

**Committee on Institutional Cooperation
Center for Library Initiatives**

**Shared Print Repository Program Evaluation
May 2015**

Program Review Committee

Carol Pitts Diedrichs, The Ohio State University

Lesley Moyo, University of Wisconsin–Madison

Rebecca Crist, Committee on Institutional Cooperation

Sherri Michaels, Indiana University

Tom Teper, University of Illinois at Urbana-Champaign

CIC Shared Print Repository Program Evaluation

May 2015

Introduction

The CIC universities collectively hold one of the largest combined library collections in the world, encompassing more than 113 million volumes. Maintaining and promoting this distinctive collection of scholarly resources is of paramount importance to our campuses. These remarkable collections, however, occupy significant physical space in prime campus real estate, are costly to organize and preserve, and are seeing decreasing use as scholars and students more frequently turn to digital resources—including digital surrogates for the same print volumes held on library shelves. Initiated among a growing national conversation about maximizing efficient use of library spaces and collections, the CIC Shared Print Repository is intended to reduce unnecessary replication of print journal volumes across CIC library collections, while ensuring continued access to bound print journals for all CIC library users. This deduplication is meant to enable participant libraries to re-allocate shelf space to more frequently used volumes, or to open library shelving spaces to other uses, while still maintaining the preeminence of the CIC's legacy print collections.

CIC programs are regularly evaluated in order to gauge program effectiveness, measure progress and impact, and provide opportunities for adjustment and improvement. The terms of the Shared Print Repository MOU designated that this program evaluation would be conducted in 2015, the fourth year of the project.

History of the Program

After three years of preliminary research and planning, including scoping work with consultants Rick Lugg, Ruth Fischer, and Lizanne Payne, the library directors from ten CIC member universities agreed in July 2011 to fund a shared collection of print journal backfile volumes to be held at Indiana University. In the fall of 2011, those ten schools signed a memorandum of understanding, launching the five-year development phase of the repository. Three additional schools joined the program in subsequent years.

In 2012, working groups created to advise the shared print program drafted technical services practices, resource-sharing policies, and guidelines for collection development. Elsevier titles with widespread electronic access were selected as an initial ingest set, and Indiana University began designating titles from its collection to launch the CIC Shared Print Repository. A project manager was hired by the CIC in February 2013; the first transfer of content from a supplying institution (OSU) to the repository followed that summer. Shared holdings were first made available for loan through OCLC in July 2013, making the CIC Shared Print Repository a fully functioning shared group collection.

Program Goals and Objectives

The Shared Print Repository is intended to serve the following goals, as written in the Memorandum of Understanding:

1. Aggregate, secure, and preserve the rich print resources stewarded by CIC libraries over the past two centuries;
2. Ensure that CIC scholars and students have timely access to these archived resources;
3. Realize the economies of scale made possible through collective action that will allow CIC libraries to apply best practices for storing, preserving, servicing, and reflecting print holdings well into the future;
4. Help CIC campuses reclaim local resources, including space, funds, and staff time by relieving them of the obligation to store lesser-used redundant materials; and
5. Integrate CIC libraries into an emerging national network of collectively managed research library resources.

Governance and Committee Structure

The CIC SPR is overseen by a Governing Board made up of the directors of participating libraries and the director of the CLI. This Board appoints a Steering Committee consisting of three library directors (one being the director from the host storage site) and the chairs of various working groups. The SPR working groups were drawn from librarians in appropriate units at the participating libraries. These working groups, as described below, were tasked with formalizing the operations of the SPR:

The Working Group for Technical Services met regularly through 2011 to promulgate the specifications that would be necessary for standardizing and integrating records from multiple libraries. The group developed guidelines for preserving retention commitments and preservation actions using the 583 field in library holdings records, and ensured compatibility with the OCLC Group Access Capabilities.

The Working Group for Collection Services (ongoing) considers content for ingest, and recommended starting with the title lists from major science publishers, in particular Elsevier, Springer, and Wiley. The group turned to some of the more prolific academic societies' publications, and began evaluating physical collections for other voluminous, space-consuming journals.

The Working Group for Access and User Services (2011-2013) was tasked with developing guidelines for accessing CIC SPR print journal holdings, including terms and conditions for loans of physical volumes or scanned images; business models for extending access beyond CIC universities; and policies that address lost or damaged volumes.

All recommendations of these several working groups were passed to the Steering Committee and ultimately the Library Directors for review and approval before adoption as policies or working protocols.

This governance structure has fulfilled its purpose in developing policies and priorities to guide the project's five-year development phase. Future directions of the project will likely require a restructuring of the committees and working groups to meet desired objectives.

Member Participation

The following universities are member participants of the CIC's Shared Print Repository:

University of Illinois
Indiana University
University of Iowa
University of Maryland (joined 2013)
University of Michigan
Michigan State University
University of Minnesota
University of Nebraska–Lincoln (joined 2014)
Ohio State University
Pennsylvania State University
Purdue University
Rutgers University (joined 2013)
University of Wisconsin–Madison

Current Status and Near Term Plans

Content

As of this writing (April 2015), 102,158 print volumes of Elsevier, Wiley, and Springer journals have been designated as collectively owned CIC- SPR content, with another 1,100 volumes expected to ship in May 2015. In total, five schools have contributed volumes (Indiana, Ohio State, Michigan, Wisconsin, and Maryland), and two more (Illinois, Iowa) are actively working to supply designated content. All thirteen participating schools have supplied holdings records for analysis.

With the help of the Center for Research Library's PAPR (Print Archive and Preservation Registry) tool, it is possible to compare CIC institutional holdings and to identify holding libraries for needed content. Based on a recent analysis of Elsevier, Wiley, and Springer holdings and gaps, the University of Illinois has been asked to review a list of 44,000 potential candidate volumes and Iowa was tasked with reviewing some 15,000 potential volume contributions not available at Illinois. In addition, Indiana is reviewing a list of titles published by eight large society publishers, and has begun re-assigning the volumes held in their storage facility to the SPR's OCLC code. Specifically, the societies being added are the American Chemical Society, the American Geophysical Union, the American Institute of Physics, the American Physical Society, the Institute of Physics, the Association for Computing Machinery, the Institute of Electronics and Electronics Engineers, and the Royal Chemical Society. Indiana will also move volumes located in their other campus library facilities to this collection, adding some 3,000 additional volumes from these societies in the coming months.

Collection Use and Management

Formal policies developed by the Working Groups are in place for circulating SPR content and managing records. CIC SPR materials are available through WorldCat for circulation to a limited list of approved libraries. Circulation requests have been minimal to this point and are being fulfilled as necessary by Indiana University staff.

Options for streamlining collections analysis have been explored, and, in addition to work performed for the CIC by Indiana University Library staff, analytical information has been provided by CRL/PAPR to

facilitate the comparison of group holdings. Indiana continues to coordinate updating records, submit CIC SPR holdings to OCLC, and provide updated information regarding current CIC SPR holdings.

Communications

The CIC webpage (cic.net) hosts public project information, and is updated with links to the semi-annual status reports, lists of titles fully ingested, and the repository's policies. Each participating campus also has a designated contact with access to the CICme intranet site, where current holdings and gaps lists, title lists, and other project information is stored. Semi-annual updates are provided in conjunction with the ALA meetings, where live open meetings for interested participants have also been convened. These updates are also sent out to CIC library directors and collections officers. An email list dedicated to SPR information was introduced in 2014. Open to all interested CIC librarians, this list currently distributes routine updates to more than 100 email addresses. National updates are collected twice annually through the Print Archive Network, which makes archived updates publicly available on the CRL site.

Programmatic Outcomes

Campuses have begun considering the SPR's holdings as they make collection decisions. Although statistical information has not been kept regarding these practices, we are aware that campuses have used the list of items secured in the repository as a factor to consider in local management of their print collections. A list of completely secured SPR titles is available for schools to consult as they evaluate their collections, and approximately 3,000 volumes of material intended for withdrawal have been offered to the SPR to fill gaps in holdings.

Investment, Expenses, and Savings

The initial projection of expenses for the five-year development phase projected the cost to secure 250,000 volumes over five years at \$1,100,000. To this end, each partnering school has contributed \$25,000 per year for the five-year collection-building phase of the project. If the original cost estimates hold, library contributions (including the contributions of three participating libraries that joined once the project was underway) will exceed costs by approximately \$500,000, giving the directors several options for how that surplus could be applied.

An overview of actual expenditures is provided below. Primary costs for the project include the labor required to analyze, validate, relocate, and re-inventory the volumes; the operations and materials costs of shipping; host site fees; the project manager's salary and benefits; and the purchase of digital surrogates to ensure local access to ingested materials.

Table 1. Statement of the Shared Print Repository Account: May, 2015

(see following page)

CIC-SPR BUDGET HISTORY AND PROJECTIONS

ACTUAL					PROJECTED					ACTUAL AND PROJECTED
Project Revenues	FY12	FY13	FY14	FY15	FY16 ¹	FY17 ²	FY18 ³	FY19	FY18	FY 2018 TOTAL
Carryover balance from previous archiving project	\$56,474									\$56,474
CIC-SPR Partner Contributions	\$250,000	\$250,000	\$325,000	\$400,000	\$325,000	\$57,500	\$57,500	\$57,500	\$32,500	\$1,755,000
TOTAL REVENUES	\$306,474	\$250,000	\$325,000	\$400,000	\$325,000	\$57,500	\$57,500	\$57,500	\$32,500	\$1,811,474
Project Expenditures	FY12	FY13	FY14	FY15	FY16	FY17	FY18	FY19	FY18	TOTAL
Indiana Hosting Fees ⁴		\$106,723	\$96,857	\$38,708	\$135,000	\$122,500	\$52,500	\$32,500	\$32,500	\$617,288
Shipping/Materials		\$4,510	\$4,340	\$2,624	\$44,342	\$55,816	\$10,000			\$121,632
Project Management (salary and benefits)			\$100,507	\$100,000	\$102,902	\$102,902	\$50,000	\$10,000	\$5,000	\$581,231
Consulting/Meetings/Travel	\$2,875	\$16,674	\$7,766	\$7,050	10,000	\$7,500	\$5,000	\$5,000	\$2,000	\$63,865
OCLC			\$2,000							\$2,000
Telecom			\$40	\$26	\$50	\$25	\$10	\$10		\$161
Misc. Expenses		\$1,585		\$11,091	\$21,766	\$20,000	\$5,000	\$1,000		\$60,442
Digital Backfiles				\$125,434	\$125,000	\$125,000				\$375,434
TOTAL EXPENDITURES	\$2,875	\$129,492	\$211,510	\$284,933	\$439,060	\$433,743	\$122,510	\$48,510	\$39,500	\$1,712,133
Yearly Balances	\$303,599	\$120,508	\$113,490	\$115,067	\$114,060	-\$376,243	-\$65,010	\$8,990	-\$7,000	\$99,341

¹ Projected expenditures based on total ingest of 60,000 volumes.

² Projected expenditures based on total ingest of 60,000 volumes.

³ Projected expenditures based on total ingest of 10,000 volumes.

⁴ Indiana invoices processed in the fiscal year following the coverage year.

Although the ingest process is not yet complete, these costs have already yielded significant potential returns in space and dollar savings. It is difficult to quantify the actual dollar savings, as collection management is an aggregated expense. Costs are therefore based on Courant and Nielsen's calculations of the costs of housing a single volume in open stacks and in a high-density storage facility.

With 102,158 volumes ingested, the SPR collection currently occupies approximately 17,026 shelf feet of stored material—roughly 3.22 miles of shelf space. If each CIC institution withdrew duplicate copies from their shelves, the collective savings would today equal 48.3 miles of shelf space. When the target goal of 250,000 volumes is reached, the collection will represent 41,600 shelf feet secured, or a total potential collective shelf savings of just over 118 miles of shelving.

Paul Courant and Matthew Nielsen, in their CLIR report “On the cost of keeping a book,” estimated the 2010 cost of keeping a volume in open stacks to be \$4.26, and in a high-density storage to be \$.86 (Adjusted for inflation, these would be \$4.59 and \$.93 in 2015). If the 102,150 volumes currently ingested were kept in libraries, half in open shelves and half in an HD storage facility, the cost per school per year to maintain them would be \$282,900—an order of magnitude over the \$25,000 schools have invested each year. If all fifteen libraries retained duplicate copies of these widely-held volumes, the costs would reach millions of dollars—a purely hypothetical \$4,243,500 if all libraries held all volumes. Although that number is undoubtedly overreaching, it also represents the portion of the collection already ingested and processed into the shared CIC SPR collection, and may give an indication of the impact the full 250,000 volume collection could have on library budgets.

Table 2. Circulation Data from the SPR: March 20013-March 2015

Loans requested	6
Requested from:	
CIC	2
Out of State	4
Requests filled	2
Requests unfilled	4
Reason unfilled:	
Lack	2
Non-circulating	2

Articles requested	245
Requested from:	
RCL	29
CIC	7
IARL	42
In-state	110
Out-of-state	52
Out-of-country	5
Requests filled	173
Requests unfilled	72
Reason unfilled:	
Cancelled by customer	1
Lack	32
Max cost	22
Citation	3
Expired	14

Member Survey Results

During the spring of 2015, two surveys were administered to collect member feedback on the SPR project to date. The CIC library directors responded to one survey and key stakeholders (primarily collections staff) responded to the second. Surveys were also sent to non-participating CIC libraries—Northwestern University and The University of Chicago—both because those libraries can request volumes from the SPR, and it gives us a chance to assess interest in future directions for shared print across the entirety of the CIC. All CIC libraries responded to both surveys so results and comments are inclusive across the consortium. Full results of the survey are included in the Appendix.

Library Director Survey

The library directors were asked to rate the value of the SPR to their individual libraries and the importance of the SPR relative to other CIC library activities. 70% considered the SPR very valuable or valuable to their library. 75% replied that the SPR is very important or important relative to other CIC library activities.

In the next five years, 92% of directors felt that expanding the serials retention project would be very important or important. Directors felt almost equally that collaborative monographic print storage would be important to their libraries. In terms of future investments beyond the 5-year commitment to building the SPR to the expected 250,000 volumes, 83% would be very interested or interested in contributing additional funds to expand the SPR serials collection. 63% would be very interested or interested in contributing additional funds to broaden the scope of the SPR to include monographs.

Comments on the future of CIC Shared Print activities:

“In general I think this is an important long-term commitment for our consortium, and I expect eventually that our library will want to use it alongside our other resource sharing and consortial collection initiatives.”

“Do we have the tools in place to effectively utilize the serials in the SPR –i.e. to enable cost-effective withdrawal, record change, etc.?”

“Let’s make sure we meet our initial goals and have workflow issues resolved before expanding.”

General Survey

The general response survey included questions about SPR communications, the relationship of the SPR to local collection management, withdrawal activity, and readiness to participate/contribute to the SPR collection.

SPR communications include the CIC website, a dedicated email list, in-person presentations at ALA, emails via other CIC library lists, and published articles and conference presentations. Overall, approximately 66% of respondents indicated seeing the website, email lists, and in-person presentations. 94% had seen additional emails about the project while 33% had read a published article(s). Still, approximately 40% of respondents indicated a need for more or better communication about the project, which is taken as useful feedback.

Respondents wrote extensive comments about how the SPR fits in their overall collections strategy. Most consider the project to be critical to managing their local space and to extend their shelving capacity through withdrawal of secured volumes. Many libraries are either participating, or anticipating participation, in more than one shared print management program. They see the CIC SPR as a critical participant in the national shared print landscape.

Nine libraries indicate that they have withdrawn material on the basis of participation in the SPR and three additional indicate that they are making plans for withdrawal or relocation of items to remote storage. All respondents said that they would be interested in contributing volumes to the shared collection in the future.

Alignment with CIC strategic Directions

The CIC Strategic Directions Framework (2014-2016) has three overarching goals for all of the programs, projects and activities of the CIC stakeholders.

- A. Cooperatively increase opportunities and maximize savings and efficiencies supporting the academic enterprise.

The SPR project will result in both cost and space savings for participating libraries. Cost savings will accrue through lower cost, high-density storage for materials held at Indiana University. Space savings will vary based on the holdings of individual libraries and their decisions to withdraw or deposit copies in the shared collection. In some cases, the SPR will diminish the need for individual libraries to seek and fund additional local storage strategies. Actual savings calculations will vary by library based on their rate of withdrawal and the type of storage employed locally.

- B. Create a sustainable culture of collaboration across member institutions

The decision to fund and sustain the SPR came after several years of deliberation among CIC library directors. Ultimately it was clear that the collective research library collection represented by the member universities would be an important resource to future scholars and researchers and should have a collective stewardship. This large scale project includes a multi-year commitment for funding, shared effort to bring the materials together, and complements and strengthens other library programs such as Google digitization and the HathiTrust Digital Library.

- C. Provide leadership and influence on higher education

CIC is an active participant in the national dialogue on the future and stewardship of shared print collections. CIC staff and CIC librarians work with OCLC, CRL, HathiTrust, and other initiatives to assure that our consortial activities are meeting emerging national standards. CIC also considers strategic partnerships that will secure access to the broadest collection on behalf of faculty, researchers, and students as more and more print materials are being housed in shared storage programs.

Summary and Future Considerations

Under the current MOU, the SPR has one more year (through June 30, 2016) of active ingest before moving to a “maintenance” model. At that time, the collection will include approximately 250,000 volumes with no additional plans for growth, and participating libraries will pay \$2,500/annually through June 30, 2034.

Deliberations and decisions on the future of the SPR will take place at the November meeting of the library directors. As the agenda for that meeting is developed, the following topics are likely to be included for discussion:

- Retaining IU as sole host site, expanding to other nodes, or pursuing alternative action
- Expanding the current serials collection, perhaps broadening the scope to encompass more content from the social sciences and humanities
- Beginning a shared print monographs collection
- Considerations arising from developments with HathiTrust/OCLC print management projects
- Increasing or maintaining investment in the CIC SPR
- Staffing beyond the development phase
- Revising or maintaining governance committee structure

As for the SPR program past and present, it’s best characterized as a glass half full/glass half empty story. Good work has been done by dozens and dozens of CIC people over the past four years, and dozens more at supporting institutions like OCLC and CRL. It’s a collective accomplishment to have gathered over 100,000 volumes at one CIC university; have the holdings validated and reassigned to the collective; and make them discoverable through OCLC. Some other high points worth noting include:

- The sophisticated approach to collection analysis developed by Indiana University
- Developing a partnership with CRL to expedite collection comparisons across thirteen libraries
- The known pipeline of 75,000 needed volumes currently under review by CIC supplying libraries
- The careful ingest procedures in place at IU
- The ongoing dedication of the working groups and governing committees
- The number of published articles and presentations about the CIC initiative
- The participation of dozens of CIC staff in national forums about print storage

On the half-empty side of the equation, we would have expected to have ingested between 150,000 and 200,000 volumes at this point in the project. Even recognizing that an initiative like this will inevitably proceed unevenly as the early years are devoted to establishing policies and procedures, we are still surprised that the basic steps in the process—analysis, requests for content, review of request lists, shipping, ingest—always seem to take longer than our hopes and projections. Throughout, we’ve encountered delays—often understandable, but delays nonetheless—at CIC Headquarters, Indiana, CRL, the truckers, and OCLC, but most challenging have been the delays at the schools tasked with supplying content. Most have been eager to become a supplier, but when lists hit the libraries, the process of

selector review, validation, and prep for shipping is agonizingly protracted. Some other project pain points include:

- The challenge of trying to compare non-standard holdings entries across a dozen libraries. This sometimes means that our project manager would need to manually line up 170,000 entries in an excel spreadsheet.
- Our inability to support or track on withdrawals for partnering libraries. We know a lot about the work and costs at Indiana University and libraries supplying content, but we don't have a process for monitoring the intended impact of the project: to make possible a reduction in replicated print retention.
- The difficulty of acquiring or creating comprehensive lists of published volumes against which to compare our library holdings.
- The shortcomings of communication—especially below the level of Directors in our libraries—which are easily dismissed as an inevitable criticism of complex projects, but which we should acknowledge could always be improved.

Those closely involved with the project are optimistic that a very substantial number of volumes will be added to the CIC SPR collection over the next fourteen months. We know this will involve some heroic efforts and a sense of urgency to accomplish in one year what we have failed to achieve over the past three. That said, there is good reason to believe that the infrastructure, procedures and know-how are now in place to accomplish the stated project goals.

Appendices

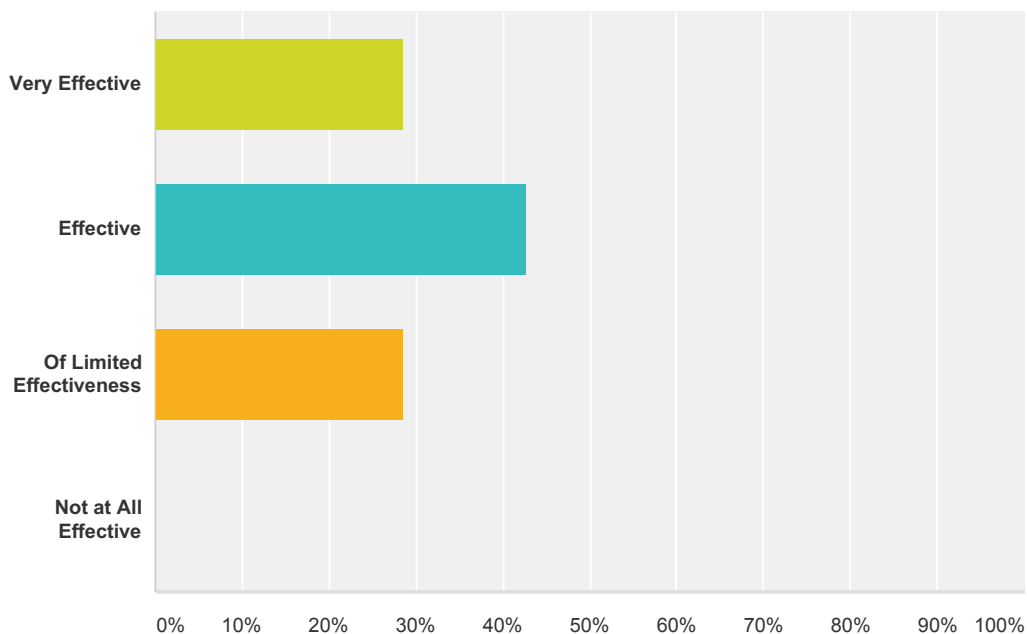
- A. Full Library Directors' Survey Results
- B. Full General Survey Results
- C. Memorandum of Understanding
- D. Memorandum of Understanding for Host Sites
- E. Related Public Presentations and Published Works

APPENDIX A: SURVEY OF CIC LIBRARY DIRECTORS

Q1: Respondents' names and Q2: Responding institutions were optional. Responses have been omitted to preserve anonymity.

Q3 Aggregate, secure, and preserve the rich print resources developed by CIC libraries over the past two centuries;

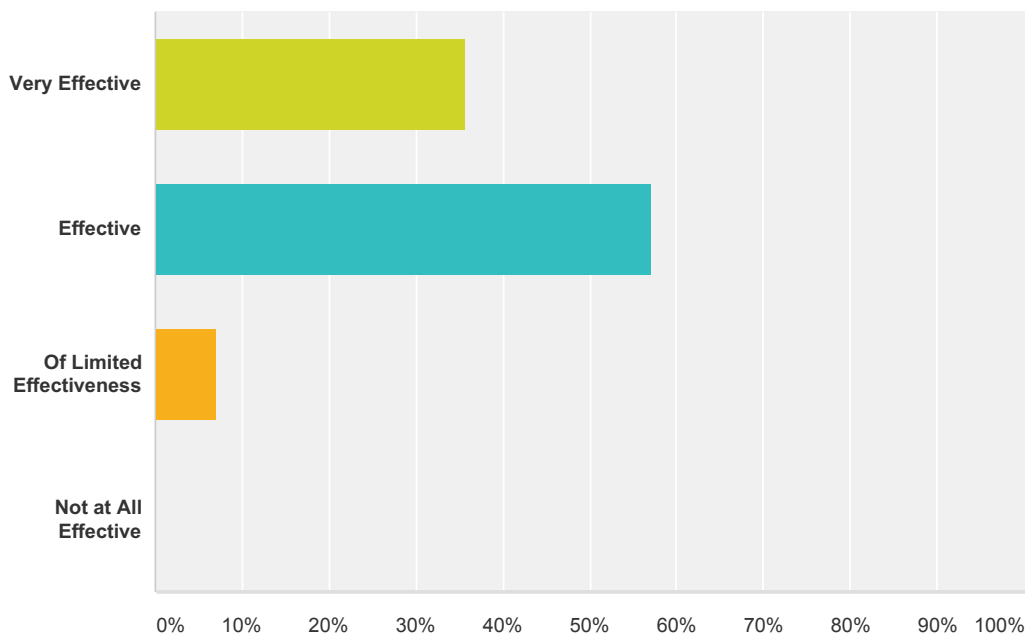
Answered: 14 Skipped: 3



Answer Choices	Responses	
Very Effective	28.57%	4
Effective	42.86%	6
Of Limited Effectiveness	28.57%	4
Not at All Effective	0.00%	0
Total		14

Q4 Ensure that CIC scholars and students have timely access to these archived resources;

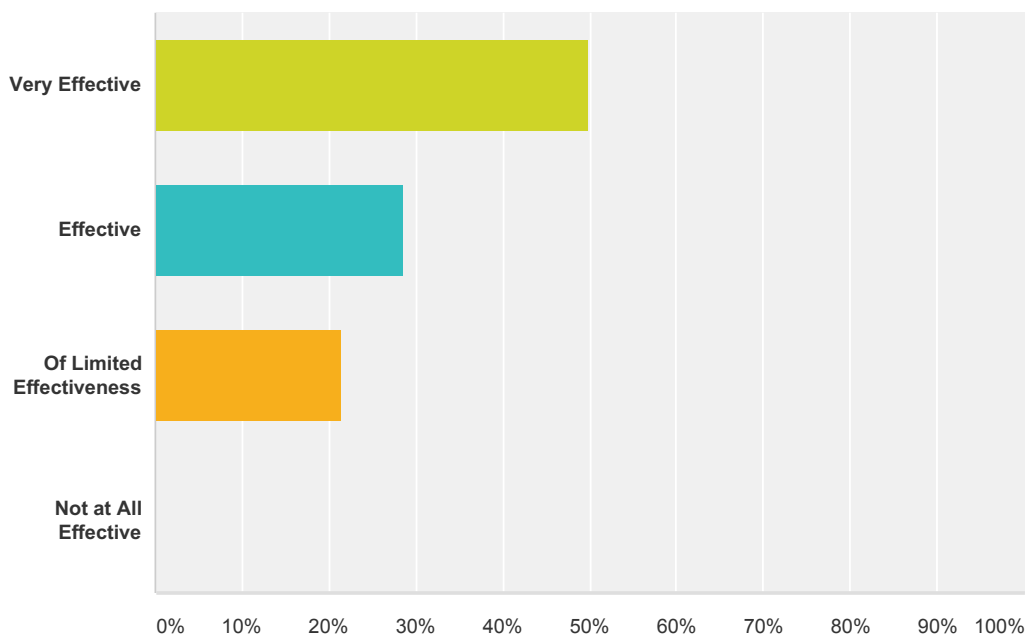
Answered: 14 Skipped: 3



Answer Choices	Responses	
Very Effective	35.71%	5
Effective	57.14%	8
Of Limited Effectiveness	7.14%	1
Not at All Effective	0.00%	0
Total		14

Q5 Realize the economies of scale made possible through collective action that will allow CIC libraries to apply best practices for storing, preserving, servicing, and reflecting print holdings well into the future;

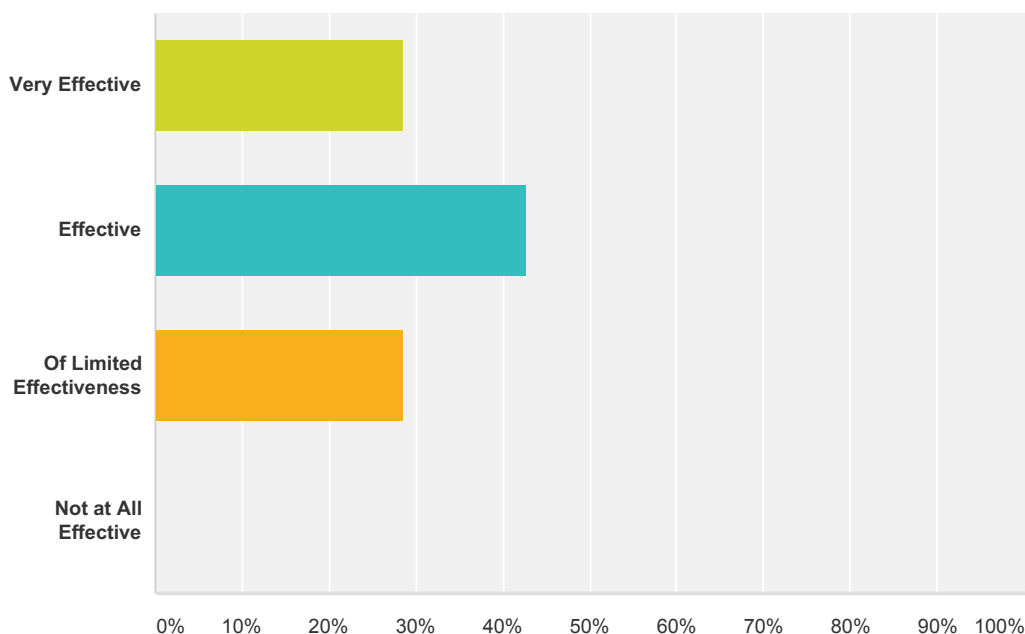
Answered: 14 Skipped: 3



Answer Choices	Responses	
Very Effective	50.00%	7
Effective	28.57%	4
Of Limited Effectiveness	21.43%	3
Not at All Effective	0.00%	0
Total		14

Q6 Help CIC campuses reclaim local resources, including space, funds, and staff time by relieving them of the obligation to store lesser-used redundant materials; and

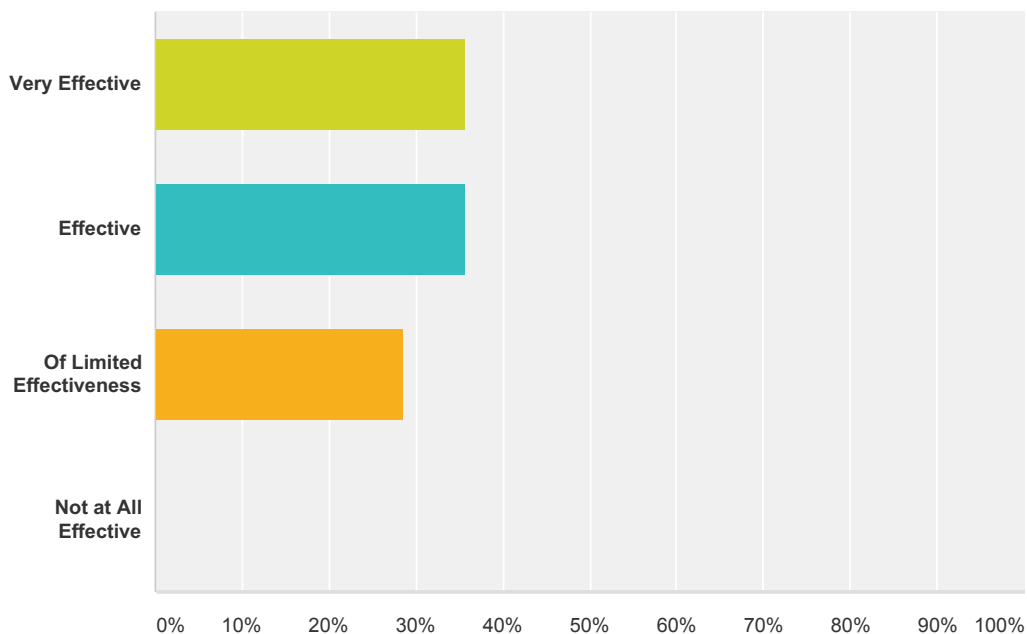
Answered: 14 Skipped: 3



Answer Choices	Responses	
Very Effective	28.57%	4
Effective	42.86%	6
Of Limited Effectiveness	28.57%	4
Not at All Effective	0.00%	0
Total		14

Q7 Integrate CIC libraries into an emerging national network of collectively managed research library resources

Answered: 14 Skipped: 3



Answer Choices	Responses	
Very Effective	35.71%	5
Effective	35.71%	5
Of Limited Effectiveness	28.57%	4
Not at All Effective	0.00%	0
Total		14

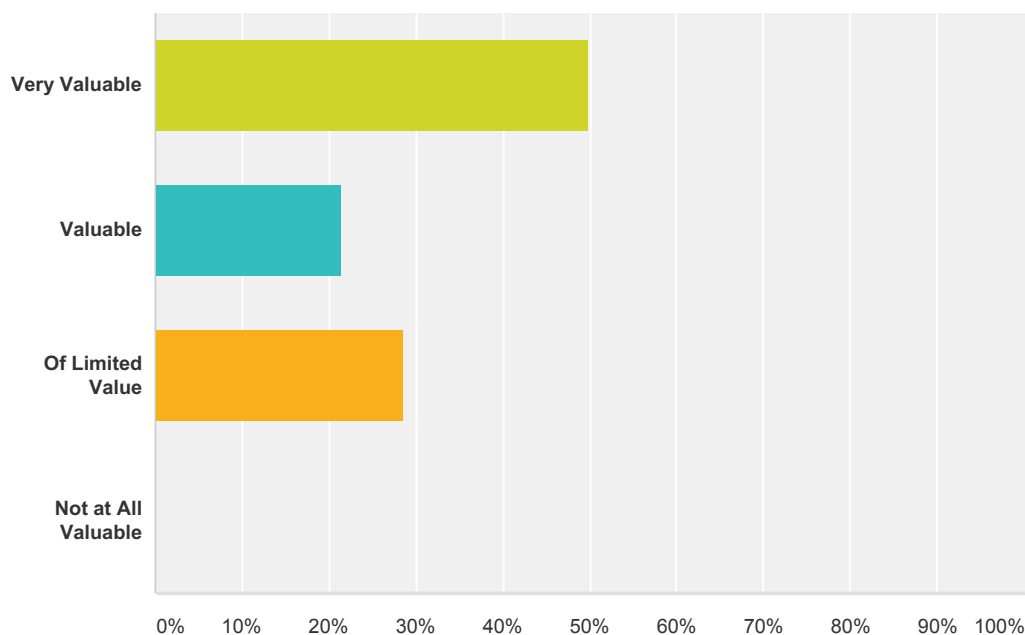
Q8 Comments:

Answered: 11 Skipped: 6

#	Responses	Date
1	Effectiveness here reflects the volume of material secured to date. Timely access means standard ILL turnaround, on top of robust online access. CIC is definitely at the table with regard to national conversations, although it is still difficult to see much cross-project integration.	4/7/2015 11:59 AM
2	We have not yet begun to participate, so I have answered based on my expectations.	4/3/2015 2:05 PM
3	An option, "not known at this time" would have been beneficial.	3/30/2015 3:58 PM
4	I'm supplementing my previous survey response. I would like to see us pushing beyond sciences into social sciences and humanities journal literature. Publishers that could be mentioned include Sage, Cambridge UP and Oxford UP. We should also pursue a JSTOR archive. We think having access to those titles via the CIC might be preferential. Thank you.	3/25/2015 10:54 AM
5	Maryland has not had the opportunity to create a formal strategic plan around the SPR but we will realize a great deal when we engage more closely.	3/24/2015 2:47 PM
6	I am pleased with the overall efforts and the larger goals. I intend to continue full participation. Shared print management only makes sense today.	3/24/2015 12:13 PM
7	Inclusion of more CIC members to contribute materials to the CIC Shared Print Repository is highly desirable. At Purdue we have consistently stated our willingness to contribute materials, and since we are the closest campus to Bloomington, it would seem logical for us to be a contributor.	3/23/2015 4:14 PM
8	Re #3, the question implies that the SPR is archiving a far broader and richer array of our collective holdings than is the case, so far. Also, the questionnaire assume we are all in a position to judge the effectiveness, which is also not the case since we are not all using the SPR equally.	3/18/2015 10:36 PM
9	For items #6 and 7 -- I don't think we've made as much progress as I would like to have seen. While my institution has been able to move material to SPR, many others have not had that opportunity yet nor the opportunity to clear stack space. We need this process to move more quickly. On #7 -- I recognize that we are part of the national conversation but we will also need to have the capacity to act once the next steps are available to us. If those steps were available today, I'm not sure that we could act quickly on them.	3/16/2015 3:06 PM
10	The SPR seems still at an evolutionary phase with benefits not fully realized. Questions 6 and 7 are evidence of the nascent benefits. Until libraries start making decisions based on SPR, the benefits will not be as tangible, but rather latent. I suspect many of us have :1) not withdrawn volumes yet as not urgent, 2) not had the resources nor priority to contribute resources.	3/12/2015 4:56 PM
11	I had hoped the review taking place might help me answer these questions. I'm happy to answer #5 based on my faith that this kind of collective action is essential, but my other answers reflect my optimism (not data) that the effort will be successful.	3/11/2015 4:55 PM

Q9 How valuable is the Shared Print Repository program to your library?

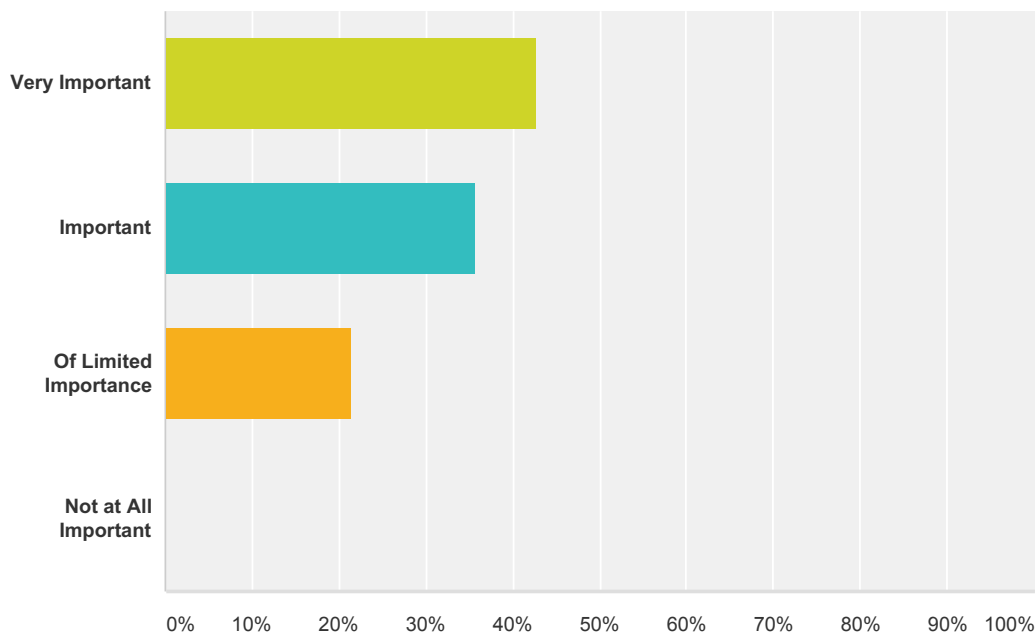
Answered: 14 Skipped: 3



Answer Choices	Responses	
Very Valuable	50.00%	7
Valuable	21.43%	3
Of Limited Value	28.57%	4
Not at All Valuable	0.00%	0
Total		14

**Q10 Relative to other CIC library activities
(consortial licensing, large-scale
purchasing, digitization), how would you
rate the importance of the SPR?**

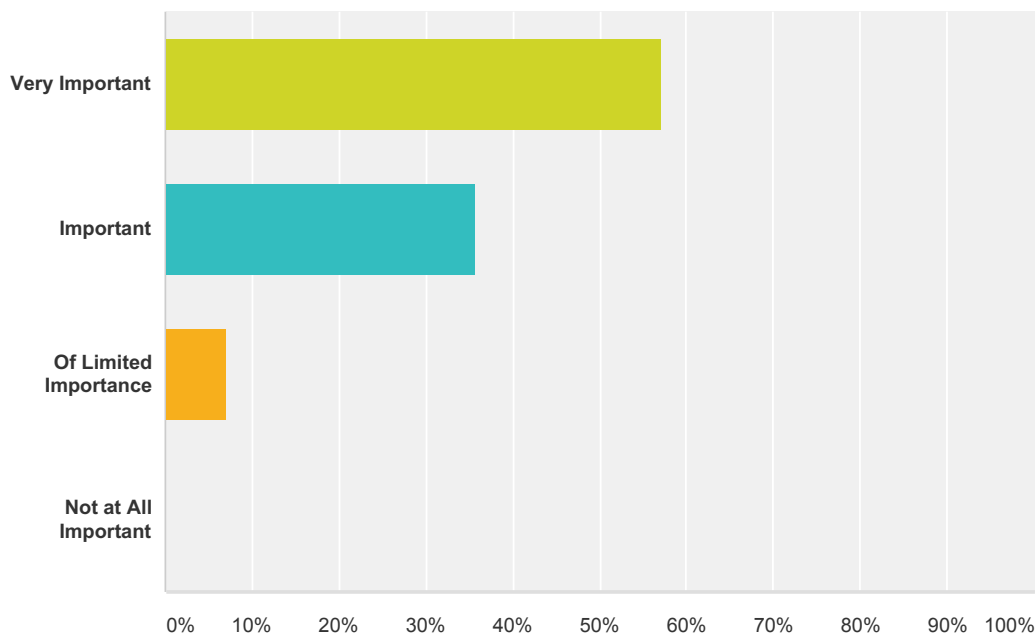
Answered: 14 Skipped: 3



Answer Choices	Responses	
Very Important	42.86%	6
Important	35.71%	5
Of Limited Importance	21.43%	3
Not at All Important	0.00%	0
Total		14

Q11 In the next five years, how important would expanding the serials retention project be to your library?

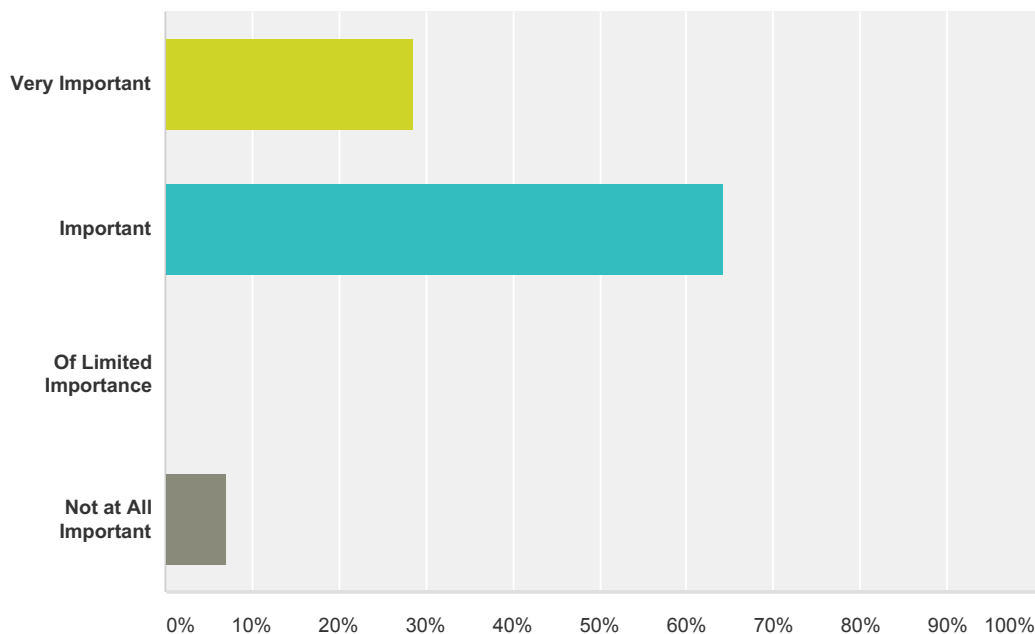
Answered: 14 Skipped: 3



Answer Choices	Responses	
Very Important	57.14%	8
Important	35.71%	5
Of Limited Importance	7.14%	1
Not at All Important	0.00%	0
Total		14

Q12 In the next five years, how important would collaborative monographic print storage be to your library?

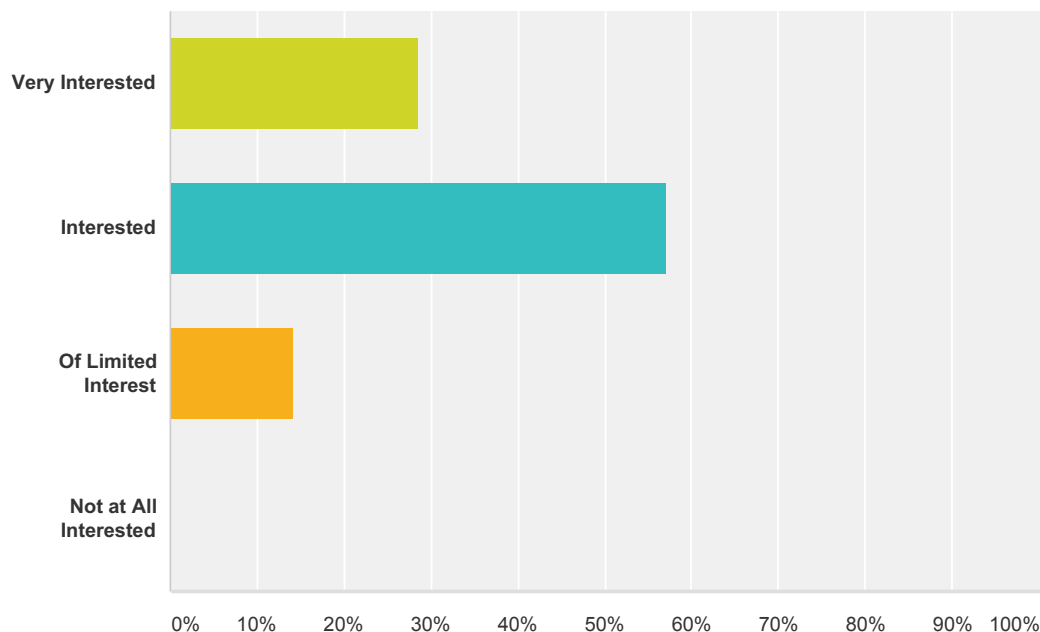
Answered: 14 Skipped: 3



Answer Choices	Responses	
Very Important	28.57%	4
Important	64.29%	9
Of Limited Importance	0.00%	0
Not at All Important	7.14%	1
Total		14

Q13 Contributing additional funds for a short period to expand the Shared Print Repository serials collection beyond the current target of 250,000 volumes?

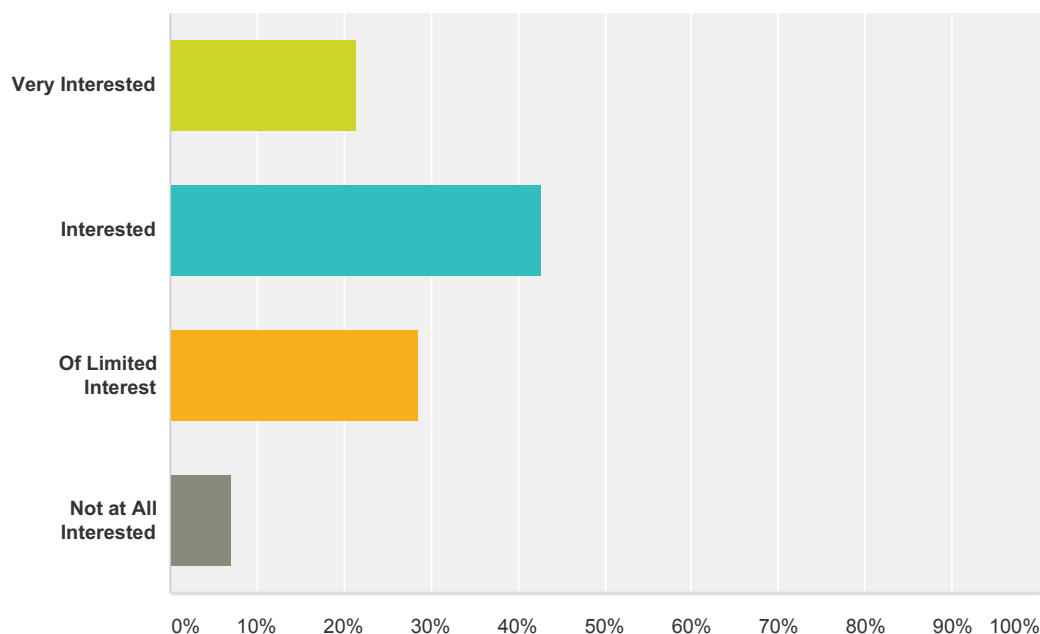
Answered: 14 Skipped: 3



Answer Choices	Responses	
Very Interested	28.57%	4
Interested	57.14%	8
Of Limited Interest	14.29%	2
Not at All Interested	0.00%	0
Total		14

Q14 Contributing additional funds for a short period to broaden the scope of the Shared Print Repository (e.g., monographs)?

Answered: 14 Skipped: 3



Answer Choices	Responses	
Very Interested	21.43%	3
Interested	42.86%	6
Of Limited Interest	28.57%	4
Not at All Interested	7.14%	1
Total		14

Q15 Please note any additional comments.

Answered: 10 Skipped: 7

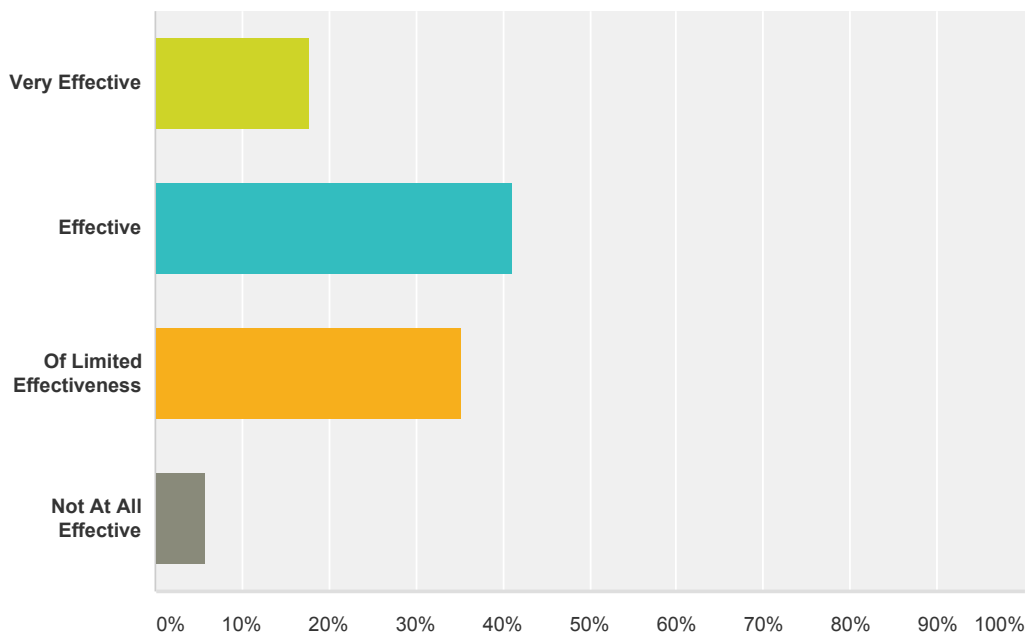
#	Responses	Date
1	Interested in considering expansion of the serials project if sufficient candidate volumes can be found. Interest in monographs is limited by potential Hathi Trust initiative. Who can provide storage space beyond the initial 250,000 volumes?	4/7/2015 12:18 PM
2	We would be interested in discussing adding other formats such as microforms to the SPR.	3/30/2015 4:01 PM
3	#13 - I am interested but poor so would have to see what the investment would be and how I could manage it.	3/24/2015 2:48 PM
4	Chicago is not currently participating in SPR, hence the comments regarding usefulness are low at this point. But, I still realize the importance of SPR and hope that some day we might be participants.	3/24/2015 1:56 PM
5	Purdue would be willing to increase or recommit funds to support the expansion of the Shared Print Repository for additional journals and monographs.	3/23/2015 4:16 PM
6	In general I think this is an important long-term commitment for our consortium, and I expect that eventually our library will want to use it alongside our other resource sharing and consortial collection initiatives (even if at the moment we have newly expanded local storage options).	3/18/2015 10:38 PM
7	Monographs are very critical and I think we need to be ready to be able to participate in the HathiTrust collective collections once their approach is ready to roll out	3/16/2015 3:10 PM
8	The answer to 13-14 is "it depends." Do we have the tools in place to effectively utilize the serials in SPR --i.e., to enable cost-effective withdrawal, record change, etc.? With respect to monographs, there is considerable work to be done in developing a decision model. Moving the program to a next phase -- beyond creating the SPR foundational collection-- needs to address the incentives and cost/benefits more directly.	3/12/2015 4:58 PM
9	Let's make sure we meet our initial goals and have workflow issues resolved before expanding.	3/12/2015 8:08 AM
10	Again, my responses are shaped by my optimism. Before we contributed additional funds to expand the SPR beyond the current target, I'd like to see us reach that target. Using the Courant/Nielsen figures for savings, we're more than a year away from recuperating our investment. That's okay, but the optimal arrangement would be one where we break even before embarking on the next stage.	3/11/2015 5:00 PM

APPENDIX B: GENERAL SURVEY OF CIC SPR LIBRARY PARTICIPANTS

Q1: Respondents' names and Q2: Responding institutions were optional. Responses have been omitted to preserve anonymity.

Q3 How effectively have the goals and activities of the SPR been communicated?

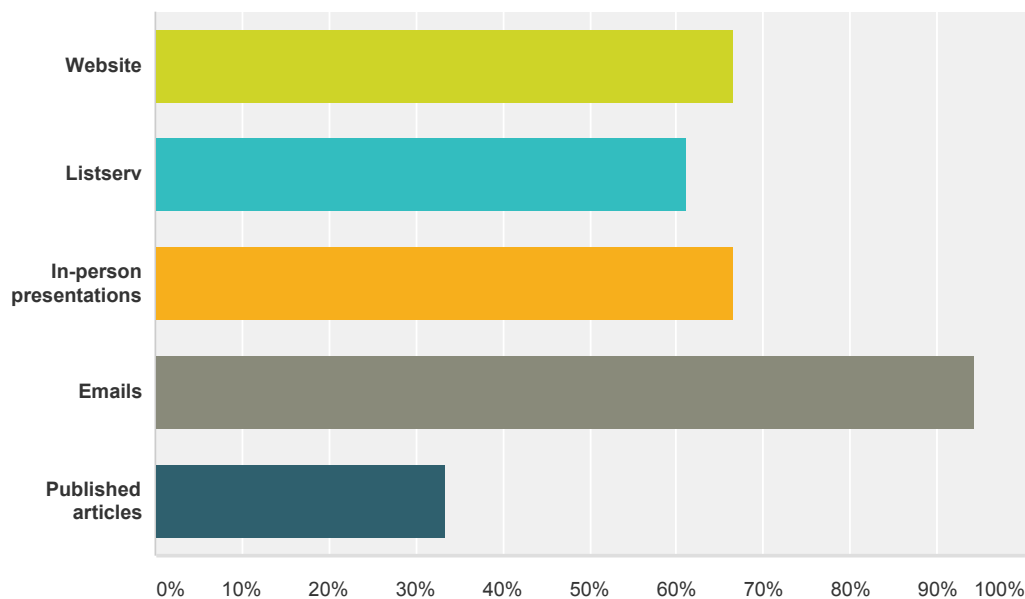
Answered: 17 Skipped: 2



Answer Choices	Responses	
Very Effective	17.65%	3
Effective	41.18%	7
Of Limited Effectiveness	35.29%	6
Not At All Effective	5.88%	1
Total		17

Q4 How many of the following communications methods have you received or seen regarding the CIC SPR?

Answered: 18 Skipped: 1



Answer Choices	Responses
Website	66.67% 12
Listserv	61.11% 11
In-person presentations	66.67% 12
Emails	94.44% 17
Published articles	33.33% 6
Total Respondents: 18	

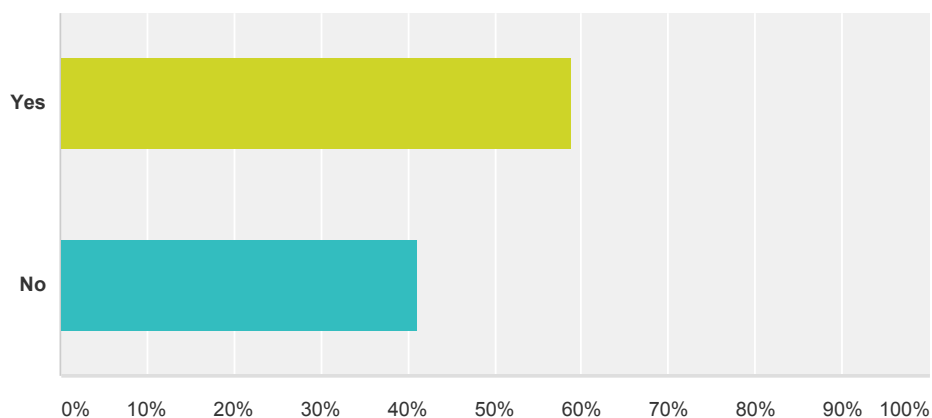
Q5 How does the CIC SPR fit into your overall collections strategy?

Answered: 17 Skipped: 2

#	Responses	Date
1	We see the SPR as an opportunity to secure one complete (and accessible) print copy of materials now accessed primarily online -- in particular subject areas that are less wedded to the need for local print copies. We intend to sequester our own print copies of these journal backfiles for (likely) future withdrawal. Collaboration on the SPR also gives us experience we may need to participate in other shared management programs.	4/6/2015 3:52 PM
2	The UM Libraries are relying very heavily on the availability of resources in the CIC SPR.	3/31/2015 1:39 PM
3	We will continue to contribute journal volumes to the SPR as needed, and as additional journal volumes are secured in the SPR we will continue to withdraw our corresponding volumes. This reduction in the number of print journal volumes is an essential part of our plan to manage space in our campus libraries and our remote storage facility over the next several years.	3/31/2015 12:55 PM
4	We are strongly interested in the CIC SPR as a potential future partner that could allow us to withdraw print titles held at the CIC SPR (after providing any uniquely held volumes to fill in gaps), thus extending the lifespan of our on-campus storage facility and other campus libraries.	3/30/2015 4:10 PM
5	It makes it easier for us to curate our physical collections, knowing that we can withdraw bound journal volumes and other less-used material	3/30/2015 3:26 PM
6	The UM Libraries are relying very heavily on the availability of resources in the CIC SPR.	3/27/2015 8:12 AM
7	For UW-Madison CIC SPR is facilitating preservation and helping us reduce unnecessary duplication, while ensuring access to the print versions of journals when they are needed. UW-Madison Libraries are committed to furthering the coordination of shared print collections and to being an active participant in the national shared print landscape.	3/25/2015 7:07 AM
8	Knowing that journal runs are in the SPR is one of several factors that determine whether we will withdraw our corresponding print runs when we also have e-access. We would also consider withdrawing low use print runs if they were also held at the SPR even if there were no e-access.	3/24/2015 2:47 PM
9	Since we are the host institution this question is not directly relevant, other than not purchasing print backfiles of selected publishers.	3/24/2015 9:34 AM
10	It does not really currently fit into it. Our space issues are so critical that we can't wait for decisions to be made on what is put into the SPR, so we are making withdrawal decisions based on if we have permanent online access (not subscription) to journals that are also in LOCKSS and PORTICO.	3/20/2015 3:37 PM
11	We are look to consolidate duplicative holdings, reconfigure space & share holdings with partner institutions. The SPR fits into this overall approach.	3/20/2015 10:52 AM
12	The CIC SPR is growing in its importance for us. With space at a premium both on- and off-site we are actively engaged in weeding duplicates, compressing collections where feasible, and looking for opportunities to deaccession print if we hold digital back files.	3/20/2015 10:37 AM
13	Currently, many of the materials in the SPR are ones that we have already withdrawn the print copies (prior to the project); however, in the future we would certainly consider withdrawing materials based on SPR holdings.	3/19/2015 2:27 PM
14	Knowledge that it exists makes us more confident about the possibility of de-accessioning material.	3/19/2015 1:26 PM
15	Overall, the CIC SPR fits into our collections management planning by allowing us to deduplicate materials held in common that are arguably not rare. When it comes right down to it, there are opportunities here for us in that the CIC SPR will enable our institution to dedicate local resources to supporting the preservation and retention of less commonly held materials, freeing up approximately 25,000 - 30,000 linear feet of shelf space.	3/19/2015 12:31 PM
16	N/A	3/19/2015 10:24 AM

Q6 Does your institution participate in other cooperative storage agreements?

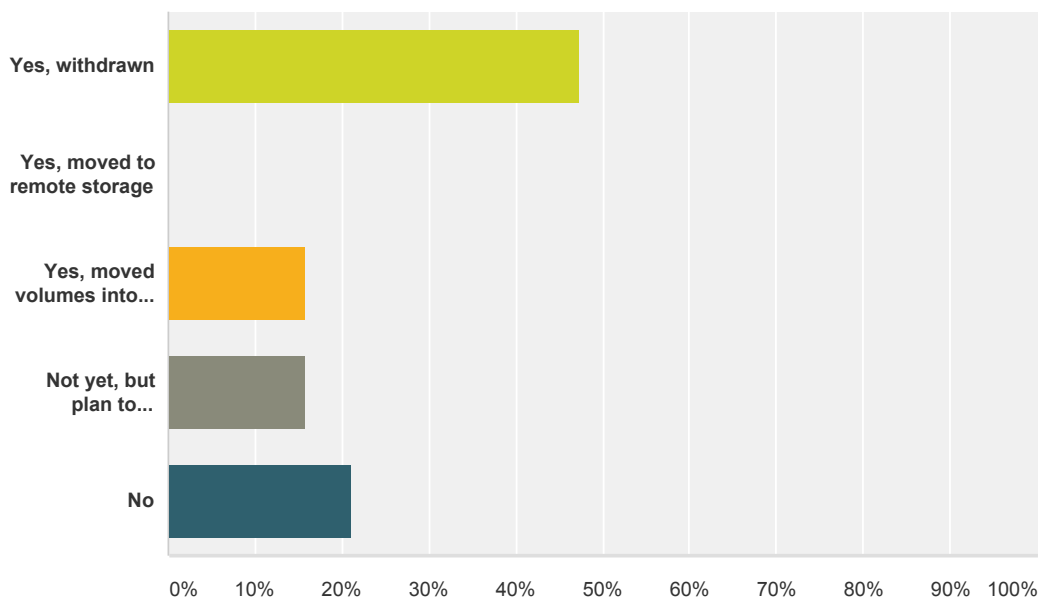
Answered: 17 Skipped: 2



Answer Choices	Responses	
Yes	58.82%	10
No	41.18%	7
Total		17

Q7 Has your library withdrawn, deaccessioned, or moved volumes on the basis of participation in the CIC SPR?

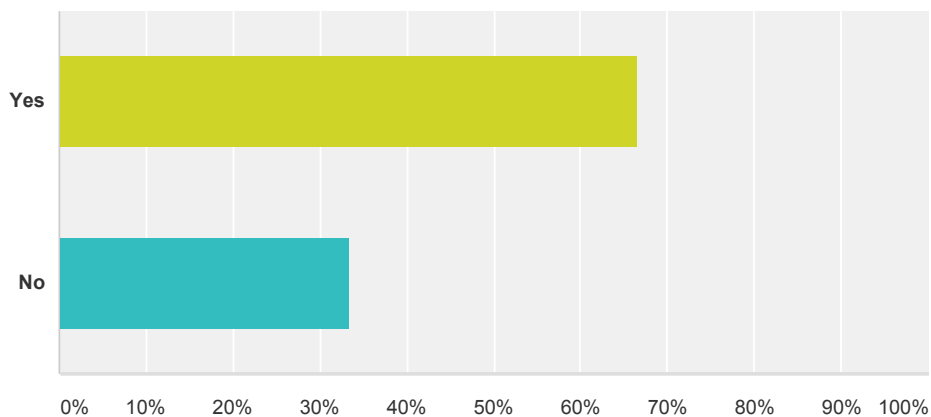
Answered: 19 Skipped: 0



Answer Choices	Responses	
Yes, withdrawn	47.37%	9
Yes, moved to remote storage	0.00%	0
Yes, moved volumes into SPR	15.79%	3
Not yet, but plan to withdraw or relocate items	15.79%	3
No	21.05%	4
Total		19

Q8 Has your library contributed volumes to the Shared Print Repository or begun active planning to contribute volumes in the near future?

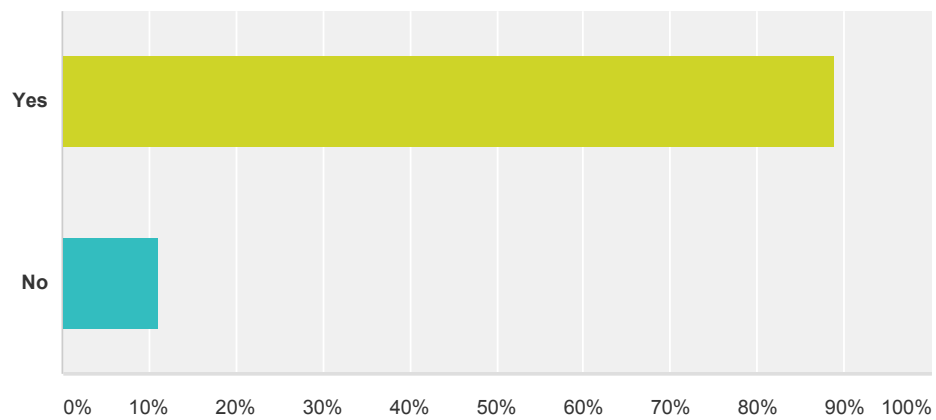
Answered: 18 Skipped: 1



Answer Choices	Responses	
Yes	66.67%	12
No	33.33%	6
Total		18

Q9 Has support for this process been adequate?

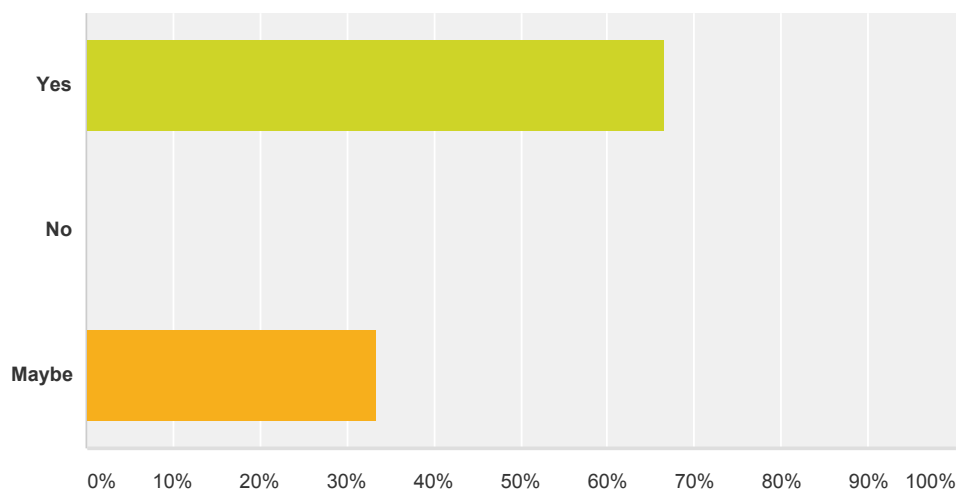
Answered: 9 Skipped: 10



Answer Choices	Responses	
Yes	88.89%	8
No	11.11%	1
Total		9

Q10 Would you be interested in contributing volumes in the future?

Answered: 9 Skipped: 10



Answer Choices	Responses	
Yes	66.67%	6
No	0.00%	0
Maybe	33.33%	3
Total		9

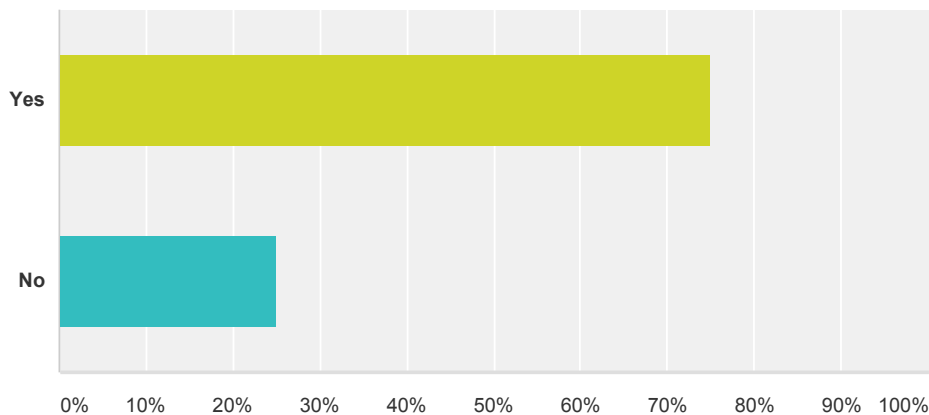
Q11 What conditions would need to be met?

Answered: 3 Skipped: 16

#	Responses	Date
1	We would be interested in the CIC SPR's plans for retention beyond its current 25 year commitment.	3/30/2015 4:11 PM
2	At this point, we have already removed most of our print journals for which we have permanent electronic access. For us to send materials to the SPR, the parameters of what is included there must be broadened to include older reference works or even monographs.	3/20/2015 3:39 PM
3	Northwestern is not currently a participating member of the project and thus would be ineligible. We'd like to negotiate some kind of deal that would, at minimum, allow us to submit specific volumes if they are needed to complete runs of journals or other collections in the SPR AND that we do not feel it necessary to retain in print.	3/19/2015 1:43 PM

Q12 Does your library's ILL department use the SPR as an option for interlibrary borrowing or resource sharing?

Answered: 16 Skipped: 3



Answer Choices	Responses	
Yes	75.00%	12
No	25.00%	4
Total		16

Q13 What has been the impact of your participation in the SPR on your user services?

Answered: 16 Skipped: 3

#	Responses	Date
1	I'm not aware of any, so far.	4/6/2015 4:00 PM
2	Ultimately, the reliability on perpetual access to thousands of journal titles coupled with Portico's preservation services enables removal of a significant number of print volumes that allows reconfiguration of library spaces for collaborative and /or one-on-one study niches, with the necessary technological infrastructures, for various user groups including students, faculty, researchers, campus and community organizations.	3/31/2015 1:44 PM
3	We have seen very little impact on user services. Our head of ILL reports that we have had no copy or loan requests for SPR so far.	3/31/2015 12:56 PM
4	Thus far, relatively insignificant, though it will presumably have an increasing role in our participation in the UBorrow consortial borrowing agreement.	3/30/2015 4:13 PM
5	We are just beginning participation and have not seen much impact yet.	3/30/2015 3:29 PM
6	Unfortunately we are still pulling data for this and can't respond at this time. Since we have perpetual access for these titles I am guessing it has been limited.	3/25/2015 7:15 AM
7	It's invisible to users since they almost always use the e-journal versions anyway.	3/24/2015 2:55 PM
8	We've obtained missing print volumes that we can use for ILL	3/24/2015 9:35 AM
9	None.	3/20/2015 3:44 PM
10	Too soon to tell.	3/20/2015 10:54 AM
11	Unknown.	3/20/2015 10:37 AM
12	None, as far as I can tell.	3/19/2015 2:29 PM
13	Very little impact observed.	3/19/2015 1:43 PM
14	Little or none yet. It is an option, but as we have (a) not deaccessioned anything yet, and (b) have virtually all of the backfiles for these print titles, there is little impact to date. Once we de-duplicate and add more records to the catalog pointing to holdings in the CIC SPR, they might go up. However, we had previously done analysis of use of journals in remote storage that had backfile access, and we determined that it amounted to about 100 requests in ten years. There may be occasional hiccups as we "go live" and deduplicate locally, but they are going to be minimal in the end for the benefit gained. Right?	3/19/2015 12:38 PM
15	N/A	3/19/2015 10:25 AM
16	Primarily allowing the libraries to strategize about how to rationalize the collection to accomodate the need for faculty and student quiet spaces.	3/12/2015 9:26 AM

Q14 To date, ingest has focused on backfile science journals from Elsevier, Wiley, Springer, and major academic society publishers. Are there additional areas or pools of content you would like to see considered for ingest into the SPR?

Answered: 15 Skipped: 4

#	Responses	Date
1	I would continue with print serials that will be low use because current consumption has moved primarily online. I would probably build a CIC JSTOR archive, but I'm an outlier on that given the CRL effort (among others).	4/6/2015 4:00 PM
2	The SPR's ingest of government documents, agreed upon by the federal government, would significantly ease the burden of the massive amount of space needed to house these print materials, especially in libraries that are designated as regional depositories.	3/31/2015 1:44 PM
3	Continuing on with additional scholarly journal publishers seems like the best bet. Although all of us have a lot of shelf space devoted to old directories, abstracts/indexes and other continuations that have online equivalents and/or are very rarely used, these projects seem to get bogged down in the details of holdings comparisons.	3/31/2015 12:56 PM
4	We would be most interested in other serials that have been digitized and stored in trusted digital repositories, such as JStor/Portico, HathiTrust, etc. Eventually, we would be interested in exploring the expansion to shared print management of monographs available in full text online from trusted digital repositories such as HathiTrust.	3/30/2015 4:13 PM
5	No others at this time.	3/30/2015 3:29 PM
6	We are interested in publishers that would provide space savings, so society publishers and Nature, IEEE, Science, and Scientific America would assist.	3/25/2015 7:15 AM
7	Reference works (e.g., Thomas Register, Books in Print, Directory of Associations, other directories, other long runs duplicated by electronic titles) and print runs of indexes/abstracts (largely those with e-equivalents, but also other low-use titles with no e-equivalents). Would love to get an update on the index/abstracts list developed over the last year (and there are lots more titles to add!).	3/24/2015 2:55 PM
8	Reference works Print indexes for which there are electronic equivalents	3/20/2015 3:44 PM
9	Directories & indexing sets. Journals of science societies like Royal Society of Chemistry.	3/20/2015 10:54 AM
10	Print indexes; directories and other reference annuals such as Encyclopedia of Associations.	3/20/2015 10:37 AM
11	Humanities and social sciences content	3/19/2015 2:29 PM
12	Microfilm sets or other little used "plastic" material would seem especially useful, if the CIC could provide a suitable storage facility. The possibility of storing large outdated-but-historically-useful reference sets already under consideration.	3/19/2015 1:43 PM
13	Society titles. JSTOR. Government Documents....	3/19/2015 12:38 PM
14	N/A	3/19/2015 10:25 AM
15	JSTOR	3/12/2015 9:26 AM

Q15 Please note any additional comments.

Answered: 8 Skipped: 11

#	Responses	Date
1	Please note that my full answer to Q.3 would be somewhere between "effective" and "of limited effectiveness." That is to say that communications have been mostly good from CIC, sometimes a little inconsistent, or parts of the project have been communicated differently to different constituent groups in our libraries. To be honest, we haven't done a great job coordinating (and updating) the communications on our end, either.	4/6/2015 4:00 PM
2	We would be interested in better understanding the role the CIC SPR plays in supporting individual institutions in analyzing holdings, identifying gaps in titles, updating metadata, etc.	3/30/2015 4:13 PM
3	Do some CIC libraries know that the monographs in certain storage facilities are in there for the long haul and unlikely to be withdrawn? Can we compile a pooled list of these that we can each match against our collections (with added local information about circ data) to help make monograph withdrawal decisions based on low local use combined with a high likelihood of long term availability for resource sharing at CIC partners' long-term storage facilities? Can something similar be done with government publications? Can HathiTrust help develop lists of (longer) complete serial runs of govt pubs with full text access that members can use to withdraw local print if they wish (match HathiTrust list against local holdings to develop local pick lists)? Thank you!	3/24/2015 2:55 PM
4	We are coming late to this process but remain interested.	3/20/2015 10:54 AM
5	How frequently can we expect the "completed sequences" spreadsheet to be updated? While we have not yet relied on SPR to fulfill ILL requests, that does not mean we will not ever turn to it. To date, we have relied on the digital backfiles for the journals we withdrew. Effectiveness in communicating goals and activities is, in my opinion, limited by a narrow channel of a few recipients at my library who must pass information along. Is there an "all librarian" channel for communicating this information?	3/20/2015 10:37 AM
6	Especially when considering the prospect of moving forward on shared print storage of monograph material, the CIC should consider a distributed holdings model, where one library's copy would be considered the CIC copy of a given title or edition, but the physical item would continue to be stored at one of the member libraries.	3/19/2015 1:43 PM
7	My responses is compiled from multiple individuals in the institution....	3/19/2015 12:38 PM
8	This is a challenging project and I appreciate the time and effort the CIC SPR team. It would be nice to focus on improved communication and timely feedback to requests.	3/12/2015 9:26 AM

APPENDIX C: MEMORANDUM OF UNDERSTANDING

DEVELOPMENT OF A CIC SHARED PRINT REPOSITORY: PROPOSAL FOR DIRECTOR REVIEW AND APPROVAL MAY 2011

There should be no doubt that the future of research library access will be about making scholarly resources conveniently available in digital form. In 2009, more than half of CIC library collection spending was directed to electronic resources, and the slope of increase is beyond 10% per year. As prospective collection building tilts in the direction of increasing investments in electronic formats, the CIC universities are also making substantial investments in retrospective conversion of print collections through their partnership with Google. Collectively, the CIC libraries—including the Universities of Michigan and Wisconsin—are on a trajectory to digitize and preserve between fifteen and twenty million print volumes from their collections. As this content flows back to the HathiTrust Digital Library, the Library Directors are increasingly confident in their ability to preserve our scholarly legacy and provide timely access to digital surrogates going forward. Beyond HathiTrust, Portico and LOCKSS have also provided some assurance that born digital content can be secured and made accessible in perpetuity.

In the recent past, convenient access to library resources meant proximate access to large stores of print books and journals. Accordingly, the thirteen CIC libraries built print collections of extraordinary breadth, depth and diversity. Collectively, the CIC libraries hold nearly 85 million print volumes, the overwhelming majority being held multiple times across our campuses. As scholars increasingly rely upon electronic access to needed resources, libraries everywhere are seeking ways to preserve access to the printed volume while at the same time redirecting resources—dollars, staff and space—to the management of increasingly digital collections. Using standard library measures, the CIC print collections occupy something on the order of 10 million linear feet or 2,000 miles of shelving. In dollar terms, the annual cost for maintaining the totality of our CIC print holdings—most in primary stacks; some in storage facilities—is something on the order of \$200 million per year. All this to say that responsible management of university resources will require new strategies for managing legacy print collections. While it is expected that the digital versions will be the more heavily used going forward, we can still imagine legitimate scholarly uses for print journal runs, as well as some library management reasons for ensuring their continued availability. Nonetheless, the availability of reliably accessible digital surrogates is a relevant factor in deciding how print resources should be managed in a technologically sophisticated campus environment.

To better manage their resources, the CIC Library Directors are committed to sharing the costs of storing and managing older print materials. They recognize that more secure conditions can be maintained, and better user services supported, if some bodies of print content are held in common across the CIC libraries. Such co-investment in a shared collection relieves each individual school of the obligation to commit the necessary resources to manage these resources on its own. The plan for shared print storage described below is built on a foundation of high trust among the CIC libraries, our universities collaborating among themselves for more than fifty years. Building a shared print library collection requires that sort of ongoing organizational interdependence to ensure that service agreements will be honored well into the future. We are confident that the CIC is well-suited to sustaining this type of commitment over an extended timeframe, and that the needs of CIC users will be well served, regardless of which CIC institution is being called upon to address those needs. The CIC is also an appropriate agency for interacting with emerging library storage initiatives taking root in other parts of the country, most of which are developing along regional lines but with a commitment to information sharing and coordination nationally. Ultimately, we expect the CIC preserved print content to be an important asset for scholarship worldwide, and our approach to developing and managing collaborative repository

services to become a model for others seeking to build infrastructure to support cost effective and secure print retention.

PROJECT GOALS

The CIC Library Directors have charged CIC staff to develop a planning framework for the long-term stewardship of redundant print holdings across participating CIC libraries. The archiving program developed by the CIC should accomplish the following goals:

- 1) Aggregate, secure and preserve the rich print resources developed by our libraries over the past two centuries.
- 2) Ensure that CIC scholars and students have timely access to these archived resources.
- 3) Realize the economies of scale made possible through collective action that will allow CIC libraries to apply best practices for storing, preserving, servicing, and reflecting print holdings well into the future.
- 4) Help our campuses reclaim local resources, including space, funds, and staff time by relieving them of the obligation to store lesser-used redundant materials.
- 5) Integrate CIC libraries into an emerging national network of collectively managed research library resources.

PROJECT PRINCIPLES AND OPERATING ASSUMPTIONS

In developing an archiving program that realizes these goals, the CIC Library Directors affirm the following assumptions and principles that underlie this collective action:

- A. Representing the resources of the nation's premier higher education and library consortium, the CIC Shared Print Repository will emerge and endure as one of several trusted print repositories that support worldwide scholarship going forward.
 - CIC legacy print collections, with both a heavy representation of core scholarly works and unique or scarcely held content, is a foundation for future scholarship on CIC campuses, and will be an important resource for worldwide scholarship as print holdings become less accessible over time.
 - The CIC libraries have an obligation to assure the highest levels of service to our own researchers, as well as to support those in the Midwest region who depend on our careful stewardship of scholarly resources.
 - The policies and procedures of the CIC Shared Print Repository should position the project to interact with other regional scholarly archives that will form the basis of a national infrastructure for print archiving in support of scholarship.
- B. The CIC seeks to retain a print copy of all titles/volumes currently held by one or more member libraries for as long as needed to support the research and instructional needs of our universities.
 - For the foreseeable future, our libraries are committed to sustaining these collections regionally. Beyond the foreseeable future, they are committed to ensuring that to the extent that print copies of our scholarly legacy support the ongoing work of our universities, the CIC libraries will collaborate regionally and nationally to assure continued access to print.
 - Long-term stewardship commitments to the Repository collection-- or portions thereof-- are most likely to endure if the collections being hosted achieve a degree of critical mass, are marked—directly and/or in metadata—as belonging to the CIC collective archive, are held in closed stacks under the control of library access services staff, and are contractually managed on behalf of the CIC libraries.

- With combined holdings of over 84 million volumes (including a substantial number of unique titles), the CIC is among of the world's largest library consortia, so its archiving commitments will be an important part of any national/international strategy to steward an optimal number of print copies.
 - Back-up provisions need to be in place to service the Repository collection if the initial or subsequent contractual agreements expire and cannot be renewed. Repository host sites are entering these contractual agreements with the capability to house, and service these collections for as long as they and their peers recognize the value of sustaining such a program.
- C. Assembling, validating, preserving and servicing complete runs of print journal backfiles are a long-term value to our libraries and users.
- Incomplete holdings and inaccurate records are characteristic of individual library holdings nationally. As collective strategies for print management come to the fore, our campuses are prepared to invest in the best possible representation of their holdings. Upgrading holdings data in conjunction with Google digitization, HathiTrust ingest, and the CIC Shared Print Repository is a necessary investment for long-term management of both print and digital CIC centralized collections.
 - Validation will generally be carried out at the volume level, the rigor of the process dependent to some extent on the known replication of the content nationally. Content already secured and validated in other regional storage will sometimes receive lighter review than content uniquely ingested by the CIC.
 - A Tech Services working group should be enlisted to develop standards for full and brief bibliographic records that could be a) helpful to lead users to needed content; b) helpful to library staff to disambiguate possible duplicate holdings; and c) adequate for representing Repository holdings in OCLC and other national databases.
 - The CIC Shared Print Repository should be established as an OCLC location code so as expedite access and analysis as that archival collection grows across distributed physical locations.
- D. While the early development of Repository holdings will focus on serial holdings, monographs will eventually be included in a CIC Shared Print Repository program. Selection/retention guidelines for monographs will differ from those developed for the journal archive, in part reflecting the nature of the content involved and the differing needs of the user communities to be served (e.g., Reference works, Government Documents, Area Studies material).
- The CIC is working with colleagues nationally on a grant-funded initiative to develop guidelines and strategies for making the review of monographs practical. This work includes analysis being carried out in the context of HathiTrust holdings.
 - Print manifestations of U.S. government documents are being retained by the several CIC Regional libraries, thus freeing Selectives to make decisions about print retention based on local needs and priorities. Service agreements for this material should be codified in the context of an overall CIC Shared Print Repository MOU.
 - Superseded reference works, including print A&I resources and bibliographies/library catalogs should be addressed as part of a storage initiative, likely treated in a manner similar to journals.

- Area Studies (vernacular language collections) are probably best held in those libraries—and on those campuses—that have a commitment to particular regional collections and the expertise to service them in the future.
- E. User access strategies should be developed for all materials held in the CIC Shared Print Repository—including both digital surrogates and access to the original print volumes. Access considerations should extend to CIC university obligations to support regional libraries and readers that depend on our deep historic collections.
- While timely provision of Repository resources is a central goal of this initiative, some balance needs to be maintained between unfettered user access—from CIC campuses or beyond—and our interest in protecting the integrity of reasonably complete CIC holdings.
 - Generally speaking, secure digital access should be a trigger for evaluating the suitability of adding particular print titles in the CIC Shared Print Repository.
 - Fax or digital distribution services should be established at host sites for stored CIC collections to eliminate the need to ship and return print content, thus minimizing the risks of damage or loss.
 - A project governance body will need to develop access policies to address issues such as:
 - Can a host site for a body of material provide less restrictive access for their own campus users than would be accorded any other CIC users?
 - Could bodies of material be sent to a partnering campus for extended periods to facilitate certain research needs?
 - Would non-CIC borrowers be asked to pay for access?
- F. All CIC archived content should be stored under environmental conditions that will maximize the useable lifespan of the materials.
- These standards for environmental control are well established, but asserting them would presently limit the number of CIC libraries that could participate as host sites for CIC Shared Print Repository collections.
 - Preservation/conservation treatments such as repair, boxing, vacuuming, deacidification, closed containers, etc. add cost to storage and print management operations. Policies should be developed to determine when conservation treatments should be applied, ensuring that they are a budgeted expense within the proposed financial framework.
- G. The CIC Shared Print Repository is subject to the collective governance of the participating CIC Libraries as represented by their Library Directors. Fees will be paid to contracting host libraries to manage the collections under terms specified by the CIC Shared Print Repository Governing Board.
- Items deposited in the Repository would become part of the shared collection and will be administered collectively. Neither the source institution for contributed content, nor the storage host site, would have a greater claims to recall or control the deposited content than would any other participating CIC library.
 - The Governing Board will develop a fees and credits system to assess each participating library's annual charge.
 - CIC Shared Print Repository holdings can be counted in lieu of local retention toward each partnering library's reported ARL volume holdings.

PROPOSED STORAGE STRATEGY

In determining the best strategy for developing a shared print archive of CIC library holdings, the Library Directors have weighed issues of long-term security of the content, user access, cost, and operational efficiency. The extent and diversity of CIC holdings suggest that no single approach will work for all types of content, all physical conditions of holdings, all types of user communities that depend on this content, and the needs and exigencies of the individual CIC Libraries participating in the program. Ultimately, the CIC seeks to pursue a phased hybrid strategy that in the initial stages seeks to aggregate and concentrate material in one or several sites, while developing system strategies that will support more broadly dispersed retention and service for other bodies of material, including the ability to tap into non-CIC print archives for material not secured by the CIC. While work on these several fronts is being pursued, we propose to move forward on the aggregation and archiving of core serial runs (journals, periodicals, reference resources and large monographic series) in one or several contracting host sites, beginning with Indiana University, that are prepared to manage CIC Shared Print Repository resources in accord with the above principles.

PHASE I DEVELOPMENT

For the initial phase of CIC shared storage planning, the Directors agree to contract with Indiana University to build a core collection of 250,000-300,000 volumes over a period of five years, to be retained and serviced for at least twenty-five years. The CIC Shared Print Repository collection will be housed at the Indiana's Auxiliary Library Facility (ALF) for a contractually supported period of twenty-five years, with extensions to be collectively decided by the governance group under terms specified in a "Host Site MOU." Through participation with several CIC governance and working groups, Indiana will work with CIC colleagues to develop standards, policies, and procedures that will both inform IU's operations and give shape to this shared initiative going forward. IU brings to the table a brand new, state-of-the-art book storage facility with total space for 1.5 million volumes; a successful track record for managing a contiguous facility holding 2.5 million volumes; an experienced and well-managed staff working in well-designed space for processing materials into the ALF collection; and campus administrative leadership committed to providing these services to CIC partners.

To effectively manage project costs, IU is prepared to accept CIC collective governance over some IU content already secured in ALF I, work with a CIC collections leadership group to identify other IU resources that might be moved from library stacks into ALF II, and, finally, to receive and ingest content from other CIC partnering libraries. Each of these sources for content will result in different costs, the mix determining the overall cost to secure the targeted number of volumes over a three to five year period. While these costings are estimated below, we expect that much will be learned in this IU pilot phase that will guide the future development of the project. As costs become clearer, it might be that the CIC seeks to contract with other libraries with available space that can also cost-effectively manage these resources, or it may be that the Library Directors continue to invest in IU ingest because they are in a better position than others to deliver cost-effective services.

The Phase I content to be secured by IU on behalf of the CIC will be guided by a Collections Working Group, but is likely to include backfile serial holdings for Elsevier (~80,000 vols.), Springer (~35,000 vols.), and Wiley/Blackwell (~22,500 vols.) and other large and identifiable bodies of STM serial content held many times over across CIC libraries. JSTOR holdings (~85,000 vols.) and ProQuest

periodicals archive (~15,000 vols.) are under consideration, the former receiving particular scrutiny since it has already been secured in other national storage programs.

COSTS

Some cost elements for shared storage are better understood than others. IU and other CIC libraries have very detailed information on the costs of storing their own materials, and some tentative cost estimates are available from other regions also in the early stages of developing shared print storage operations (e.g., the WEST group and the Washington Research Library Network). While estimates from elsewhere are useful, they have somewhat limited applicability because of different space and building costs from one region to the next, differing operational assumptions, different content being managed and different user communities being served. In addition, each of these developing projects—like the CIC— expects to learn more about actual costs in the early years of operation so that future fees for partnering libraries will more closely align with actual project operating costs. While there is an unfortunate degree of uncertainty about costs going into these programs, the Directors are encouraged to recognize that local management of redundant print volumes also involves a considerable degree of uncertain cost, and everyone concedes that collective management of these resources will result in long-term savings to research libraries.

Years 1-5

Cost categories to secure 250,00 volumes over five years at the Indiana University ALF:

Ingest

1) 100,000 vols. already in ALF@ \$.50 to report and update records	\$50,000
2) 50,000 transferred from IU stacks to ALF @ \$1.00 per volume to barcode, validate, and report	\$50,000
3) 100,000 received from other CIC institutions @ \$2.00 per volume to receive, validate, reassign barcodes, update records, and report	<u>\$200,000</u>
Total	\$300,000

Space and service

Estimate .50 per vol. per year for five-year agreement (50,000x5+50,000x4+50,000x3+50,000x2+50,000x1=750,000 x \$.50)	\$375,000
--	-----------

Supplies

Boxes, barcodes, etc. @ \$10,000 per year	\$50,000
---	----------

Packing and Shipping

Reimbursements to source libraries for transferring an estimated 100,000 vols.	\$25,000
--	----------

Systems development

Analysis and coordination estimated at \$50,000 per year dispersed across participating CIC libraries	\$250,000
---	-----------

Public relations and outreach (\$25,000)

- Dispersed across CIC at estimated \$5,000 per year	\$25,000
--	----------

Governance and project management (\$75,000)

Support for meetings and other estimated costs of coordination @\$15,000 per year	\$75,000
---	----------

Years 6-25

Once 250,000 items are ingested into the CIC collection, and routines are established for disclosure and service, the costs of storage are expected to be far less than during the first five years of active ingest and system development. IU estimates that the costs for maintaining a low-use CIC Repository Collection, along with other IU materials in the ALF, to be \$.10 per volume/per year

Annual maintenance and service costs for 250,000 items

\$ 25,000

Over twenty years, this would bring some \$500,000 to IU, in addition to an estimated payment of \$750,000 to IU for space and services during the initial five-year ingest phase of the project.

PARTNERING FEES

These cost estimates based on IU's and CIC's projections will almost certainly be updated upward and downward as the project proceeds. These estimates have built in a margin of error for higher than expected costs, but there are many unknowns about the actual use of stored material, the quality of library records, the completeness and condition of CIC runs, and the complexity of systems required to provide convenient user access to holdings. In the final analysis, IU is taking a risk that their costs will be covered by these projections, and the CIC libraries are assuming a risk that potentially ballooning costs won't render their early investments as misguided. If costs are lower than projected, then the CIC will work with IU to secure additional volumes within the five-year time frame, or reduce the fee charged to libraries as directed by the project Governing Board.

The overall projected cost to secure 250,000 volumes over five years is \$1,100,000.

- **Assuming 9-10 partnering libraries, CIC would invoice \$25,000 each per year**
- **Assuming 6-8 partnering libraries, CIC would invoice \$35,000 each per year**

The ongoing costs for shelf-space, insurance, utilities and service for a collection of 250,000 volumes is \$25,000 annually or \$500,000 over twenty years.

- **Assuming 9-10 partnering libraries, the CIC would invoice \$2,500 each per year**
- **Assuming 6-8 partnering libraries, the CIC would invoice \$3,000 each per year**

Adhering to the fee schedule proposed above, a CIC partnering library that commits to supporting the development and maintenance of a collection of 250,000 journal backfile volumes would pay in a total of \$175,000 over a twenty-five year period. That works out to an average cost of \$7,000 per year, or a little less than 3¢ per volume/per partner/per year. Additional costs will be incurred if the Directors of partnering libraries (the Governing Board) propose to extend the project to cover more than the 250,000 volumes projected in this proposal, whether those additional volumes are held at Indiana University or another library Host Site in the CIC.

PROJECT GOVERNANCE (see Appendix B)

The CIC Directors will be asked to give specific shape to the governance bodies needed to manage the CIC Shared Print Repository initiative. At this juncture, pertinent governing bodies include:

A CIC Shared Print Repository Governing Board comprised of the Directors of CIC partnering libraries. This Board will approve policies, membership fees, system development, service strategies, and the overall direction of the initiative.

A CIC Shared Print Repository Steering Committee to be comprised of a subset of the partnering Library Directors, and the chairs of the various working groups as invited by the Directors

(Currently Johnson (IU), Diedrichs (OSU), Kaufman (UIUC), Bobay (IU), Charboneau (IU), Walters (IU), Sandler and Armstrong (CIC—*ex officio*).

A Collections Working Group charged by the Steering Committee and comprised of representative CDOs, Preservation Officers, ILL librarians, public services librarians, and access services librarians (Currently Bobay, Chair (IU), Shreeves (Iowa), Teper (UIUC), McNeil (Purdue), Skib (U-M), Straley (OSU), and Hufford (IU).

A Technical Services Working Group charged by the Steering Committee and drawn from AULs for Technical Services, Library and Information Technology Directors, catalogers, staff from HathiTrust, and preservation librarians (Currently Charboneau, Chair (IU), Kanter, (Purdue), Roeder (Iowa) and Boomgaarden (OSU).

A Public Services Working Group chaired by the Steering Committee and comprised of AULs for Public Services, access services librarians, and P.R./Communications directors. [Currently Walters, Chair (IU), Walter (UIUC), and McNeil (Purdue).

In addition to these governing bodies, the project will be guided by an explicit Memorandum of Understanding, expanded from the draft MOU attached as Appendix A and executed by each of the participating CIC member universities.

APPENDIX D: SHARED PRINT REPOSITORY HOST SITE MOU

CIC SHARED PRINT REPOSITORY MOU JUNE 2011

CIC Center for Library Initiatives Memorandum of Understanding for a CIC Shared Print Repository

Statement of Purpose:

The Library Directors of the Committee on Institutional Cooperation (CIC) are committed to effective stewardship of library and university resources. That commitment extends to effective use of library space, maintaining convenient user access to scholarly works, and to assuring the long-term preservation of legacy print collections. The following MOU among CIC libraries is intended to support a sustainable program for the retention and servicing of the appropriate number of print copies required to meet the research and instructional needs of our universities. These goals will be achieved through the development of CIC SHARED PRINT REPOSITORY (REPOSITORY), collectively owned, governed and maintained by PARTICIPATING CIC LIBRARIES.

By executing this Memorandum of Understanding (MOU), PARTICIPATING CIC LIBRARIES are making a commitment to each other--and conveying to their campus communities--that they will support long-term retention of CIC legacy print resources, and that specified best-practices will be adhered to in managing and providing ongoing access to these resources. Indiana University has committed to develop the initial print collection in conjunction with the PARTICIPATING CIC LIBRARIES. As the storage initiative progresses, it is anticipated that print holdings from CIC libraries will be ingested and managed by several different institutional HOST SITES. The terms of these hosting arrangements will be 1) specified in separate contractual agreements with the CIC; 2) unanimously endorsed by the Governing Board; and 3) reflective of the principles and practices codified herein.

The <name of institution> commits to join the CIC SHARED PRINT REPOSITORY, a collaborative effort of the Committee on Institutional Cooperation and PARTICIPATING CIC LIBRARIES to support the effective management of print assets held by CIC Universities. The <name of institution> will join the REPOSITORY initiative as a FOUNDING PARTNER, and support the principles, policies and procedures proposed herein.

1. Governance

The CIC SHARED PRINT REPOSITORY will be guided by a GOVERNING BOARD composed of the Library Directors of PARTICIPATING CIC LIBRARIES and the Director of the Center for Library Initiatives (*ex officio*). This BOARD will administer the overall directions of the project, including approving policies, budgets, membership fees, standards, system development, and service strategies.

The GOVERNING BOARD will appoint a CIC SHARED PRINT REPOSITORY STEERING COMMITTEE, drawn from a subset of Library Directors from PARTICIPATING CIC LIBRARIES (including at least one Director from a HOST SITE), the Director or Deputy Director of the CIC Center for Library Initiatives, and the chairs of various working groups. The Steering Committee will maintain oversight responsibility for selection of material, development of operational

processes, disbursement of funds, and program evaluation. The terms of appointment and succession for members of the STEERING COMMITTEE, and the scope of the COMMITTEE'S remit, will be specified by the GOVERNING BOARD. The STEERING COMMITTEE, in turn, may appoint and oversee functional WORKING GROUPS (e.g., Collections, Technical Services, Public Services) as needed to accomplish the project's goals.

2. Administration

The Committee on Institutional Cooperation, in conjunction with the University of Illinois acting as its fiscal agent, will provide administrative support for the initiative in the form of:

- Executing and monitoring agreements with HOST SITES
- Managing project finances, including billing PARTICIPATING CIC LIBRARIES and dispensing project funds to meet obligations to HOST SITES, vendors and other service providers
- Supporting communication about the project and interacting with other regional and national storage initiatives
- Assisting the GOVERNING BOARD and STEERING COMMITTEE with project assessment, data gathering, and facilitating communication among the various governance and working groups
- Arranging and/or hosting project related meetings

3. Duration/Withdrawal/Termination

This MOU among PARTICIPATING CIC LIBRARIES and the CIC shall be in effect for five (5) years from the date of first execution, and will be subject to renewal in five (5) year increments beyond this initial MOU with the written consent of each PARTICIPATING CIC LIBRARY.

A PARTICIPATING CIC LIBRARY considering withdrawal from the program at the end of a five-year term should provide notice to the GOVERNING BOARD twelve (12) months prior to the expiration of this or subsequent MOUs. CIC SHARED PRINT REPOSITORY materials deposited by a withdrawing library cannot be removed from the shared collection without the unanimous consent of the GOVERNING BOARD. A PARTICIPATING LIBRARY that withdraws from the program will have continued access to its own and other materials deposited during its term of participation. Fees and terms governing access to REPOSITORY materials by a withdrawing library will be determined by the GOVERNING BOARD.

The CIC SHARED PRINT REPOSITORY collaboration, and this MOU, can terminate at any time that all PARTICIPATING CIC LIBRARIES agree mutually to terminate the program. The Governing Board at the time of termination will develop a dissolution strategy that fulfills all contractual obligations (e.g., HOST SITES, vendors, the CIC, other library storage partners, etc.), and supports continued access to the stored resources in a manner that reasonably satisfies the needs of CIC libraries and users.

4. Ownership

DEPOSITING LIBRARIES will retain ownership of materials designated for the CIC SHARED PRINT REPOSITORY, but will cede ongoing administrative control of the content to the one or more HOST SITE(S) storing materials on its behalf.

DEPOSITING LIBRARIES will carry out volume level validation of materials being prepared for transfer, including updating the bibliographic record if needed, and providing accurate holdings records. The transfer of records to a HOST SITE will be carried out under protocols approved by the STEERING COMMITTEE. Preparation of materials and records for transfer will not be a

reimbursed expense under the REPOSITORY program, but shipping costs can be submitted for reimbursement.

Libraries that withdraw volumes because a shared copy is already on deposit may continue to count ownership of that material for statistical and accreditation purposes, unless specifically precluded by an accrediting body.

5. Fees and Financial Obligations

Participating CIC libraries agree to provide financial support to the REPOSITORY as specified in a financial plan approved by the CIC SHARED PRINT REPOSITORY GOVERNING BOARD. Signatories are committing to provide funding for the full five-year term of this MOU.

All participating libraries will share the costs of shipping, ingest and ongoing storage in a formula to be approved by the GOVERNING BOARD. Onetime costs include: shipping and handling, ingest routines and validation. Ongoing costs include: depreciation, insurance, and other operational and service costs that accrue to the HOST SITE(S). Each PARTICIPATING CIC LIBRARY is responsible for an equal share of the costs and expenses incurred at a HOST SITE related to: the selection of materials for shared print storage; representing holdings in appropriate catalogs or discovery tools; providing metadata as needed by the host facility; and the shipping costs to transfer materials from a contributing library to the HOST SITE.

CIC LIBRARIES joining the project after the first year of operation (NON-FOUNDING PARTNERS), will be assessed all fees and charges that accrued to FOUNDING PARTNERS dating back to the initial year of the project.

CIC libraries that are not participating in the SHARED PRINT REPOSITORY program, or member libraries that have withdrawn from participation or allowed their participation to expire, may request to borrow material from the REPOSITORY for a fee, and under terms and procedures determined by the GOVERNING BOARD.

Partnership fees for the five-year TERM of this Agreement will be recommended by the STEERING COMMITTEE and approved by unanimous consent of the GOVERNING BOARD. An initial financial plan for the project is incorporated as APPENDIX 1, and can be modified as circumstances require by a majority vote of the GOVERNING BOARD, provided that contractual commitments to HOSTING LIBRARIES, vendors and contractors are honored. Following the first year of the project, the annual partnership fee will be reviewed and approved in MAY of each year to determine payments for the subsequent project fiscal year commencing in July 2011.

A PARTICIPATING CIC LIBRARY facing exceptional fiscal exigencies should bring that to the attention of the GOVERNING BOARD as far in advance as possible of a missed or reduced payment. The GOVERNING BOARD, working with the Library Director and Provost of an institution in default, should review and pursue options for sustaining participation in the archiving program.

6. Eligible Materials

Eligible materials will be designated or approved by a WORKING GROUP of CIC collection development specialists working under the direction of the GOVERNING BOARD and/or STEERING COMMITTEE. While the initial phases of the project will focus upon aggregating and securing journal backfiles, reference materials and monographs will likely be included as the project develops over time.

No print serial volumes will be duplicated in the CIC SHARED PRINT REPOSITORY program without the explicit consent of the STEERING COMMITTEE acting on behalf of the GOVERNING BOARD.

7. Service

Materials designated for the CIC SHARED PRINT REPOSITORY will be made available to users at the request of PARTICIPATING CIC LIBRARIES, and will be delivered to designated offices of the requesting library (e.g., ILL, Circulation, Reference). As appropriate, requests for articles or volumes should be made through traditional ILL channels. Fulfillment of requests will most commonly involve delivery of a scanned digital surrogate, unless it is specified that the user requires access to the original print copy of an article or work. Unless otherwise agreed to by the HOST LIBRARY and the STEERING COMMITTEE, REPOSITORY materials will be made available to readers for onsite reading at the borrowing library. Borrowing libraries will assume responsibility for any losses of content in shipping or circulation, and will work with the HOST SITE to expedite replacement.

PARTICIPATING CIC LIBRARIES will provide a list of library units, campus libraries, or branch campuses to be covered by this Agreement. Non-contiguous branch or system libraries can request materials through the central PARTICIPATING CIC LIBRARY, provided that they agree to restrict circulation to on-site use, and the central CIC Library agrees to assume responsibility for loss or damage to REPOSITORY materials as stipulated in the above paragraph.

8. Host Site Obligations

Each CIC SHARED PRINT REPOSITORY HOST SITE will execute an agreement with the CIC that specifies required conditions, procedures and services to be in compliance with the expectations of PARTICIPATING CIC LIBRARIES as addressed herein. These HOSTING AGREEMENTS might vary one from another to take account of the nature of the material being stored, the nature of the facilities being used, the term of the commitment, the partnering libraries being served, or the evolving needs and expectations of PARTICIPATING CIC LIBRARIES over time. In general, however, the HOSTING AGREEMENTS will reinforce the following expectations for institutions providing these archiving services:

- a) HOST SITES agree to house CIC SHARED PRINT REPOSITORY materials in an environmentally controlled, insured, and secured facility.
- b) HOST SITES for REPOSITORY holdings commit to retention and stewardship of deposited materials for an initial period of twenty-five years, assuming that one or more PARTICIPATING CIC LIBRARIES can provide adequate support to defray the costs of retention. Under exceptional circumstances, a HOST SITE can petition the GOVERNING BOARD for permission to discard or transfer holdings.
- c) HOST SITES will validate REPOSITORY serial holdings at the volume level for completeness, and will develop routines for attempting to fill gaps-- or replace noticeably incomplete, damaged or otherwise compromised items-- from PARTICIPATING CIC LIBRARIES or other sources as efficient operations permit. For content ingested from other source libraries, HOST SITES will perform secondary validation to ensure that the content received matches updated and supplied holding records, and will likewise attempt to fill-in gaps or replace incomplete or seriously damaged volumes.
- d) While volume level validation is recommended for the broadly distributed journal backfiles being addressed in the initial phases of this project (Sect. 8c above), the STEERING COMMITTEE (with input from the WORKING GROUP on Collections) might recommend or mandate more vigilant review and validation protocols for some other

categories of content likely to be treated in the future, provided that the added costs for this level of review are accommodated in the project budget.

- e) All content stored on behalf of the CIC will be represented by standard bibliographic records, and all physical volumes will be represented by an item record.
- f) HOST SITES will carry out standard preservation review, and treatments will be applied at ingest to maximize the shelf-life of stored content and avoid any contamination of proximate resources.
- g) HOST SITES will develop routines to disclose REPOSITORY holdings to PARTICIPATING CIC LIBRARIES and others within or beyond the CIC who might benefit from knowing what content has been secured.
- h) HOST SITES will assure that duplicate serial volumes are not ingested unless explicitly directed to do so by the GOVERNING BOARD, or the STEERING COMMITTEE acting on behalf of the GOVERNING BOARD.
- i) HOST SITES will develop the capability to make print content—or suitable surrogates--available to constituents of PARTICIPATING CIC LIBRARIES in accord with policies and principles developed by the STEERING COMMITTEE and/or GOVERNING BOARD.

9. Assessment

PARTICIPATING CIC LIBRARIES, with administrative direction provided by the STEERING COMMITTEE, will review the SHARED PRINT REPOSITORY initiative in the fourth year of the project, and then every five years subsequent to that to monitor the ongoing value and efficacy of the program to member libraries.

10. Amendment

This MOU may be amended at any time by a two-thirds vote of the GOVERNING BOARD, provided that such amendments are consistent with the obligations the PARTICIPATING LIBRARIES, CIC, and the University of Illinois (as fiscal agent) have incurred as a result of this MOU.

11. No Partnership or Agency

This MOU is not intended, and shall not be deemed, to create a partnership or otherwise authorize joint action for any purpose except as specified herein. No party shall act as agent or representative of any other party except as authorized in accordance with this MOU.

The terms of this MOU are agreed to as confirmed by the signatures below:

Library Director/University Librarian

Date

University Signature Authority

Title

Barbara Allen, CIC Director

Date

**MEMORANDUM OF UNDERSTANDING
FOR PROVISION OF SHARED PRINT REPOSITORY HOST SITE SERVICES

BETWEEN THE TRUSTEES OF INDIANA UNIVERSITY
AND THE COMMITTEE ON INSTITUTIONAL COOPERATION**

STATEMENT OF PURPOSE:

Certain member institutions of the Committee on Institutional Cooperation (CIC) have executed a separate Memorandum of Understanding to develop a CIC SHARED PRINT REPOSITORY (REPOSITORY). That separate agreement (the CIC SPR MOU as shown in Addendum A) provides for developing a sustainable program for the retention and servicing of the appropriate number of print copies of library materials that are required to meet the research and instructional needs of CIC members. PARTICIPATING CIC LIBRARIES have committed to support long-term retention of CIC legacy print resources, and to adhere to specified best-practices in managing and providing ongoing access to these resources which will be collectively owned, governed and maintained by PARTICIPATING CIC LIBRARIES.

The REPOSITORY relies on services to be provided by one or more PARTICIPATING CIC LIBRARIES which serve as HOST SITES for CIC Shared Print Repository materials (the MATERIALS) under the terms and conditions specified herein.

I. PARTIES TO THE AGREEMENT

This Agreement (HOSTING AGREEMENT) is between the Committee on Institutional Cooperation (CIC) and The Trustees of Indiana University, on behalf of Indiana University Bloomington (IUB) serving as a HOST SITE for print library content to be made accessible as needed to PARTICIPATING CIC LIBRARIES. The GOVERNING BOARD and STEERING COMMITTEE as defined in the CIC SPR MOU provide overall strategic and operational guidance for this REPOSITORY.

HOST SITE acknowledges that CIC may enter into HOSTING AGREEMENTS with other parties, and that any such HOSTING AGREEMENTS may vary one from another to take account of the nature of the material being stored, the nature of the facilities being used, the term of the commitment, the partnering libraries being served, and the evolving needs and expectations of PARTICIPATING CIC LIBRARIES over time.

II. TERM, RENEWAL, TERMINATION

- a. The HOSTING AGREEMENT shall be in effect for five (5) years from the date of first execution, and will be subject to renewal in five (5) year increments subsequent to the initial term with the written consent of both parties.
- b. Either party may terminate this agreement with a 365-day prior written notification that includes the reasons for said termination and the effective date of termination. Upon such termination, the parties shall negotiate an appropriate disposition of any property and collections still on deposit at the HOST SITE.

III. HOST SITE OBLIGATIONS

- a. HOST SITE agrees to assume responsibility for archiving the print materials identified in Addendum B: COLLECTIONS on behalf of the REPOSITORY.

- b. HOST SITE agrees that any MATERIALS provided to it by a different PARTICIPATING CIC LIBRARY shall remain the property of that library.
- c. HOST SITE agrees to house MATERIALS in an environmentally controlled, insured, and secured facility as described in Addendum C: HOST SITE FACILITY.
- d. HOST SITE agrees to provide a letter from the controlling campus officer that describes the nature and extent of insurance coverage for MATERIALS stored on behalf of the CIC: Addendum D.
- e. The parties intend that, barring unforeseen circumstances, HOST SITE will retain, manage, and safeguard MATERIALS for at least twenty-five (25) years, or so long as one or more PARTICIPATING CIC LIBRARIES provide adequate financial support to defray the costs of retention. Under exceptional circumstances, HOST SITE may petition the GOVERNING BOARD for permission to discard or transfer holdings from the MATERIALS. Nothing in this subsection shall be construed to limit the rights of termination provided in Section II.b. above.
- f. HOST SITE executed the CIC SPR MOU and shall pay any fees required as a PARTICIPATING CIC LIBRARY, in recognition of the overall benefit received from the REPOSITORY initiative, and the likelihood that additional CIC Library HOST SITES will be contracted with in the future.

IV. HOST SITE SERVICES

- a. Validation
 - 1. HOST SITE will validate its existing serial holdings that correspond to MATERIALS at the volume level for completeness, and will develop routines for attempting to fill gaps-- or replace noticeably incomplete, damaged or otherwise compromised items-- from PARTICIPATING CIC LIBRARIES or other sources as efficient operations permit.
 - 2. For content ingested from other source libraries, HOST SITE will perform secondary validation to ensure that the content received matches updated and supplied holding records, and will likewise attempt to fill-in gaps or replace incomplete or seriously damaged volumes.
 - 3. HOST SITE will assure that duplicate serial volumes are not ingested unless explicitly directed to do so by the GOVERNING BOARD, or the STEERING COMMITTEE acting on behalf of the GOVERNING BOARD.
- b. Preservation

HOST SITE will carry out standard preservation review, and treatments will be applied at ingest to maximize the shelf-life of stored content and avoid any contamination of proximate resources.
- c. Bibliographic control and disclosure
 - 1. All content stored on behalf of the CIC REPOSITORY will be represented by standard bibliographic records, and all physical volumes will be represented by an item record.

2. HOST SITE will develop procedures to timely disclose REPOSITORY holdings to PARTICIPATING CIC LIBRARIES and others within or beyond the CIC who might benefit from knowing what content has been secured, as directed by the GOVERNING BOARD or STEERING COMMITTEE.
- d. Access and delivery
1. HOST SITE will support requests for MATERIALS in a manner consistent with existing CIC Reciprocal Library Borrowing policies.
 2. HOST SITE will provide the capability to make print content—or suitable surrogates-- available to constituents of PARTICIPATING CIC LIBRARIES in accord with applicable law, and policies and principles developed by the STEERING COMMITTEE and/or GOVERNING BOARD.

V. PARTICIPATING CIC LIBRARIES OBLIGATIONS AND SERVICES

- a. PARTICIPATING CIC LIBRARIES that deposit MATERIALS at the HOST SITE under the REPOSITORY program will be known as DEPOSITING LIBRARIES.
- b. The activities of DEPOSITING LIBRARIES to identify, prepare and ship materials to the HOST SITE will be coordinated by CIC Staff.
- c. Preparing Materials for Deposit
HOST SITE agrees to accept MATERIALS for the REPOSITORY provided that DEPOSITING LIBRARIES process the MATERIALS as described herein and in Addendum E : Host Site Deposit Requirements:
 1. Review MATERIALS being transferred at the volume level, to validate for completeness and acceptable physical condition.
 2. Update the bibliographic record and holdings records in the local catalog if needed to reflect holdings accurately.
 3. Provide accurate bibliographic and holdings records to the HOST SITE, according to a protocol approved by the STEERING COMMITTEE.
 4. HOST SITE reserves the right to reject the deposit of any item that will not fit on one of the shelf sizes, carries any type of risk to the preservation of existing collections, or presents other risks or problems related to its physical condition.
- d. Removing Materials from the HOST SITE
 1. HOST SITE accepts MATERIALS from DEPOSITING LIBRARIES with the understanding that the parties intend such items are considered to be permanent deposits, subject to the terms outlined in this MOU.
 2. HOST SITE reserves the right to assess a reasonable per-item or bulk de-accessioning fee if it becomes necessary to remove individual items from the FACILITY.
 3. If the physical condition of a deposited item decays to the point where it places nearby collections or the collection preservation environment at risk, it will be removed from the FACILITY and either returned to DEPOSITING LIBRARY, or discarded onsite with written permission from the DEPOSITING LIBRARY. A standard per-item de-accessioning fee will be assessed, and paid with project fees contributed by CIC PARTICIPATING LIBRARIES and managed by the CIC.

4. Large-scale depositor-requested removal projects, including complete withdrawal of all collections, from the FACILITY must be scheduled in advance, as the time needed to complete the project will have to be worked into the operational workflow and the fees for the complete withdrawal of deposited materials will be based on the estimated size of the collection and the labor needed to remove the items from the FACILITY.

VI. FEES

- a. During the initial term of this agreement, CIC agrees to compensate HOST SITE for services actually provided and for the fees specified in Addendum F: HOST SITE FEES.
- b. At the end of the initial and any renewal terms, CIC and HOST SITE will review new accession, annual storage and de-accession fees and adjust to reflect current labor and supply costs, to be incorporated by mutual agreement in a revised Addendum F : HOST SITE FEES. The CIC and HOST SITE may review and adjust fees prior to the end of the initial and any renewal term in the event that labor and supply costs or other relevant costs to HOST SITE increase by more than ten percent (10%).
- c. In the event of termination of the REPOSITORY program under the CIC SPR MOU or net reduction of PARTICIPATING CIC LIBRARIES, CIC and HOST SITE agree to review and potentially modify the plan and budget for services and fees.

VII. ADDENDA

Modifications may be made to this agreement only through written agreement by the parties' authorized representatives.

VIII. GOVERNING LAW, CONSTRUCTION AND VENUE

This Agreement shall be governed by and construed under the laws of the State of Indiana.

IX. NOTICES

Any notice to either party must be in writing, signed by the party giving it, and served to the addresses indicated on the Signature page (or to such other addressee as may be later designated by written notice) by personal delivery, recognized overnight courier service, or by the United States mail, first-class, certified or registered, postage prepaid, return receipt requested. All such notices shall be effective when received, but no later than three (3) days after mailing.

The terms of this MOU are agreed to as confirmed by the signatures below:

Library Director/University Librarian

Date

Associate Vice President and University Treasurer

Date

Barbara Allen, CIC Director

Date

ADDENDUM A
General (Non-Host Site) MOU

[See Appendix A.]

ADDENDUM B
Collections

The CIC Collections Working Group will identify serial publications for the CIC SPR. Criteria for selection include print titles that are widely-held across the CIC, that are broadly available and adequately preserved in electronic format, and that library patrons prefer to use in electronic format. This content will include Science, Technology and Medical journals, and could include other journals as well as serial publications such as reference materials.

ADDENDUM C
Host Site Facility

Ruth Lilly Auxiliary Library Facility, Indiana University Bloomington Libraries
Opened in 2002, The Ruth Lilly Auxiliary Library Facility (ALF) is a high-density shelving facility that provides a climate controlled environment to house up to five million books, manuscripts, reels of film, and archival materials. The collections are housed in a constant 50-degree, 30-percent humidity environment designed to extend the lifetime of print materials by 200-300 years. Materials are delivered to 18 library locations on campus and a scanning service offers electronic delivery of materials.

The facility also includes the state-of-the-art E. Lingle Craig Preservation Laboratory where damaged books and manuscripts can be repaired in workshop spaces that mix hand crafts with computer technology. It includes an automated box-making machine that stamps out made-to-measure cardboard boxes for protecting fragile materials.

The Auxiliary Library Facility and its contents are insured for all risks at replacement value.

ADDENDUM D
Insurance



INDIANA UNIVERSITY

OFFICE OF INSURANCE,
LOSS CONTROL & CLAIMS

June 20, 2012

CIC

To whom it may concern:

Materials stored at our Auxiliary Library Facility are covered by insurance for all risks of physical loss at replacement cost valuation. This includes the property of others.

Please contact me if you have questions.

Sincerely

A handwritten signature in black ink, appearing to read "Larry V. Stephens".

Larry V. Stephens
Director

ADDENDUM E

Host Site Deposit Requirements

Depositing Libraries Responsibilities:

Depositing libraries are responsible for pre-shipping preservation work, performing issue level completeness review, and providing extracts from their local catalogs of MARC records with embedded item level information. Specific details regarding record and file delivery format requirements and specifications and shipping will be shared with partners at a later date.

- Prior to shipping materials, depositing libraries are responsible for performing a completeness review of items selected for deposit at the issue level.
- In general, incomplete bibliographic volumes should not be contributed to the repository.
- Any preservation work on these materials must be performed prior to shipping materials for deposit.
- For items deposited at Indiana University, units must be bound or boxed.
- Each depositing library must be able to provide bibliographic and holdings metadata to the receiving library in the format specified by that institution. As this initiative expands to include multiple shared facilities across the CIC, it is anticipated that different formatting requirements will need to be developed by each receiving institution based on their local system requirements.
- The bibliographic and holdings files provided by each institution will: 1.) act as a manifest for physical content being sent to the depositing institution; 2.) provide bibliographic and individual item record content for the purpose of loading into the receiving library's local online catalog as part of the storage ingest process; and: 3.) serve to set holdings within OCLC WorldCat for the CIC's "centralized" print archive.

ADDENDUM F

Host Site Fees

Host Site: Indiana University, Bloomington

Period Covered: July 1, 2011 – June 30, 2016

Cost categories to secure 250,00 volumes over five years at the Indiana University ALF:

Ingest

1) 100,000 vols. already in ALF @ \$.50 to report and update records	\$50,000
2) 50,000 transferred from IU stacks to ALF @ \$1.00 per volume to barcode, validate, and report	\$50,000
3) 100,000 received from other CIC institutions @ \$2.00 per volume to receive, validate, reassign barcodes, update records, and report	<u>\$200,000</u>
Total	\$300,000

(continues)

Space and service

Estimate .50 per vol. per year for five-year agreement

(50,000x5+50,000x4+50,000x3+50,000x2+50,000x1=750,000 x \$.50) \$375,000

Supplies

Boxes, barcodes, etc. @ \$10,000 per year \$50,000

Total Space, Service and Supplies \$425,000

Period Covered: July 1, 2014 — June 30, 2034 (subject to renewal)

Projected fees to maintain and service 250,000 volumes at the Indiana University ALF

\$25,000 per year or \$500,000 for a period of twenty (20) years.

APPENDIX E: RELATED PUBLIC PRESENTATIONS AND PUBLISHED WORKS

SPR website: <http://www.cic.net/projects/library/shared-print-repository/introduction>

Armstrong, Kim. "The CIC Shared Print Repository: Data Challenges for Consortial Programs." Presented at Collective Insight: Driven by Shared Data (May 31, 2013: Northwestern University, Evanston, IL). https://www.youtube.com/watch?v=Yk7yc_O-Oys

Crist, Rebecca. "The Widening Gyre: Shared Print Retention Programs' Extended Resource-Sharing Networks." Poster presented at ACRL (March 27, 2015: Portland, OR). <http://bit.ly/1Dy1xgL>

Crist, Rebecca. 2015. "Creating a Regional Print Serial Program." In *Shared Collections: Collaborative Stewardship* (Dawn Hale and Lizanne Payne, eds.). ALCTS Monographs (Chicago: ALA), forthcoming.

Crist, Rebecca, and Emily Stambaugh, *Shared Print Programs: SPEC Kit 345* (Washington, DC: Association of Research Libraries, 2014).

Crist, Rebecca, and Sherri Michaels. "Shared Print on the Move: Collocating Collections." Proceedings of the Charleston Library Conference. Presented at the Charleston Library Conference (November XX, 2013: Charleston, SC). Proceedings: <http://dx.doi.org/10.5703/1288284315252>

Mark Sandler, "Planning Assumptions and Implementing Strategies for Co-operative Print Storage Initiatives," *Insights* 25, no. 3 (2012): 282-87, doi: 10.1629/2048-7754.25.3.282.

Sandler, Mark, Kim Armstrong, Julianne Bobay, Mecheal Charbonneau, Brenda L. Johnson, and Carolyn Walters, "CIC Co-Investment to Protect Print Research Library Collections in the Midwestern United States," *Collection Management* 37, no. 3-4 (2012): 237-59

Johnson, Brenda. "Planning for the CIC Shared Storage Repository." Presented at the 158th ARL Membership Meeting (May 2011: Montreal, QB). <http://www.arl.org/storage/documents/publications/mm11sp-johnson.pdf>

Press Releases and Intra-University Communications:

Indiana University. "Library partners launch shared digital repository." September 3, 2009. <http://newsinfo.iu.edu/news/page/normal/8729.html&title=Library%20partners%20launch%20shared%20digital%20repository>

University of Illinois. "Duplicate Journal Volumes Removal." February 6, 2014. <http://www.library.illinois.edu/news/SPR.html>

University of Wisconsin. "Print Journal Management." N.d. <http://www.library.wisc.edu/collections/library-collections/managing/print-journal-management/>

CIC, OCLC Mega-Regions

Diedrichs, Carol Pitts. "From the Director—Research Study with OCLC: Shared Storage for Journal Content." January 14, 2013 <http://library.osu.edu/blogs/director/2013/01/14/from-the-director-january-14-2013-research-study-with-oclc/>

Diedrichs, Carol Pitts. "What Comes Next?" Closing plenary, OCLC/CIC/OSU Regional Print Symposium. Presented March 28, 2014: Dublin, OH.
www.oclc.org/content/dam/research/events/2014/diedrichs-print-management-2014.pptx

Diedrichs, Carol Pitts. "Managing the Future: Remembering the Printed Page: Collection Management and Print Repositories." Presented to the Indiana Library Federation (November 17, 2014: Indianapolis, IN).
http://c.ymcdn.com/sites/www.ilfonline.org/resource/resmgr/2014_Conference_Presentations/Managing_the_future.pdf