



Business Case— Last Copies—Canadian Overlap Study

Draft-April 2015



Library and Archives
Canada

Bibliothèque et Archives
Canada

Canada

Table of Contents

- 1. Executive Summary..... 3
 - 1.1. Issue4
 - 1.2. Anticipated Outcomes4
 - 1.3. Recommendation5
 - 1.4. Justification5
- 2. Business Case Analysis Team 6
- 3. Problem Definition 6
 - 3.1. Problem Statement6
 - 3.2. Organizational Impact6
- 4. Overview of the National Overlap Study Project 7
 - 4.1. Project Description7
 - 4.2. Objectives.....8
 - 4.3. Project Performance9
 - 4.4. Project Assumptions.....10
 - 4.5. Project Constraints10
 - 4.6. Major Project Milestones11
- 5. Strategic Alignment 11
- 6. Cost Benefit Analysis 11
 - 6.1 Funding Options12
- 7. Alternatives Analysis..... 12
- 8. Approvals..... 12

1. Executive Summary

Libraries across Canada hold significant collections, including print and electronic resources. The extent and nature of the collections required to support each library's activities could be expected to be unique to some degree, because of the specific nature of each library. However, there is a great likelihood of duplication of resources.

Library and Archives Canada (LAC), in collaboration with libraries across Canada, is working on the Last Copies Initiative and would like to undertake a Canadian overlap study to have a better understanding of the extent of Canada's print collection.

Last Copies (LC) are publications that have received this designation by a member of a network to ensure their continued physical availability. The aim is that members of a network can rationalize and reduce duplication of holdings through collective agreement on which institutions take responsibility for which publications.

The Permanent Conservation of Print Collections Working Group of the Canadian Association of Research Libraries (CARL) produced a report in 2011 with recommendations around best practices concerning preservation of print research collections. The report, *The Permanent Conservation of Print Collections in Canada*, called on CARL members to explore ways of inaugurating Last Copies collaborations.

Discussions were launched on this subject during the LAC Stakeholders Forum in Ottawa in May 2011 and a key goal identified was to develop a framework for collaboration on Last Copies. Under the Pan-Canadian Documentary Heritage Network, an Analogue Collaboration Working Group was formed and subsequently developed a framework for Last Copies collaboration.

The following principles are a foundation for developing a pan-Canadian collaborative Last Copies network. Under these principles, finalized February 29, 2012, a participating library will:

1. Communicate its willingness to hold Last Copies of documentary heritage
2. Communicate to other participating institutions the documentary heritage they hold as Last Copies
3. Undertake to hold Last Copies in an appropriate preservation environment
4. Undertake to give reasonable access to Last Copies
5. Agree not to dispose of Last Copies without reasonable notice to other participating institutions
6. Undertake, if proceeding to dispose of Last Copies, to accommodate its transfer to another institution.

On May 13, 2013, LAC's Management Board endorsed the six Last Copies principles and communicated its commitment to Last Copies with the following statement: "LAC will manage the print portion of nationally significant published heritage acquired under its mandate in accordance with the six Last Copies principles developed by the Analogue

Collaboration Working Group of the Pan-Canadian Documentary Heritage Network.” It was also recommended to consider alignment with Last Copies in future LAC policy development, and to advance collaboration in Canada by playing a leadership role in a pan-Canadian Last Copies initiative.

Most recently, LAC hosted a meeting on Last Copies on May 28, 2014 with 17 participants from 11 organizations, including the University of Toronto (U of T), Council of Prairie and Pacific University Libraries (COPPUL), Ontario Council of University Libraries (OCUL), Council of Atlantic University Libraries (CAUL), McGill University, Bureau de coopération interuniversitaire (BCI), University of British Columbia (UBC), BC Electronic Library Network (BC ELN), Canadian Library Association (CLA) and NovaNet.

Participants are working towards a national strategy that incorporates regionally coordinated projects and the option of a Canadian overlap study seems to be the most beneficial to everyone.

The overlap study will provide an overall snapshot of the extent of collection duplication and an indication of future investigations which might refine our knowledge about Canadian library holdings. This could assist decision making in a range of areas.

1.1. Issue

Libraries across Canada are increasingly developing partnerships and consortia to reduce redundancy in their collections, thus decreasing the physical space requirements and making space available for other purposes. Also, they may opt to deselect material deemed to be widely available in digital format or that seems to have diminishing relevance for Canadians. However, the advantage of recovering physical space in facilities, may be counter-balanced by the risk that no single institution within the library community maintains Last Copies of certain Canadian analogue holdings.

These libraries do not have the infrastructure or tools to execute a national initiative on Last Copies without LAC’s contribution.

Libraries will likely communicate the last copies they hold via a shared National Union Catalogue (NUC). LAC’s decisions on AMICUS/NUC will impact Last Copies collaboration initiative.

1.2. Anticipated Outcomes

It is desirable to have a national collection analysis, such as an overlap study across Canadian libraries to enable the library community to identify multiple copies of identical holdings at numerous libraries across Canada and to identify the Last Copies of published material in Canada. Although regional overlap studies are desirable, they will not provide the fullest picture of where uniqueness or redundancy exists within Canada’s library system. Nor will they necessarily include the range of library types responsible for stewardship of our cultural and scholarly record.

1.3. Recommendation

Participants concurred with the need to mobilize communities and work collaboratively with the library community on a collection analysis/overlap study.

The first step will be to clearly define the technical and content parameters of the study using a phased approach to enable practical implementation. Phase 1 will encompass the library members of the Canadian Association of Research Libraries (CARL), along with a number of libraries such as Bibliothèque et Archives nationales du Québec (BANQ) (covering Montréal), Toronto Public Library, Vancouver Public Library, Ottawa Public Library and Calgary Public Library as options to cover major urban centres. Phase 2 will encompass smaller libraries to address regional content.

Service providers for such work include OCLC which recently acquired Sustainable Collection Services, a company which some participants have used before. A request for proposal for such service might be required depending on cost estimates. Also, LAC is in negotiation with OCLC and is hoping to include an option to conduct the overlap study in their contract.

Apart from the overlap study, participants will need to determine how to register Last Copies in a standard fashion, across multiple libraries, and in the appropriate systems (National Union Catalogue/WorldCat). They will also need to decide how many copies need to be preserved given supply and demand, and the compatibility of metadata for digital and print collections. A number of possibilities to address these issues exist in other shared print jurisdictions and can inform a made-in-Canada approach.

1.4. Justification

LAC and the library community are lacking important information about published material across Canada, such as the number of titles per library and the amount of duplication and unique copies. Because a national global picture of collection holdings is non-existent, proceeding with an overlap study would increase and enrich information available to libraries on the holdings of print copies and enable them to make decisions and take actions.

Without the overlap study, individual libraries and consortia, in their quest to reduce redundancy will contribute to an increased risk of inadvertent loss of important Canadian print materials. The overlap study would synchronize existing and emerging efforts undertaken at the regional and national levels to preserve Last Copies and create efficiencies of scale through shared inquiry. It is likely that local retention decisions would be different than those made with knowledge of the nations's complete holdings.

This initiative will support preservation decision making by libraries and consortia by promoting the exchange of information on Last Copies and will optimize the management of critical knowledge resources in print form.

2. Business Case Analysis Team

The following individuals are responsible for the analysis and creation of the Last Copies—Canadian Overlap Study business case.

Role	Description	Name/Title
Executive Sponsor	Provide executive support for the project	Director General, Stewardship Branch, LAC
Project Manager	Manages the business case and Project Working Group	Senior Project Officer, LAC
Project Working Group	Discuss and validate the National Overlap Study Project	Executive Director, OCUL Associate Chief Librarian for Collections and Materials Management, University of Toronto Associate Dean Collection Services, McGill University Library Administrative Librarian, University of British Columbia, representing COPPUL

Please note that the business case will be discussed and validated with libraries participating in the Overlap Study Working Group.

3. Problem Definition

3.1. Problem Statement

Some overlap study initiatives are emerging at the regional level to provide libraries with aggregate data for reduction of duplicate titles. Although a national cooperative effort is now taking place, the Canadian library community has not yet conducted an overlap study. Having no information about the number of titles, duplication, and unique titles, the library community is limited in the management of their print resources and cannot make informed preservation decisions.

There is no existing list that demonstrates the extent of Canadian holdings and there is a need to understand and increase knowledge of print collections.

3.2. Organizational Impact

The overlap study will increase knowledge and understanding of the rich and diverse corpus of print material in Canada.

The study will enable libraries to optimize the management of their collections as they will be aware of the duplication as well as the uniqueness of their holdings. Should they decide not to keep a publication, mechanisms will be developed to offer those print holdings to other libraries within the community. Conversely, should they decide to identify a publication as

the Last Copies and preserve it to perpetuity, it will be a decision based on clear data and detailed information.

4. Overview of the National Overlap Study Project

4.1. Project Description

The Canadian overlap study will consist of first extracting the datasets of the collection databases of participant libraries. Some cleanup work will be required to standardize the datasets as different databases have been used such as AMICUS, union catalogs, NUC, OCLC/WorldCat. Also, OCLC control numbers will need to be attributed to items that don't already have one. The analysis of the data will include comparison of datasets, number of duplicate bibliographic records (monograph and serial), total number of holdings per library, total number of holdings per peer group, and total of titles by publication period.

Because of the scale of the project, a two-phased approach is recommended.

Phase 1

This phase will proceed with Canadian research libraries and major public libraries covering over 85% of library material in Canada. It is estimated to take at least 6 months.

- **CARL Libraries (31 institutions)**
 - **National Members**
 - LAC
 - CISTI
 - **Western Members**
 - Alberta | UBC | Calgary | Manitoba | Regina | Saskatchewan | SFU | Victoria
 - **Ontario Members**
 - Brock | Carleton | McMaster | Guelph | Ottawa | Queen's | Ryerson | Toronto | Waterloo | Western | Windsor | York
 - **Quebec Members**
 - Concordia | Laval | McGill | Montreal | UQÀM | Sherbrooke
 - **Atlantic Members**
 - Dalhousie | Memorial | UNB
- **Public Libraries**
 - BANQ
 - Toronto Public Library
 - Vancouver Public Library
 - Ottawa Public Library
 - Calgary Public Library

Phase 2

This phase includes other academic and public libraries that will have had time to update their records. This will address regional content and should cover the remaining 15% of library material in Canada.

Although the focus of this initiative is the long-term preservation of Last Copies, the overlap study could also provide information about circulation, though at an additional cost. Some libraries may be interested in usage information, as a means of identifying surplus holdings in their region, and an appropriate costing method will need to be developed.

4.2. Objectives

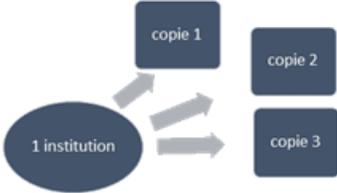
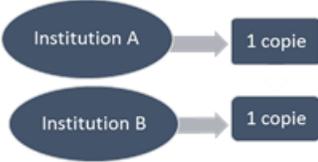
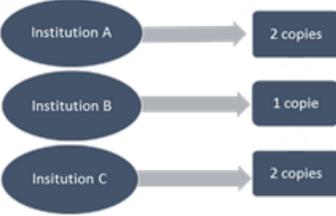
The objective of the Canadian overlap study is the preservation of Last Copies of print material in Canada by engaging the library community and enabling them to see the extent of print holdings in Canadian libraries.

To ensure that an optimal number of Last Copies is preserved, the overlap study lead by a nationally coordinated effort will provide key information and enable the library community to set guidelines such as:

- registering Last Copies in a standard fashion across multiple libraries, and in the appropriate systems (NUC, WorldCat)
- identifying the number of copies that need to be preserved considering supply and demand
- ensuring compatibility of metadata for digital and print holdings and
- identifying items for digitization.

4.3. Project Performance

The following table lists the key resources, processes, or services and their anticipated business outcomes in measuring the performance of the project. These performance measures will be quantified and further defined in the detailed project plan.

Indicators	
<p>SINGLE COPY—One copy only held by one participating institution.</p>	
<p>MULTIPLE COPIES I—More than one copy held by one participating institution.</p>	
<p>MULTIPLE COPIES II—One copy only held by a number of participating institutions.</p>	
<p>MULTIPLE COPIES III—One or more copies held by a number of participating institutions. (possibility of being more granular)</p>	

4.4. Project Assumptions

The following assumptions apply to the National Overlap Study Project. As project planning begins and more assumptions are identified, they will be added.

- The study will identify the extent of Canada's print collection.
- All libraries listed in phase 1 will choose to participate.
- Resources to complete the overlap study will be available and in place.
- Once the overlap study is completed, the results will be available and communicated to the library community within 12 months.
- Following the results of the overlap study, participant libraries will respect the six obligations agreed upon in 2012:
 - Communicate a willingness to hold Last Copies of documentary heritage
 - Communicate to other participating institutions the documentary heritage they hold as Last Copies
 - Undertake to hold Last Copies in an appropriate preservation environment
 - Undertake to give reasonable access to Last Copies
 - Agree not to dispose of Last Copies without reasonable notice to other participating institutions
 - Undertake, if proceeding to dispose of Last Copies, to accommodate transfer to another institution

4.5. Project Constraints

The primary constraints that have been identified are:

- Difficulty comparing records due to the various databases used by each library and the variant practices for disclosing holdings.
- Language challenges in matching records. A similar study was made a few years ago by McGill University and they highlight the challenge of comparing French and English records. Also, municipal libraries may have material in many different languages.
- Scale of the project. Phase 1 of the project involves over 35 libraries across Canada.
- Ability of a library to provide suitable storage conditions to hold a copy in perpetuity.
- Smaller libraries need to be considered for the local and unique content they hold.

4.6. Major Project Milestones

The following are the major project milestones identified at this time. As the project planning moves forward and the schedule is developed, the milestones and their target completion dates will be adjusted and finalized to establish the baseline schedule.

Milestones/Deliverables	Target Date
Business case shared with library community and approved	End of April 2015
Funding obtained	June 2015
Project Charter approved and procurement tools in place	September 2015
Collection analysis (overlap study) started	October 2015
Phase I completed	March 2016
Phase II completed	May 2016
Closeout/share results of study	June 2016

5. Strategic Alignment

The National Overlap Study Project is in direct support of Library and Archives Canada's strategic plans. By directly supporting these strategic plans, this project will improve collaboration within the library community.

Plan	Goals/Objectives	Relationship to Project
AMICUS Renewal	Ensure Canada's continuing memory reflects Canadian society and is available to current and future generations.	Renewing LAC's database system will enable LAC and the library community to generate a clear data set of Canada's holdings, which will facilitate decision making on collection management and preservation of Last Copies.
Stakeholders Engagement	Adopt collaborative approaches with documentary heritage communities to carry out LAC's mandate.	By working with the library community on an analysis to have a better understanding of the extent of Canada's print collection.

6. Cost Benefit Analysis

Once the total number of Canadian holdings and physical locations have been revealed by the overlap study, every library in Canada will benefit from it. The participating libraries will be able to see how many of their holdings are also held by other libraries and also how much of their material is unique.

Libraries will have the information and tools to optimize management of publications and ensure the survival of critical heritage materials. Should they decide to identify publications as Last Copies in Canada, communication mechanisms/technology will be in place to share the information with the community. It will facilitate decision making about the retention and management of other library's collections of duplicate publications. It will permit a greater reliance among libraries and consortia.

6.1 Funding Options

To be discussed and determined within the library community.

7. Alternatives Analysis

The following alternative options were considered to address the business problem but were not selected for a number of reasons which are also explained below.

No Project (Status Quo)	Reasons For Not Selecting Alternative
Not proceeding with the Canadian overlap study	<ul style="list-style-type: none">• No preservation approach for Last Copies of analogue holdings at the national level• Risk of the library community not maintaining Last Copies
Alternative Option	Reasons For Not Selecting Alternative
Each library runs its own overlap study or in consortia	<ul style="list-style-type: none">• These libraries do not have the infrastructure or tools to execute a national initiative on Last Copies without LAC's contribution• Participants evinced a readiness to work together to make available to Canadians a rich and diverse corpus of print material• Doesn't strengthen the national library network

8. Approvals

By signing below, you indicate that you

- have an understanding of the purpose and content of this document
- approve of the proposed project
- agree that the next steps may be taken to create a formal project in accordance with this business case.

Once approved, this document will be shared with the library community and feedback will be communicated to participating libraries.

Approver Name	Title	Signature	Date
Sylvain Bélanger	Director General, Stewardship Branch, LAC		