Collective Print Collections Overview
May 2019

This document was prepared to raise awareness and to share information gathered by members of the Canadian Collective Print Strategy Working Group about the rapidly evolving landscape of shared print, preservation, access, and digitization. Of note is the collection knowledge and level of participation of Canadian colleagues in existing print and digital preservation and related initiatives such as: HathiTrust, the Print Archives Network (PAN) coordinated by the Center for Research Libraries, @Risk North, the Partnership for Shared Book Collections, and OCLC and Sustainable Collection Services. This document was originally prepared as background for a working meeting of the Canadian Collective Print Strategy Working Group in February 2019, and then updated into an environmental scan to share beyond the Working Group[1].

Shared preservation initiatives are the focus of the document but, because shared preservation relies on shared metadata and resource sharing, and can result in collaborative collection building, brief information about these activities is also included. The landscape of shared print initiatives is rapidly evolving--this document provides a snapshot as of the time of writing.

CANADIAN INITIATIVES

There are a number of significant shared print programs in Canada at various stages of maturity. The work of the CCPSWG will involve drafting a framework to coordinate these efforts so that they all contribute to a national strategy for shared print preservation in Canada.

An understanding of the current landscape of library storage facilities in Canada is critical background for thinking about collective print strategy in Canada. It provides insight into the infrastructure available, and required in the future, for shared print collections stored in preservation-quality facilities. The CCPSWG conducted a survey of library storage facilities in 2019. The results and report on this survey are available at [insert URL].

Library & Archives Canada - Last Copy Project
On May 13, 2013, the Management Board of Library and Archives Canada (LAC) endorsed the six Last Copy principles and communicated its commitment to Last Copy with the following statement:

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[1] Adapted from the June 2018 Keep@Downsview Backgrounder written by Heather McMullen at Queens University.

"Library and Archives Canada will manage the print portion of nationally significant published heritage acquired under its mandate in accordance with the six last copy principles developed by the Analogue Collaboration Working Group of the Pan-Canadian Documentary Heritage Network."

The following principles are a foundation for developing a Canadian collaborative last copy network. Under these principles, a participating institution will:

1. Communicate its willingness to hold a last copy 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 copy, to accommodate its transfer to another institution.

This initiative was a collaboration of the Canadian library community. All related documents are provided in both English and French, and available on the Project Website.

BAnQ Bibliothèque et Archives nationales du Québec

Bibliothèque et Archives nationales du Québec ensures that two copies of printed documents published in Québec are received through legal deposit. BAnQ also acquires publications related to Quebec, i.e., those published outside Quebec but whose subject is Quebec or whose author is Quebecois. These documents are acquired and kept permanently. The books and periodicals number 3,000,000 documents.

BAnQ also maintains a major "universal" collection that is intended to be loaned. This collection, available at the Grande Bibliothèque, is the largest collection of the City of Montreal's library network and of Québec public libraries. It comprises 1,900,000 books and periodicals. Like all public library collections, this collection is regularly weeded. At present, its development policy provides for the preservation of certain groups of publications such as a copy of titles in French, certain classics in languages other than French, certain printed serial publications, Government of Canada publications received under the Canadian Government depository program.

COPPUL Shared Print Archive Network

The Council of Prairie and Pacific Libraries' Shared Print Archive Network (SPAN) is a distributed retrospective print repository program. SPAN's main goals are to provide access to shared print archives, create opportunities for the reallocation of library space, and preserve the print record for its members in a cost-effective way. Rather than thinking about the project in terms of preserving the "last copy," this partnership emphasizes the role of the archived print as part of an optimal copy network that includes other print archiving initiatives.

The 20 participating COPPUL libraries have agreed to consolidate and validate print journal backfiles at major library storage facilities and selected campus locations. Selection of titles for inclusion in SPAN is made using a risk management framework: journals are categorized as Low-, Moderate-, or Higher-Risk based on their availability electronically, rarity, and relevance to the region (Western Canada).

The COPPUL Shared Print Archive Network Member Agreement (April 2012) outlines the governance of the initiative, as well as the contributions and responsibilities expected from each participating library. SPAN was established in 2012 and has archived material in 4 phases, including widely held serials, a small selection of print-only serials, and selected Statistics Canada publications. To date, SPAN participants have committed to retain 13,164 serial titles.

In November 2015, SPAN embarked on a monograph project in conjunction with Sustainable Collection Services (SCS) of OCLC. The intent of the project was to assess usage, duplication, and dispersion of holdings across participating libraries, to the fullest extent the collective data could support. There was strong interest in identifying and preserving scarcely-held materials within the group as well as in de-selecting some low-use, widely-held titles. COPPUL also designed its project to dovetail with the LAC's Last Copy initiative.

Libraries participating in SPAN Monographs Project #1: Simon Fraser University; Thompson Rivers University; University of Calgary; University of Lethbridge; University of Manitoba; University of Regina; University of Saskatchewan; University of Victoria; University of Winnipeg; Vancouver Island University.

Overall project goals:

- Provide participating libraries an opportunity to weed with minimal impact on user
- Identify unique or scarcely-held titles for retention and preservation
- Evolve a regional strategy for print book collections
- If possible, inform and influence ongoing collection development for print monographs in the region.

In-Scope materials included circulating print monographs (including circulating reference works), juvenile materials, government documents classed in LC or DDC, and music scores. Out-of-Scope materials included serials, special collections, government documents not classed in LC or DDC, reference books and other non-circulating items, e-books, microforms, audio-visual/media, lost or withdrawn items, maps and theses and dissertations.

The project focused first on shared retention scenarios, based on the data. Retention models were defined by the group, and treatment of those titles was decided collaboratively. Retention commitments were allocated according to parameters decided by the group, creating a print book 'safety net' across the group. In total In total, these institutions have committed to retain 1.3 million monographs.

Once retention commitments had been identified, individual libraries were free to act independently and according to local needs on other holdings. The Memorandum of Understanding governing this project, Version 1.0, was approved in April 2018.

Keep@Downsview

Keep@Downsview is a partnership of the University of Toronto, the University of Ottawa, Western University, McMaster University, and Queen's University to preserve the scholarly record in Ontario in a shared high-density storage and preservation facility located at the University of Toronto's Downsview Campus in North Toronto. Preserving and maintaining this valuable collection ensures that these resources will be available for generations to come. Keep@Downsview was funded, in part, through the Ministry of Training Colleges and Universities Productivity and Innovation Fund. Some capital and all operating costs are shared amongst the five universities. Details of the group's partnership are available in the Memorandum of Agreement, finalized May 2017, and on the partnership web page downsviewkeep.org francais: https://downsviewkeep.org/fr

TUG - TriUniversity Group

The TriUniversity Group of Libraries (TUG) is a unique example of administrative co-operation among the libraries of three Ontario universities: Guelph; Waterloo; Wilfrid Laurier University. Established in 1995, the partnership has operated the TUG Annex since 1996 which serves as a secure storage facility for low-use library materials, facilitating preservation and sharing of collections between the three universities.

The TUG libraries rapidly utilized the Annex storage space to the point where a second bay was constructed to provide additional capacity. Originally, each institution was left free to transfer and store any materials it saw fit without regard to the holdings of the other two libraries. The cost metric used by TUG was a 'pay as you go' approach, which allowed the space allocations for each library to grow organically on a needs basis. By 2006, the Annex had continued to be

filled at a substantial pace to the point where action was required. A one-year moratorium for transfers of new materials was put in place. Several working groups were constituted to undertake an extensive review and to provide the TUG Executive with recommendations that would prolong the facility's usable life. Out of this work, TUG libraries undertook their first collection management project that focused on identifying and removing duplicate copies of monographs from the Annex. In addition, in 2007 the TUG libraries created a Preservation of Last Copy Agreement that included two critical components: ensuring no duplicates were permitted to be transferred to the Annex going forward (applicable only to monographs and journals), and established a process to facilitate identification, preservation and withdrawal of last copies of print materials across the three libraries.

Additional collections management projects were developed following the policy frameworks established in 2006-2007 in the years following, including a JSTOR last print copy project and another monograph de-duplication project (called the 'PMMP' project) that identified low-use, older duplicates across the TUG system (including the Annex) to draw down to a single copy to serve the TUG libraries' needs. The TUG Executive reviewed the possibility and feasibility for expansion to the Annex on several occasions (in light of current/emerging trends across the libraries and OCUL), but opted to maintain the current facility as is. A final full allocation of the remaining Annex storage capacity was made in 2016-17, with Guelph occupying 38%, Waterloo occupying 45% of space and Wilfrid Laurier occupying 17% of space. By 2017-2018, the Annex facility was at approximately 96% capacity (1.25M volumes equivalent on a total capacity of 1.3M volumes).

As of July 2018, the administrative group decided that the TUG Last Copy Policy will be phased out by December 2022 (unless superseded by an OCUL Collaborative Futures shared print network). During the period until December 2022, previous Last Copy Policy retention commitments will only apply to items that are already marked as "TUG last copy." Each TUG member will continue to manage their own space in the Annex. Participating libraries undertaking any major weeding projects during this time will generate and distribute a withdrawal list for the other two libraries to review within a reasonable time frame.

@Risk North Summit (November 2017)
Inspired by the @Risk Summit organized by the Center for Research Libraries (CRL) in 2016, CARL hosted a similar event in Canada along with the University of Toronto, LAC and CRL. As follow-up, CARL drafted terms of reference for the Canadian Collective Print Strategy working group including membership from CARL, LAC, and regional university library representation. At this summit, the potential for shared digital preservation was also highlighted.
Report from @Risk North Summit

@Risk North Summit 2 (November 2018)
In collaboration with CRKN, LAC, and BAnQ, CARL hosted @Risk North 2 to address digital collections and digital preservation. Participants heard preliminary results of a national survey on the current state and future needs in digital preservation in Canada. A variety of presentations highlighted several national, regional and local initiatives.
[Report from @Risk North 2 Summit](#)

HathiTrust Shared Print Program/Canadian Participants in HathiTrust
HathiTrust (HT) is a large-scale online repository of items digitized from the Google Books project, Internet Archive, and local research library partners.

A few years ago HT embarked on a Shared Print Project to solicit and coordinate print retention commitments from HT members for these collections and a willingness to lend them to partners if requested. The goal of the Shared Print Project is "to ensure preservation of print and digital collections by linking the two, to reduce overall costs of collection management for HathiTrust members, and to catalyze national/continental collective management of collections". This project reports at CRL's PAN meeting. As of May 2019, the following Canadian libraries have joined the HathiTrust Shared Print Project: UBC, Alberta, McGill, and Toronto.

Below is a list of current Canadian HT members and year of joining.

2011	2012	2013	2018	2019
UBC	McGill, Calgary	Alberta	U of T, McMaster	Queen's, U Ottawa

Canadian participation in HathiTrust led to specific discussions between actual and potential members on June 4, 2018. The main benefits articulated by Canadian members are access to a large digital corpus of materials, the ability to request materials that are accessible to students with disabilities, cooperation with other research libraries on print/digital retention, and participation in a community of experts.

In the fall of 2018, McGill, Toronto, and UAlberta all hosted a HathiTrust training day. At these events, HT staff helped members become more familiar with the digital humanities tools and features offered.   Colleagues from nearby universities were invited to attend.

In early 2019, discussions between Joseph Hafner of McGill University and HT led to an agreement to look more closely at the Canadian government publications already preserved within HathiTrust. HT will seek advice from a Canadian copyright expert.

Canadian Linked Data Initiative (CLDI)
Formed in the summer of 2015 the CLDI leveraged an existing collaboration between the Technical Services departments of Canada's U5 libraries and expanded that to include Library and Archives Canada and Bibliothèque et Archives nationales du Québec. The overarching goal of the partnership is to work together to provide a path to linked data readiness for each institution, and leadership for the adoption of linked data by libraries across Canada. Outcomes of the group include: the translation into French of Zepheria's information sheets; a SSHRC sponsored Summit in October 2016; the creation of a linked data digital project linking Canadian theses written at UBC, UAlberta, Toronto, UdeM, and McGill; participation in LD4P working meetings and Casalini Libri's SHARE-VDE platform testing; joint meeting with the Canadian GLAM community; and a cooperatively developed teaching module for library staff on linked data basics. Since 2015, members from Concordia, Memorial, the Canadian Heritage Information Network (CHIN), and Laurentian have joined the effort.

Canadian Research Knowledge Network (CRKN) Trusted Digital Repository Task Group
Reporting to CRKN's Content Strategy Committee, the Trusted Digital Repository Task Group examined the potential for OCUL's Scholar's Portal e-journal archive to become a national repository for CRKN members across Canada. When the vision for this repository is implemented, Scholar's Portal will become a national repository for content licensed through CRKN. This initiative received approval from members at CRKN's AGM in October 2018. Discussions with OCUL, Scholar's Portal, and the University of Toronto are ongoing, to arrive at a suitable agreement and begin implementation.

RECENT EXTERNAL DEVELOPMENTS
Recent developments in the shared print stewardship landscape have emphasized the importance of linking print and digital preservation efforts together, and planning holistically for preservation, access, digitization, and enhanced delivery services. In this section we include portraits of a few of the many international initiatives in this field. These are but a sample of the many models in use by shared print initiatives around the world. We have selected those that illustrate a range of models, including a central repository managed by the national library,

shared storage managed by a consortium, and loosely coordinated collaboration between regional initiatives.

<u>Partnership for Shared Book Collections</u>
In April 2018, the Eastern Academic Scholars' Trust (EAST), sponsored by the Andrew W. Mellon Foundation, invited participants to attend a Shared Print Monographs Summit in Boston. Participants were invited from the current shared print monograph programs in North America and leaders in scholarly communications, print preservation and digitization, to discuss the possibility of creating a shared print monograph network across North America. Caitlin Tillman (UToronto) and Doug Brigham (UBC/COPPUL) were invited to represent shared print projects in Canada. EAST's motivation in organizing the summit was a belief that "we are at a transitional moment in shared print programs and have an opportunity to seize on this moment to envision a broader national perspective." The goal of the event was to "bring together key stakeholders from shared print programs to look at how best to work together to ensure a robust future for shared print." The summit resulted in the formation of six working groups: Standards, Risk Research, Open Data, Retentions/Resource Sharing, Organizational Structure, and Communications. More information is available at: https://sites.google.com/a/blc.org/summit/.

Summit attendees reconvened in Boston in December 2018 to review the reports of the working groups and to make decisions about how to proceed. Attendees agreed that a federated organizational model, rather than a centralized one, would be most suitable. Attendees also agreed that six working groups and a steering committee would work though 2019 to put the new organization on its feet. [Detailed notes](#) are available on the Summit's website.

In January 2019, a new organization, the [Partnership for Shared Book Collections](#), was announced. This organization evolved from the two Shared Print Summits. Both COPPUL and Keep@Downsview are members of the Partnership. Working groups have been formed to "focus on governance, membership, services, and the business model for the federation as well as a Steering Committee to provide oversight."

The goal is to complete this necessary groundwork in 2019. We are glad to see that the membership includes consortia and libraries from across North America. A number of Canadian libraries have already joined and others are encouraged to do so.

<u>Center for Research Libraries (CRL)</u>

For many decades CRL has functioned as a shared print service for its member libraries, housing a single copy of low-use material in its Chicago facility on behalf of member institutions. In the past ten years, CRL has also stepped into an important coordinating role as a platform for sharing information between print archiving programs.

CRL also hosts the Print Archives and Preservation Registry (PAPR) to support archiving and management of serials collections by providing comprehensive information about titles, holdings, and the terms and conditions of archiving of the major print archiving and shared print programs. PAPR uses current disclosure standards developed by the community, and is available at http://papr.crl.edu

PAPR includes:

- an overview of the collective North American effort to preserve print serials
- a directory of print archiving programs
- a searchable database of print serial holdings committed to print archiving and shared print programs
- downloadable reports of titles and holdings for participating print archiving programs
- the display of title and holdings information from participating print archiving programs
- Statistics about PAPR holdings

Following the CRL @Risk: Stewardship, Due Diligence and the Future of Print summit in April 2016, CRL introduced a new Agenda for Shared Print 2017-2026 to transform itself from "a single repository to a network of trusted partner repositories." This ten-year plan will rely heavily on distributed responsibility for shared print (serials), synergies with digital equivalents, and relationships with regional repositories such as Keep@Downsview. CRL provides coordinated leadership in this space and is responsible for overseeing the Print Archive Network (PAN), an active group of shared print repositories in North America that meets bi-annually at ALA. A key theme from CRL is a "curatorial approach to print sharing."

"Holes in the Print Safety Net" (http://www.crl.edu/blogs/holes-print-safety-net) draws awareness to the importance of common definitions and expectations regarding comprehensive and accurate corpuses. Canadian programs could help the situation with the holes in the JSTOR print archive that are described in this article.

OCLC
OCLC is an active player in shared print management with four areas of focus: data analysis (through the fee-based Sustainable Collection Services), retention commitments, validation, and shared print registration service (available with a full cataloguing subscription). It will be

important to monitor OCLC developments in de-facto standards for retention and validation statements in bibliographic records, and OCLC's work with HathiTrust for metadata.

OCLC provides a batch-uploading mechanism for recording an institution's shared monograph commitments. Institutions upload files of OCLC numbers for which they wish to record commitments plus the details of those commitments (name of program, expiry date, etc.). OCLC processes the files and updates the bibliographic records with +583 fields with the commitment information. They also make the updated MARC records available for re-loading in local systems. More information is available from OCLC:

- Shared Print Management Overview: https://www.oclc.org/en/services/shared-print-management.html
- Frequently asked questions: https://www.oclc.org/en/services/shared-print-management/questions.html
- Dec 2018 webinar with COPPUL (streaming): https://oclc.webex.com/oclc/ldr.php?RCID=bfea9e8bec490ee4851adf68946da28f
- Dec 2018 webinar with COPPUL (download): https://oclc.webex.com/oclc/lsr.php?RCID=32cb2040788d87f1ab463d970621f074

OCLC is working with CRL, using Mellon grant funding, to "enhance the underlying infrastructure of the OCLC WorldCat database and CRL's Print Archives Preservation Registry (PAPR) to accommodate and make accessible actionable data for shared print serials management." See the press release from June 2018: www.oclc.org/en/news/releases/2018/20180624-oclc-awarded-mellon-foundation-grant.html.

There was a one day session in November 2018 in connection with the Charleston Conference at which attendees were to discuss some of the requirements of the work funded by the Mellon grant. COPPUL was invited but was unable to attend. In late January 2019, OCLC announced the formation of a Shared Print Advisory Group to bring together representatives from each of the existing shared print programs as they develop their new shared print registry. Importantly, the new registry will accommodate both serials and multipart monographs.

Rosemont Shared Print Alliance

The Rosemont Shared Print Alliance is a collaboration of regional programs interested in coordinating their efforts on a larger scale to ensure the retention of and access to print journal backfiles. Current participants include:

- [Big Ten Academic Alliance Shared Print Repository]() (CICBTAA-SPR)*
- [Eastern Academic Scholars' Trust]() (EAST)

- [Florida Academic Libraries Repository](#) (FLARE)*
- [Scholars Trust](#)*
- [Western Regional Storage Trust](#) (WEST)*

Rosemont was founded in 2015/16 when four* shared print journal programs in the US met to explore opportunities for collaboration. Representatives identified areas of greatest need for sustained group action. From these discussions emerged a shared vision, mission, initial strategic directions and a governance structure to guide the group's collective efforts to develop shared print journal collections in the United States. Collective initiatives are governed by an Executive Committee and an Operations Committee. Additional information is available at https://rosemontsharedprintalliance.org/

Scholars' Trust

Another significant coordinated multi-consortial initiative is Scholars' Trust, under which the Association of Southeastern Research Libraries ([ASERL](#)) and the Washington Research Library Consortium ([WRLC](#)) have signed an [agreement](#) to combine the contents of their respective print journal archives under a single retention and access agreement. Also participating in the program is the FLorida Academic REpository ([FLARE](#)), a statewide shared collection of low use print materials from academic libraries in Florida and the Triangle Research Libraries Network ([TRLN](#)), a collaborative shared print project with Duke University, North Carolina State University, and The University of North Carolina at Chapel Hill. The combined title list exceeds 14,000 journal titles and more than 300,000 volumes, making the Scholars Trust archive one of the largest print journal repositories in the US.

In addition, WRLC and ASERL libraries also agree to [extend reciprocal priority Inter-Library Loan (ILL) services](#) under this agreement.

Australia

CAVAL, a multi-purpose consortium of 11 Australian university libraries, has been operating shared storage for its members for more than 35 years. CAVAL operates the CARM (CAVAL Archival and Research Materials) Centre, a purpose built storage facility near Melbourne for its members and other organisations. Originally built in 1996, the centre was expanded in 2010 with the addition of a second building, the CARM2 facility. The expansion allows storage of up to three million volumes in a typical library configuration, or seven million volumes in a high-density configuration. CARM1 and CARM2 operate under slightly different agreements. CARM1 functions as a shared collection with ownership of deposited volumes transferred to CAVAL, whereas CARM2 operates as a shared storage facility, with each participating library

deciding independently what to deposit with no centrally governed collection policies, and ownership retained by the depositing library.

UK Research Reserve (UKRR)

The UKRR is operated by the British Library to preserve the nation's printed journal collections. The program strives to provide quick and easy access to stored materials for researchers, while helping libraries make cost-effective decisions. UKRR originated as a joint project between Higher Education Libraries, The British Library and the Higher Education Funding Council for England (HEFCE - now Research England). The project started in 2007 and ended in March 2019, saving an estimated 120km of shelf space within university libraries. Due to the success of the project, in 2019 the British Library committed to continuing the service as part of its mandate as the national library of the UK.

National Library of Finland 2016-2020 strategy

Through its three strategic goals (and related actions), networking between national, academic and public libraries, promoting preservation and digitzation, the National Library of Finland intends to achieve greater steps in offering open resources to the public and supporting research by 2020:

- Provide digital services which are extensively accessible to the public;
- Information resources and services support openness;
- Provide the necessary conditions for digital research and learning environments.

https://www.doria.fi/bitstream/handle/10024/131074/strategy_of_natlibfi_years_2016-2020.pdf?sequence=2