

**SCELC Shared Print Feasibility Study
Report to SCELC Board
February 10-11, 2014**

Goals of Feasibility Study

In the last few years, librarians from the SCELC Board and individual member libraries have become involved in regional and national discussions on the future of print materials in library collections. The SCELC Executive Director and some members participated in meetings with other regional consortia in the creation of WEST and other efforts focused on monographs. These activities have positioned SCELC members in the center of developments regarding shared print programs.

SCELC's strategic plan adopted in 2012 (<http://sclc.org/strategic-plan>) calls for the consortium "to make concerted efforts to develop shared print programs that provide for preservation of a reasonable number of copies within defined networks, as well as mechanisms for identifying unique copies, prevalent copies, and processes to share books among member libraries." In the spring of 2013, John McDonald (Claremont, now USC) and others drew up a prospectus for a shared print feasibility study (FS) that included the following set of goals:

- Understand SCELC members' plans and readiness to participate in a shared print agreement, including interest in potential partnerships with other systems
- Study the composition and use of SCELC member print collections
- Develop proposals for addressing long-term sustainability of a program, including business models to fund administrative and operational costs and the framework for such official program documents as MOUs, SLAs, or other legal agreements
- Identify corollary studies that may be performed to support the potential SCELC Shared Print Program. Specific suggestions that were developed during later discussions include:
 - Understand user behaviors with respect to print and electronic books
 - Analyze costs of performing condition surveys for circulating materials

Planning Steps

Between June and October 2013, SCELC initiated several planning steps:

- The SCELC Board approved the prospectus in principle (June 2013)
- The Resource Sharing Committee established a working group to develop the prospectus into a formal proposal and timeline for final Board approval (August 2013). The working group (WG) is chaired by Bob Kieft (Occidental College) and consists of Mike Garabedian (Whittier College), Craig Hawbaker (University of the Pacific), and Laura Turner (University of San Diego), with advice from Rick Burke,

Jason Price, Karen Schneider, and John McDonald participating ex officio.

- The WG and SCELCL staff developed a two-phase approach to the proposed feasibility study that was approved by the SCELCL Board (October 2013). In Phase 1 (October 2013 – February 2014), the WG with the advice of consultant Lizanne Payne would finalize the components and timetable of the study, conduct the member survey, and prepare recommendations for Phase 2 planning.

The other tasks of the working group have been to prepare and review an environmental scan of current shared print programs (see Attachment 1), clarify requirements and options for collection analysis that may need to be performed during phase two, define possible roles of and timing for outside funding (e.g. projects or studies needed), and recommend tasks needing further consulting or vendor assistance. This report and accompanying documentation concludes Phase 1 of the project and provides an analysis of the survey results and recommendations for Board action based on the work of the WG.

Survey

A significant goal of Phase 1 was to gather information from SCELCL members and other libraries in the region to identify their readiness and goals for a shared print program. In fall 2013, the WG developed a survey instrument that was tested by SCELCL Board members. The final survey was distributed to SCELCL members on January 6 with responses requested by January 17. Bob Kieft also secured participation by libraries of the University of California system and the California State University system, coordinated by Emily Stambaugh (California Digital Library) and Mark Stover (California State University, Northridge) respectively, and Stanford University.

The survey was designed to gather information about 1) library identification and demographics, 2) library print collection size and plans, 3) consortium and shared print planning, and 4) shared print goals. See Attachment 2 for a list of the survey questions.

Summary of responses

A total of 90 responses were received from 82 separate institutions (multiple/duplicate responses were consolidated, errors removed) with the following primary consortial affiliations:

- 56 SCELCL members
- 15 CSU libraries
- 7 University of California libraries plus California Digital Library and 2 Regional Library Facilities (10 UC responses)
- 1 non-affiliated library (Stanford)

Major findings from SCELCL members are as follows:

- Importance of SCELCL shared print program: 38 SCELCL libraries (out of 56, 68% of responses) said that a shared print program in SCELCL was either Very Important (13) or Somewhat Important (25). It can probably be assumed that libraries that did not respond to the survey at all did not believe shared print was important to most of them.
- Collaboration with UC: 37 SCELCL libraries (66%) responded that a shared print program in collaboration with UC libraries would be Very Important (10) or Somewhat Important (27).
- Collaboration with CSU: 36 SCELCL libraries (64%) responded that a shared print program in collaboration with CSU libraries would be Very Important (7) or Somewhat Important (29).
- Goal to Reclaim Space or Preserve the Scholarly Record: 33 SCELCL libraries (59%) responded that Reclaim Space was their top priority (combined across “for newer materials” and “for other needs”)
- Focus on Rarely-held or Widely-held Monographs: 36 SCELCL libraries (64%) responded that a focus on “either or both” rarely-held or widely-held monographs would be most likely to attract participation by their institutions, i.e no clear preference at this stage
- Importance of prospective collection development: 44 SCELCL libraries (79%) reported this would be Very Important (15) or Somewhat Important (29)
- Willingness to hold collections: 40 SCELCL libraries (71%) said they potentially would be willing to retain monographs at their library as part of a shared print program
- Factors playing the biggest role in willingness to participate: 39% of SCELCL respondents ranked “contents of the shared collection” as #1 most important, followed by 23% of SCELCL respondents who ranked “types and speed of access/delivery” as #1 most important.

Recommendations

Based on survey results and on the other aspects of their work, the WG recommends a set of activities and timetable for Phase 2 (with associated resource projections). Assuming Board approval, Phase 2 would run from February to November 2014.

Proposed activities and timetable 2014

The WG recommends two primary activities in Phase 2:

- Perform initial collection analysis
- Develop a framework for a shared print program, including policies, services, business model, and governance
- Explore with potential partners the establishment of corollary studies

Collection analysis. Collection analysis is expected to be a useful and necessary step in

defining a SCELCL shared print program. Identifying clusters of interested libraries and performing the analysis sequentially for different groups would be a reasonable and perhaps more affordable approach. Successful completion of initial group analysis could persuade other libraries to participate in later phases. See Attachment 3 for more details about the proposed collection analysis methodology.

Collection analysis steps:

- Identify initial participants (March 2014). Based on the survey results and related conversations with members, the WG has identified several libraries as likely participants in the initial pilot collection analysis. Through discussions with these and potentially other libraries, the WG will identify 8 to 10 libraries willing to participate in the pilot collection analysis project (i.e. providing data and financial contribution).
- Issue RFI to gather information about the cost and processes required to analyze collections for these pilot libraries (April 2014). See Attachment 4 for an outline of the planned RFI.
- Select a collection analysis provider and finalize cost and schedule (May 2014).
- Conduct the initial collection analysis (summer 2014). This analysis would provide information to identify the initial set of materials to be incorporated into the shared collection and propose holders from the original cohort to retain materials.

Shared print program framework. During Phase 2, the WG would work with the initial project libraries and the Resource-Sharing Committee to develop frameworks and alternative scenarios for operations, policies, governance, and long-term sustainability of a shared print program. These frameworks would serve as the basis for a future MOU among participants. This is the key activity of the Feasibility Study and would occupy most of the 2014 time period (March – October 2014).

Specific activities include:

- Define the operating model (s): how the shared print program would work, what services would be provided, and what commitments would be made. Attributes to be defined include selection and content, collection locations, validation (condition review), access/delivery services offered, discoverability, support for collection management.
- Define the business and governance model (s): how the shared print program is administered and funded after Phase 2. Attributes to be defined include costs of operation to be covered, cost-sharing, terms of agreement, ongoing governance and mechanism for changes to the policies and agreements.
- Develop a framework for a shared print program incorporating policies, services, terms and conditions.

See Attachment 5 for more details about operating and business models.

Proposed resources and costs

The WG and SCEL staff project the following costs for the proposed Phase 2 activities (March – October 2014):

- Planning Consultant (Lizanne Payne or other): ~ \$20,000 [placeholder for discussion]
 - Draft RFI, analyze responses (WG makes final choice)
 - Oversee and advise on development of operational and business models
 - Develop policy framework
- Pilot collection analysis: ~\$30,000 for 8 libraries

SCEL staff proposes the following approach to funding Phase 2:

- Pilot libraries contribute funds to support collection analysis: ~\$2,000 for 8 libraries = ~\$16,000
- SCEL contributes funds from budget: ~\$34,000
- Define requirements for participation including ability to provide data

Requested Board action

- Approve proposed Phase 2 activities and timetable
- Approve use of SCEL funds and request for funds from pilot libraries

Attachments [not actually attached here]

1. Making the case and environmental scan
2. SCEL Shared Print Survey Questions and Analysis
3. Proposed Collection Analysis Methodology
4. Outline of proposed RFI for collection analysis
5. Outline of future operating and business models