrangements for shared collections of monographs are you interested in? (*You may select more than one*).

- I am interested in sharing at a national level with the involvement of the British Library

- I am interested in sharing at a national level with the involvement of another central organisation
- I am interested in sharing at a regional level
- I am interested in sharing with a small group of libraries with a similar academic/teaching focus
- I am interested in cooperative subject specialisation to build distributed distinctive collections at regional, national or international levels.
Please tell us more:

There is bound to be an imbalance in ILL demand from participating libraries. Do you see this as a problem?

Drop down: Yes/No

14. Are there collections that are a distinctive part of your library, which you would not want to share?

15. Would you welcome de-selected titles from other libraries which might augment those collections?

1. Are there collections you would particularly like to de-select, if you were confident another library and/or the BL held copies?
2. Would the country of publication impact on de-selection and retention decisions?

Page 6: About confidence and trust

3. Please rank from the following list your requirements for making confident decisions about deselection.

	0-11 not important to very important
Reliable data about last copies in the UK – National bibliographic knowledgebase	
A national or consortia agreement on the minimum number of copies the community pledges to retain	
Reliable data about print copies held in the deposit libraries	
Books delivered from store within 24 hours	
Collaboration with trusted libraries	
Reliable data about and access to digital surrogates	

Digital surrogates available from Hathi Trust	
More e-books, particularly those not currently available in e-format to UK libraries	
Print on demand for books not available to libraries in e-format	
Leadership and support by a national organisation e.g. British Library	
Formation of national membership organisation	

Please tell us more:

Page 7: About measuring success and commitment

4. Would you be willing/able to commit resource (financial and personnel) to collaborative management of monographs?

Yes

No

To a limited extent

Please tell us more:

5. If so, what would be a reasonable period of commitment?

5 years

10 years

15 years

Please tell us more:

21. How would you measure the return on this investment? *You may select more than one.*

Space saving

Money saving

Access to larger collections for your users

22. What magnitude of space saving would make it worthwhile?

Please tell us more:

Is there anything else that you would like to tell us about the collaboration collection management of monographs and priorities for your library?

If you would like to be updated on the results of this survey, please leave your contact details:

Name:

Email address:

Appendix E: Potential Timeline

Task	Action By	Year 1				Year 2				Year 3				Year 4	
		Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2	Q3	Q4	Q1	Q2
Submit bid to potential funders for start-up funding	NMSG	■													
Negotiations with funders	NMSG		■	■											
Prepare framework for governance of project	NMSG			■											
Discussions with BL & others re. storage availability	UKRR-M SG				■										
Identify Start-up Phase institutions & create guidelines for identification of material	UKRR-M SG				■										
Work with institutions to identify appropriate material	UKRR-M SG/ Institutions				■										
Calculate storage required by each start-up institution	UKRR-M SG				■										
Calculate costs for storage for each institution	UKRR-M SG					■									
Provide metadata for material to be stored	Institutions/ COPAC/NBK						■								
NBK metadata data input for start-up institutions	NBK							■							
Compare overlap of stored material	UKRR-M SG Admin								■		■		■		
Assess usage of stored material	UKRR-M SG Admin									■		■		■	
Assess costs of de-duplication of stored material	UKRR-M SG Admin										■				
Compare de-duplication costs with storage costs	UKRR-M SG Admin										■				

Dispose of low-use duplicate material	UKRR-M SG Admin																
Identify additional institutions for involvement	UKRR-M SG																

References

¹https://www.sconul.ac.uk/sites/default/files/documents/Analysis%20_Loans%20ebooks%20visits%20June%202015.pdf

² Unpublished study, results available on request.

³ <https://monographs.jiscinvolve.org/wp/2017/01/18/digital-access-solutions-report>

⁴ Carlock, D. & Perry, A. (2008). "Exploring Faculty Experiences with E-Books: A Focus Group". *Library hi tech*, vol. 26, no. 2, pp. 244–254.

⁵ . <http://oopen-uk.jiscebooks.org/research-findings/researcher-survey-2014/> [Accessed 12 May 2017]

⁶ Myrberg, C. & Wiberg, N., (2015). Screen vs. paper: what is the difference for reading and learning? *Insights*. 28(2), pp.49–54. DOI:<http://doi.org/10.1629/uksg.236>

⁷ https://wellcome.ac.uk/sites/default/files/Guide-to-open-access-monograph-publishing-for-researchers-final_0.pdf [Accessed 12 May 2017]

⁸ Wolff-Eisenberg, C., Rod, A. B., & Schonfeld, R. C. (2016, April 4). Ithaka S+R US Faculty Survey 2015. <https://doi.org/10.18665/sr.277685>

⁹ <http://blog.ccm.copac.jisc.ac.uk/wp-content/uploads/sites/13/2012/03/In-Safe-Hands-the-challenges-for-RLUK-to-make-preservation-a-collaborative-work.pdf>

¹⁰ Malpas, C. Cloud-sourcing research collections: managing print in the mass-digitized library environment OCLC (2011)
<http://www.oclc.org/content/dam/research/publications/library/2011/2011-01.pdf>

¹¹ <http://www.varastokirjasto.fi/aims-and-functions>

¹² https://www.facebook.com/pg/mcls.org/about/?ref=page_internal

¹³ Ritter, Grant, Validation sample studies and further analysis, EAST, 2016 -
https://eastlibraries.org/sites/default/files/BLC_Uploads/2_Ritter_VSS_furtherAnalyses_EASTMM2016.pdf

¹⁴ Revitt, M., EAST policies and procedures, EAST, 2016 -
https://eastlibraries.org/sites/default/files/BLC_Uploads/5_EASTOperatingPolicies_Procedures_EASTMM2016.pdf

¹⁵ Fischer, R., Huddy, L. and Revitt, M., Collection analysis and retention commitments, EAST, 2016 -
https://eastlibraries.org/sites/default/files/BLC_Uploads/3_MR%20EASTCollectionAnalysis_MM2016.pdf

¹⁶ Amato, S., Fairall, J. & Frawley, J., Recording EAST retentions, EAST, 2016 -
https://eastlibraries.org/sites/default/files/BLC_Uploads/EASTReallocationProcess-May2017.pdf

- ¹⁷ Fulton, T.L. & Carr, P., Governance and leadership of EAST, EAST, 2016 - https://eastlibraries.org/sites/default/files/BLC_Uploads/6_Governance%20and%20leadership%20of%20EAST_EASTMM2016.pdf
- ¹⁸ Bridegam, W.E., A collaborative approach to collection storage: the Five-College Library Depository, CLIR, June 2001. <https://eric.ed.gov/?id=ED454881>
- ¹⁹https://espace.curtin.edu.au/bitstream/handle/20.500.11937/45472/199097_199097.pdf
- ²⁰http://www.caval.edu.au/assets/files/Preservation_Storage/CARM_Collection_and_Services_Policy_Manual_Mar2007.pdf
- ²¹ <https://mellon.org/grants/grants-database/grants/new-york-public-library/31500649/>
- ²² <https://mellon.org/grants/grants-database/grants/five-colleges-incorporated/21300107/>
- ²³ <https://mellon.org/grants/grants-database/grants/bryn-mawr-college/20100648/>
- ²⁴ <https://mellon.org/grants/grants-database/grants/university-college-dublin-national-university-of-ireland/31100133/>
- ²⁵ http://www.davisfoundations.org/def/grant-history?aiv%5Bgrants.Organization_Name%5D=&aiv%5Bgrants.Type_Of_Support%5D=Collaboration%2FConsortium&aiv%5Bgrants.Grant_Year%5D=&tt=grants
- ²⁶ <https://recap.princeton.edu/sites/default/files/inline-files/ReCAPD2DReport-AppendixF-G.pdf>
- ²⁷ <http://scurl.ac.uk/wp-content/uploads/2014/04/SCURLCASSFinalReportDec2009ForSCURLWebsite.pdf>
- ²⁸ <https://eastlibraries.org/process>
- ²⁹http://www.caval.edu.au/assets/files/Preservation_Storage/CARM_Collection_and_Services_Policy_Manual_Mar2007.pdf
- ³⁰ The Story of a Shared Last Copy Repository in Australia: The CARM Centre Stage 2 Development https://www.researchgate.net/publication/254360309_The_Story_of_a_Shared_Last_Copy_Repository_in_Australia_The_CARM_Centre_Stage_2_Development
- ³¹ <https://www.fivecolleges.edu/libraries/regionalproject>
- ³² Vattulainen, Pentti, Maintaining Access to print Materials – a Finnish Model", 2004 <https://www.liberquarterly.eu/articles/10.18352/lq.7828/galley/7987/download/>
- ³³ <https://www.fivecolleges.edu/libraries/depository/policies>
- ³⁴ <https://cms.uflib.ufl.edu/Portals/flare/MOU-Interim-FLARE.Final%2004302013.pdf>
- ³⁵ <https://recap.princeton.edu/sites/default/files/inline-files/ReCAPD2DReport-AppendixF-G.pdf>
- ³⁶ Reilly, B.F. & DesRosiers, B., Center for Research Libraries. 2003. Developing Print Repositories: Models for Shared Preservation and Access. (CLIR Publication 117)

³⁷ <http://www.oclc.org/content/dam/research/publications/library/2009/2009-03.pdf>

³⁸ On UCSC's outrageous mass destruction of books -
<http://www.mercurynews.com/2016/12/24/montgomery-on-ucscs-outrageous-mass-destruction-of-books/>