SHARED MONOGRAPHS PLANNING GROUP
REPORT
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FOREWORD

We are providing the following shortened version of the original document to provide UC's current thinking with regards to building a shared monograph program. UC is moving ahead with several of the recommendations included below.

The original report was an internal document and contained 10 appendices. Not all of the appendices have been reproduced here.

As you read this report, you will see the following acronyms:

ACGs	All Campus Groups
CAMCIG	Cataloging and Metadata Common Interest Group
CDC	Collection Development Committee
CDL	California Digital Library
JSC	Joint Steering Committee on Shared Collections
HOTS	Heads of Technical Services
HOPS	Heads of Public Services
NGTS	Next Generation Technical Services
NGM	Next Generation MELVYL
NRLF	Northern Regional Library Facility
RSC	Resource Sharing Committee
SRLF	Sourthern Regional Library Facility
SMPG	Shared Monograph Planning Group
SOPAG	Systemwide Operations & Planning Advisory Group
Tier 1, 2, 3	Indicates level of consortial agreement for licensing (Tier 1 - all UC's, Tier 2 - some UC's, Tier 3 – single campus)
WEST	Western Regional Storage Trust

INTRODUCTION

CDC Vision, Planning, Implementation

In Spring 2009, UC Libraries' Collection Development Committee (CDC) published ***The University of California Library Collection: Content for the 21st Century and Beyond*** which was then adopted by the University Librarians. We have condensed this document somewhat, believing that it can provide a consistent and persistent framework within which all shared collection programs – including the shared monograph program – properly exist. (see Appendix 5: Framework)

CDC convened the Shared Print Steering Task Force, and then the Shared Monograph Planning Group (SMPG) in keeping with the belief that

> *Developing a system-wide view of collections allows the Libraries to develop richer services, leverage resources to increase collection diversity, expose hidden resources, and take full advantage of library expertise on the individual campuses.*

The document goes on to say

> *Building and managing a world-class UC Library Collection is increasingly challenging in the digital environment and requires the integration of print and digital collections…*

In order to realize the vision in its 2009 document, CDC proceeded by first asking for planning scenarios to be discussed and vetted by CDC. CDC is prioritizing next steps, in close consultation with other groups who are working in related areas (e.g., Shared Print in Place, NGTS, etc.)

SMPG, therefore, was asked to plan: to discover and consider what issues arise when thinking about sharing monographs and to imagine scenarios that can build shared monograph agreements.We consulted with UC Bibliographer Groups and discovered that each question we asked bibliographers elicited responses regarding principles, practicality and obstacles (see Appendix 2: Summary of Feedback from UC Bibliographer Groups.)

Audience for this Report and its Format

We expect this report to be of interest to decision-makers and top level planners such as CDC, SOPAG, and the University Librarians. We also believe that it will be of interest to the UC Bibliographer Groups, and will have ramifications for HOTS, HOPS, and CDL. The report's content incorporated feedback from many UC bibliographers. In addition, the report was written with the understanding that other groups are addressing similar and related issues, the process for selecting the best ideas may be an iterative process, and implementation of any ideas must be coordinated with various system-wide stakeholders.Examples of important related projects and documents include:

- *The University of California Library Collection: Content for the 21st Century and Beyond*

http://libraries.universityofcalifornia.edu/cdc/uc_collection_concept_paper_endorsed_ULs_2009.08.13.pdf

- Canadiana Project. Listed under Humanities at
http://www.cdlib.org/services/collections/sharedprint/docs/CanadianLitPilotProposal_DistFinal.doc

- Springer E-Books Pilot
http://www.cdlib.org/services/collections/springerebooks/index.html

- *Guiding Principles for Collecting Books in Electronic Format, Report of the Collection Development Committee Task Force on E-books* 12 May 2008
http://libraries.universityofcalifornia.edu/cdc/taskforces/e-books_final_report.pdf

- *UC Print on Demand Working Group Findings & Recommendations,* (September 2009)

- *CDL Shared Print Steering Task Force Findings and Recommendations Report to CDC* (February 2010) http://www.cdlib.org/groups/spstf/index.html (password-protected)

- *CDL Toolkit for Agreements: Prospective Shared Print Monographs Tool*
http://www.cdlib.org/services/collections/sharedprint/prospective_spm_toolkit.html

- SOPAG Task Force on Shared Print in Place (recently convened)
http://libraries.universityofcalifornia.edu/sopag/Shared_Print_in_Place_Task_Force.pdf

- Selected proposals identified by the Next Generation Technical Services endeavors.
NGTS home page: http://libraries.universityofcalifornia.edu/about/uls/ngts/
NGTS Reports: http://libraries.universityofcalifornia.edu/about/uls/ngts/docs/reports.html

Because the issues surrounding shared monographs are complex and diverse, we've organized the report as follows:

> **ISSUE**
> Where we are now
> where we want to be
> related future discussions
> next steps

SHARED MONOGRAPH PROGRAM GOALS AND ISSUES

Overview

One could say that every print monograph in the UC system is a shared monograph—visible to all UC users via Next Generation MELVYL (NGM) and MELVYL, and retrievable via interlibrary loan. The historic, informal reliance between campuses operated well in an environment in which most campuses had

knowledgeable bibliographers in all areas, and had the resources to acquire both core and unique materials. With reduced materials budgets and levels of staffing, a reliable and predictable program for building shared collections becomes a strategic necessity.

For the purposes of this report, we are defining "shared monographs" as encompassing both print and e-books where there is collective access and deliberate coordination. Monographs are "shared" when there has been a commitment and notification of intent to acquire and to retain content so that other campuses can rely on these commitments when making collection-related decisions. These commitments may be executed by individual campuses or groups of campuses. The financial support for these "shared monographs" may be sustained individually or as a group co-investment.

With considerable input and consensus from bibliographers, SMPG offers this statement of emphasis and goals for any shared monograph agreement:

> *Focus for a shared monograph program is on prospective monographs, and the goals are to strengthen the uniqueness and depth of the collection; to maintain or increase user access; to maximize bibliographers' use of time and expertise; to reduce expenditures; and to manage the physical footprint of the collection.*

During the course of our work, SMPG noticed that different stakeholders are concerned by some of these goals more than are others. We believe each stakeholder will participate to best solve its local problems and recognize that variances will occur among campuses and among bibliographer groups.

Given the variances among disciplines and campuses, and the state of flux which exists in the monographic publishing industry (e.g. business models), we believe that there is no single scenario for building shared monograph collections. Instead,

> *Building shared monograph collections will require a flexible and nimble infrastructure that can respond to differences in subject disciplines, varied and changing circumstances among campuses, and rapid change in monographic publishing.*

The shared monograph program will involve initiatives that can be organized, into one of four scenarios: electronic only; electronic and print (duplicative content); electronic or print (non-duplicative content); and print only. See HOW BUILDING SHARED MONOGRAPHS WOULD WORK.

Issue 1 – Uniqueness and Depth of the Collection

Where we are now:
- Monograph publishing worldwide is growing; the number and price of monographs continues to increase.
- UC Libraries have experienced a decline in the breadth of monographic collections, and a concentration of duplication around commonly held titles.
- Many bibliographers express a desire for monographic materials that they cannot now afford to buy (both new series and individual items, as well continuing historic subscriptions to monographic series.)

- Some monographs are beginning to include multi-media inserts, and we expect this phenomenon to continue to grow.
- Some monographic content is being born digital, without a print counterpart.
- Content that used to be published as monographs may now be published in other forms (e.g., multimedia).
- Publishers have been slow to publish e-books in the past; now e-book offerings are gradually increasing.
- E-books are becoming more acceptable to readers.

Where we want to be:
- Ensure that UC can continue to collect the monographic content that matters in the most appropriate format.
- Reduce duplication of print copies held among campuses for lower-use but still important content and use savings to buy unique material.
- Replace duplicated print with shared electronic copies – use savings to buy unique material.

Related future discussions:
- For some content (particularly the most specialized and therefore least used but often most expensive in terms of unit price,) should we review, modify and/or solidify existing individual campus agreements to acquire, process, and preserve designated chunks of content (such as publishers' series) in print format, subjecting them to shared monograph guidelines?
- Related to the above, bibliographers ask how to protect unique material now purchased by only one campus – is there any protection the system can offer against local budget cuts that would cause this content to be lost to everyone?
- Campuses will be differently positioned to repurpose savings to broaden collections. Are there ramifications to this?

Next steps:
- Ask bibliographers to prioritize/analyze/mine the data and suggest which proposals are do-able within the current fiscal year.
- Proceed with some of the bibliographer group suggestions to assign responsibility for some low use, high cost series to one or two campuses.
- Proceed with some of the bibliographer group suggestions to purchase e-books for high use items – consider both series and publishers.

Issue 2 – User Access & Public Services

Where we are now:
- The majority of monographic materials purchased at UC are selected by subject specialists; patron requests for items that are not owned are generally mediated by bibliographers.
- A print monograph held at one campus but needed at another is available via Interlibrary Loan. Turnaround time depends on the availability of the material at the time of the request, and certain conditions can cause a request to go unfilled within UC.
- Users report wanting 24/7 access to library materials.
- Electronic versions of monographic material are preferred for some user needs (quick review of table of contents, search for selected terms, comparative linguistic analysis, etc.)
- Electronic versions may not satisfy users (e.g., reading all 250 pages of a monograph electronically may not be preferred).

- Some content exists in a print version that is not reproduced adequately or at all in its e-version. Image quality may not be equivalent between print and electronic versions. Or publishers may not be able to provide full content due to lack of digital rights.
- Publishers and e-book vendors are still in the early stages with regard to handling prospective e-books. Not every book is available as an e-book, and not every e-book is available via the patron-driven acquisition model. (see Issue 6: The E-book Industry is in Flux)

Where we want to be:
- Acquire shared monograph e-books whenever possible, to provide 24/7 access.
- Collect monographic content in the format that works best for the primary users.
- Move quickly to e- only books (for subject areas where e-books are preferred) provided the electronic and print versions have the same content, graphics, price etc.
- Preserve or reduce turnaround time for Interlibrary Lending for shared print items.
- Buy the number of copies of an item to meet some minimum standard of user access.
- House the shared print copy at the campus most likely to need the material.
- Explore and analyze patron-initiated or print-on-demand services that provide users with the quickest access to the content they need.

Related future discussions:
- Do we have a shared standard for what constitutes acceptable user access?
- Several campuses have experimented with patron-driven acquisition. Although UC Bibliographer Groups were offered this option as a way to handle various series, very few groups picked this option. (Individual bibliographers and the group conveners may have been concerned not only with the concept of "collection gaps" that would result from a totally patron-driven acquisitions model but also with fears of losing control of their already-shrinking subject monographic allocations).
- Request that HOPS and RSC identify enhancements and priorities needed to sustain timely and "friendly" access.
- The Common Access Policy for Shared Print Monographs relies, for the most part, on current local campus circulation and access policies. CDC, RSC and HOPS may wish to review this policy, and if needed, modify the policy to support access to shared resources. Specific questions are:
    1. Do we need to standardize loan periods for shared monographs? Should a shared collection be subject to shared, consistent access policies? How important are the standardization of circulation periods to user and librarian acceptance of shared monograph programs?
    2. In the case of multiple copies of a title in the library system (a shared print copy and campus print duplicates), which copy should be delivered first when requested by any user in the system? Shall preference be given to the shared print copy or to the campus duplicates? One approach would off-load use on the shared copy. The other would ensure that the shared copy gets used. The policy, as currently written, gives no preference one way or the other. If a preference is desired, some programming will be required for Request. This has strategic implications for the purpose of shared collections and access to them.

3. Should UC investigate the concept of "floating collections" and the pros/cons of having shared print monographs rest at the requesting location?

Next steps:
- Disseminate results of campus experiments with patron-driven acquisitions to bibliographers as background for possible future discussions.
- When the Springer E-book Pilot report is completed, disseminate and analyze results as input to future projects.
- Identify e-books initiative from the bibliographers' sample projects.
- Identify print-based initiative from the bibliographers' sample projects.
- Identify electronic/print combination collection from the bibliographers' sample projects.
- Ask CDC to comment on Common Access Policy questions, formulate a response, and forward the responses and policy to SOPAG to work with HOPS and RSC.

Issue 3 – Bibliographer Time and Expertise

Where we are now:
- The advent of digital information and new forms of scholarly output are placing increased demands on bibliographers. They are now asked to consider how to collect, organize, and preserve born-digital content, datasets, analog material being converted to digital, etc. Bibliographers are advising faculty on how to approach some of these functions.
- Increased interdisciplinarity in campus curricula, faculty expertise, and even departmental structure is placing increased demands on bibliographers' knowledge base. Interdisciplinarity also challenges internal structures of monographic funds and therefore our current means to map library expenditures to specific subject areas and academic departments.
- Bibliographer positions have become vacant throughout UC, and it is unknown when or if these positions will be filled. This situation impacts not only the workloads on individual campuses, but the viability of the UC Bibliographer Groups themselves. There is uneven participation in UC Bibliographer Groups and in the responsiveness of groups to requests for input.
- Bibliographers on staff have different levels of knowledge in the subject areas for which they are responsible.

Where we want to be:
- Bibliographers with specialized subject expertise to help build UC collections systemwide at a networked level and via partnerships with institutions outside of UC.
- Technical infrastructures help to ensure that core monographs are available at all campuses that need them, allowing bibliographers to concentrate on selecting among more specialized or campus-specific items and on offering new digital scholarship, curatorial, instructional, or outreach services.
- Bibliographers are responsible for a manageable number of subject areas.
- Bibliographer partnerships that result in new combinations of skill sets and knowledge needed to address the changing information landscape.

Related future discussions:
- Discussions are occurring at the campus level regarding how to reorganize and prioritize work to meet new demands with diminished staff. It is important to raise these discussions to the UC systemwide and national or international levels,

and for campuses, under the leadership of CDC, to explore new models of collection development responsibility.
- Consult with UC Bibliographer Groups to identify disciplines which can benefit from a UC bibliographer rather than a campus-specific bibliographer.

Next steps:
- Select and/or revive initiatives to showcase "bibliographer shared collection building" in which two bibliographers take responsibility for in-depth collections for specific parts of subject areas (e.g., Several of UCB and Stanford's cooperative collection agreements focus collections on one campus or another -- e.g., collect Brazil at one campus; collect Argentina at the other. Collect publisher X on one campus; publisher y on the other.)
- Expand initiatives that showcase "boundary-neutral collection building" in which one bibliographer helps develop collections at more than one campus at either a regional or systemwide level as appropriate (e.g., currently UCB Slavic Bibliographer selects and provides reference for UCSB. Cornell/Columbia have a shared Slavic Bibliographer arrangement.)
- Explore the concept of longer-term or even semi-permanent convener-ships of some or all UC Bibliographer Groups, perhaps with relief from some duties at their home campus libraries, in order to allow these Next Gen Conveners to assume a larger coordinating role, working with appropriate staff at CDL, vendors, and of course their fellow bibliographers. (This may also necessitate some changes to supervisory structures.)

Issue 4 – Available Budgets for Library Materials

Where we are now:
- Budget cuts have affected campus' ability to maintain even what was purchased last year.
- Inflation continues to erode the buying power of even those few budgets which have remained flat.
- New models for packaging and selling content have hidden costs (e.g., annual access costs) which further erode buying power.
- Insufficient coordination (e.g., lack of visibility at time of selection) between campuses of monographic selection is leading to unintentional duplication across the system.

Where we want to be:
- Reduce unintentional duplication in order to help offset these multiple pressures on existing dollars and to broaden the UC collection.
- Devise several ways of supporting "shared monographs," including single campus funding on behalf of the system, taking advantage of year-end one time funds, and developing cost-share models that allow for multiple campuses to participate in something less than a "Tier 1" purchase.

Related future discussions:
- We may evolve a tiered funding approach for certain packages of monographic content, either publisher- or series-based, possibly using existing CDL infrastructure for licensing, cataloging, etc. (The impact on CDL staff would, of course, need to be analyzed when any project is proposed.) A high degree of flexibility and/or granularity would need to be built into these initiatives to allow campuses with smaller budgets and/or subject foci to participate.

- Develop cost sharing models based on the specific program statement associated with one of the four categories of program types: electronic only; electronic and print (duplicative content); electronic or print (non-duplicative content); and print only.
- Use lessons learned from the Springer e-books pilot and the Canadiana project when developing cost share models, combination content packages, and licensing terms.

Next steps:
- Develop seamless ways for campuses to volunteer to pay or partner to pay for shared collections.

Issue 5 – Business Models

Where we are now:
- Varying cost share models for electronic resources which are sensitive to the peaks and valleys of campus budgets.
- Emerging and fluid business model, including licensing terms, by publishers for print, print/electronic combinations, and electronic only packages.
- High degree of variability in the definition of a monograph, serial, journal in the electronic world -- database model for content updates vs. fixed edition model for content.

Where we want to be:
- Generic open access models which carry a wide range of options to acknowledge the faculty contributions as editors, reviewers, consumers of scholarly content.
- Diversity of pricing schemes for scholarly content to fit the range of uses, recognition, and compensation for academic authors. This is different from trade or commercial authors' needs.

Related Future Discussions:
- Engage UC Scholarly Communications Officers group to identify relevant new business models.
- Ask CDC to discuss how shared monographs may fit or require adjustments to current campus standard cost shares.

Next Steps:
- As a starting point, adjust current cost share models for electronic journal and database packages to accommodate the range of shared monograph initiatives (CDL and Shared Monographs Coordinating Group assignment).
- Incorporate cost share models used in successful shared monographs initiatives into a suite of cost share models used by UC campuses for UC-wide initiatives and activities.

Issue 6 – Physical Footprint of the Collection

Where we are now:
- Campuses are now prohibited from storing items in an RLF if a duplicate exists either in NRLF or SRLF.
- The RLFs have a known horizon for being "filled".
- Library space currently used for print collections is sought after both by academic departments and by competing needs within the libraries.

- Existing library spaces devoted to print collections are filling up.
- We approach a time when we will face the need for "one in, one out" – for every item coming in, another item will have to be discarded.

Where we want to be:
- Cooperative management of *retrospective* print collections on systemwide/regional/national levels will result in the biggest gains in reducing physical footprints of collections when needed.
- Acquiring *prospective* monographs in electronic format whenever possible or whenever economically feasible, especially as the digital preservation of e-books and the promise of perpetual access becomes reliable.

Related future discussions:
- The results from the CDL Springer E-book Task Force will help inform future shared monograph decision-making and approaches. From the preliminary reports, there appears to be consensus that having a duplicate print copy is not necessary when acquiring e-books. (Note: this is contrary to the beliefs expressed by several UC Bibliographer Groups in our survey.)
- Engage appropriate UC library and library user groups in space planning for RLFs.
- Will the proposed WEST initiative, if funded, affect the amount of space available in the RLFs or in campus libraries for shared monographs?

Next steps:
- Leverage the Shared Print in Place Task Force recommendations.

Issue 7 – Technical Services Infrastructure

Where we are now:
- For electronic journals and some shared monograph collections, there are UCSD Shared Acquisitions and Cataloging staffs and workflows. Individual campuses are reusing Shared Acquisitions and Cataloging products and manually re-entering data much of the time.
- NGTS, NGM, HOTS, and SOPAG task forces sometimes are addressing technical services activities and infrastructure to support user access and discovery tools with limited coordination.

Where we want to be:
- Implementation of appropriate "cloud" or network-based acquisitions and cataloging for shared collections.
- Leveraged campus technical services expertise: create UC technical services centers of processing.
- Effective interplay and collaborative efforts of UC library staff supporting the implementation of efficient shared collection development.
- Integrated licensing and business strategies for campus-specific and UC-wide agreements.

Related Future Discussions:
- Enhanced integration of NGTS and HOTS efforts with CDC efforts to build the UC 21st Century Collection.
- Integrate SOPAG Shared Print in Place Task Force recommendations with Shared Monograph recommendations.

Next Steps:
- Integrate and consolidate recommendations, findings, lessons learned from the various NGTS, NGM, HOTS, CDC, SOPAG, etc. task forces into a comprehensive, cohesive, and flexible strategic direction for technical services support of the UC 21st Century Collection.
- Explore mechanisms and potential collaborations which leverage campus and CDL licensing experts to address business and contractual issues for UC-wide and campus-specific resources.

Issue 8 - Policies, Disclosure of Shared Print in Place and in Storage in WorldCat.

Where we are now:
- The Bibliographic Service Standards for Shared Print Monographs, as currently written, reflect current practice for disclosure of shared print monographs in UC. They may or may not support full discoverability, collection management functions, or eventual partnerships beyond UC.

Where we want to be:
- On the forefront of disclosure standards for shared print nationally and internationally.

Next Steps:
- Set up separate OCLC Institution Codes and Holdings Location codes for shared print in place and in storage to facilitate resource sharing, collection development and management.
- Define 583 field entries for shared print on the MARC record.
- Refer the Bibliographic Service Standards to a special task force charged to monitor developments in disclosure standards for shared print, define OCLC Institution and Holdings Location codes for shared print in place and prepare/modify systemwide bibliographic service standards for shared print. The task force should include CDL Shared Print, NGM, HOTS/CAMCIG and be able to propose policy to SOPAG for endorsement and receive SOPAG support for implementation of systemwide reclamation projects.
- Implement reclamation projects, as needed.

Issue 9 – Shared Monographs & Mass Digitization Efforts

Where we are now:
- Eclectic collections of campus ad hoc projects and UC-wide Google and Internet Archive projects.
- Variety of housing repositories (HathiTrust, eScholarship, local campus).
- Uneven coverage of disciplines.
- Sporadic, inconsistent coverage of campus special collections reflected in digitization projects.
- Diversity of access and rights practices for existing digitized content.

Where we want to be:
- Coordinated campus and UC-wide efforts.
- Federated discovery and access to UC digital collections.
- Coordinated decentralized housing for UC digital collections.
- Collection development policy created for UC Digital collections.

- User access to content which is sensitive to the variety of rights/use permissions and allows openness for discovery and manipulation to further scholarship (research, teaching/learning, and patient care.)

Related Future Discussions:
- Engage Heads of Special Collections to identify priority for campus collections which have potential to further UC collection depth and uniqueness and can be digitized relatively quickly.
- Engage CDC and other appropriate groups to identify strategies to balance campus or UC opportunistic efforts with planned digitization efforts for UC as a whole.

Next Steps:
- Use recommendations from part II of the Digital Library Services Task Force to further discussions.
- Engage CDL Mass Digitization staff and advisory groups in discussions on how best coordinate campus and UC-wide efforts.

Issue 10 – The E-Book Industry is in Flux

Where we are now:
- Not all books are available as e-books, and not all e-books are available as patron-driven e-books; publishers and monograph vendors are still in the early stages when it comes to prospective patron-driven e-books.
- Within series, some but not all titles are published as e-books. Thus the selection of series for the shared monograph program may involve a mixed acquisition of print and e-books, which often have different workflows.
- How consortial pricing for e-books will compare to systemwide spend for print is unknown and might need to be determined with different courses of actions selected on a case-by-case basis.
- Some e-book packages require not only a purchase price, but an ongoing access price; this adds costs to monograph content that does not exist with print.
- Some e-book products appear to be "placeholders" for content that publishers intend to routinely update, which is a considerable shift from historic notions of editions used to track intellectual thought.
- E-books do not always replicate all content that is available in their print counterpart (e.g., due to the lack of image rights, other digital rights, or publishers' attempts to cut costs.)
- E-book reproduction of print content may not be adequate for some purposes.
- E-books may lag print availability by months.
- Preservation of e-book content is not uniformly in place.
- Persistent access to e-book content is not uniformly guaranteed.
- E-books are sometimes only available if we also buy print.
- Publishers are beginning to build packages of e-books that are sold as a set which mimics already problematic journal license packages.
- Multiple delivery platforms exist for the same title (aggregators vs. publishers).
- Each different delivery platform for e-books requires programming to achieve access increasing workloads at a time when staffing is scarce.

Where we want to be:
- We have certain historic responsibilities for stewarding intellectual content. We would like to see licenses and industry standards settle to either allow us to

continue this role, or to firmly position these responsibilities within new trusted infrastructures.
- We would like to be able to pay once for persistent access to content, as we have paid once for a print monograph.
- We want the option to select the individual titles and the formats, building our own "bundles."

Related future discussions:
- CDC may want to consider determining what requirements for licensing e-books are minimum (i.e., "if these are not included in the license, we will not purchase as a shared monograph.") See Springer E-Book Pilot report.
- A more precise definition of "monograph" may need to be developed for the purposes of this program. Is a continuously-updated resource, usually accompanied by ongoing cost, the same as a traditional scholarly monograph or work of fiction?
- Discuss how we might incorporate options, such as favorable reuse licensing terms, for later digitization projects if only print is available.
- Discuss how we might encourage/support publishers who offer open access to quality monographic content.

Next steps:
- CDC works with CDL to influence which publisher models are supported and which are not.

Issue 11 – Series or Publisher?

Where we are now:
The Shared Print Steering Task Force pursued a subject-based approach, so the report addressed the advantages and disadvantages of that approach. SMPG deliberately focused on a series/publisher approach since this appeared to integrate well with monograph approval plans. The SMPG attempted to solicit meaningful input from UC Bibliographer Groups within the fairly short time frame we had. To help focus this input on discrete targets, we asked the groups to suggest either specific monographic series or specific publishers whose entire monographic output within their particular disciplines might be appropriate for shared ownership, either in print, electronic, or print + electronic format. Based on their input and our own discussion, we believe that each option (publisher-based and series-based) has both advantages and disadvantages, e.g.:

- Series are more discrete, thus easier to judge whether their contents are appropriate for a UCL shared collection; the quality of their individual titles has usually been vetted by expert scholars working on behalf of the publisher; their costs may be more predictable; and they may require less monitoring (e.g., for non-subject parameters) by both the vendor and the relevant UC selectors.
- Some series (including some proposed by several groups) are very interdisciplinary by nature, and may pose challenges for internal funding allocation. (Publishers as a whole, of course, may be even more interdisciplinary.)
- Publishers can be somewhat amorphous entities (given their multiple imprints and mergers), may have uneven reputations by discipline and/or imprint, may require more intervention by the vendor and/or selectors in terms of non-subject parameters, reprint status, price, etc., and may appear on CDL's "Challenges to

Licensing" page—a semi-official list of publishers who we should be avoiding at the current time.

- Adding entire publishers in some disciplines (e.g. the sciences), especially if system-wide E access is strongly desired, may *add* significant costs rather than reduce them, in a budget area that currently has the least funding flexibility due to extensive journal licensing commitments.
- Acquiring the entire output (within certain parameters) of a small number of well-established publishers across disciplinary lines could possibly allow for a broader (if shallower) disciplinary impact on the UCL patron community and may possibly be used as an incentive during negotiations for the licensing of journal content from the same publisher.

Where we want to be:
- Within three years, have experience with numerous initiatives proposed by either UC Bibliographer Groups or groups of campuses using either series-based or publisher-based shared monographic initiatives in both print (lower anticipated usage) and or electronic (core materials) formats.
- Have developed lightweight infrastructures to approve, coordinate, fund, process, and assess these initiatives.
- Have demonstrated a reduction in unintended duplication of print monographs and an achievement of cost savings for acquiring shared multiple-campus access to electronic monographs compared with the costs of multi-campus local acquisition.

Related Future Discussions:
- How important is it to match dollars spent to academic subjects? Are there ways to do this that do not require mapping approval plan purchases to separate funds?
- The Springer E-book Task Force analysis on whether it is more cost effective to acquire comprehensively within a publisher versus the costs of being more selective may help inform the scale and degree that we pursue by series, by publisher, or by a larger critical mass.

Next Steps:
- Request UC Bibliographer Groups to submit specific proposals for shared print monographic initiatives based either on series or publishers to CDC (initially) for review. These may be resubmissions of the tentative proposals sent to SMPG in August or new proposals.
- Select one or more major publisher (perhaps one in each broad discipline) whose titles as a whole are considered core by multiple disciplines at multiple campuses and attempt to license systemwide access to that publisher's output in electronic format as a Tier 1 resource.
- Use this experience to negotiate more targeted initiatives, e.g. for specific series only or for content in a defined group of disciplines desired by only a defined group of campuses (i.e., Tier 2-type packages).
- Charge the new SMCG to review data … to determine if there are indeed cost savings to be had from consolidating the ordering, payment, and cataloging of e-books for which a minimum of three campuses place orders. This proposal could be pursued in addition to any formal publisher- or series-based initiatives initiated by UC Bibliographer Groups or campuses.

HOW BUILDING SHARED MONOGRAPHS WOULD WORK

Overview:

A Shared Monographs Program, integrating both shared print and shared e-books, will require an infrastructure that a) assigns the initiative to an authorizing body that approves, monitors and adjusts the systemwide program as necessary, and b) creates a clear path for those wanting to propose an initiative to do so as efficiently as possible.

To implement such a program will require considerable transition, and we propose an interim structure for 1-2 years, as follows:

 [redundant]
   a) CDC is the group with oversight and ultimate responsibility for this program, working closely with CDL, HOTS, HOPS, RSC, SOPAG, etc. to coordinate related initiatives. CDC's approval of a submitted proposal implies that each campus acknowledges the shared purchasing activity and will modify local practices as needed. CDC will also review annually any associated shared print collection associated with an e-book package at the time its renewal is entertained.
   b) A JSC-like Group (the *Shared Monographs Coordinating Group,* a.k.a. *SMCG*) is charged to review and approve printonly proposals initially, forward to CDC those initiatives that are complete and in compliance with the shared monograph suite of policies and guidelines, call for regular assessments of extant agreements, and provide CDC with data needed to evaluate the overall efficacy of the program. The Shared Monograph Coordinating Group may be composed of: Shared Print Manager, CDC representation, and 3 bibliographers (Arts; Humanities; Social Sciences; Sciences, Technology, and Medicine).
   c) Shared monograph initiatives can be put forward by a single campus, a bibliographer group, a minority group of campuses, or a majority of campuses, by
       i. describing their initiative and the particulars of their participation using a Shared Monograph Initiative Statement
      ii. naming a Shared Monograph Initiative Liaison who is responsible for answering day-to-day questions from participating campuses, dealing with vendors or publishers, collecting data needed for regular assessments, acting as liaison between the participating campuses and the Shared Monograph Coordinating Group,
     iii. obtaining sign-off from their local AUL-Collections, and
      iv. submitting the initiative to SMCG for print-only initiatives, or to JSC for all others.

During the interim period, this structure will be evaluated, especially with regard to when/whether JSC might assume responsibility for all shared monograph initiatives.

Proposed Shared Monographs Program Structure Diagram:

The shared monograph program will involve initiatives that can be organized into one of four scenarios: electronic only, electronic and print (duplicative content), electronic or print (non-duplicative content), and print only.
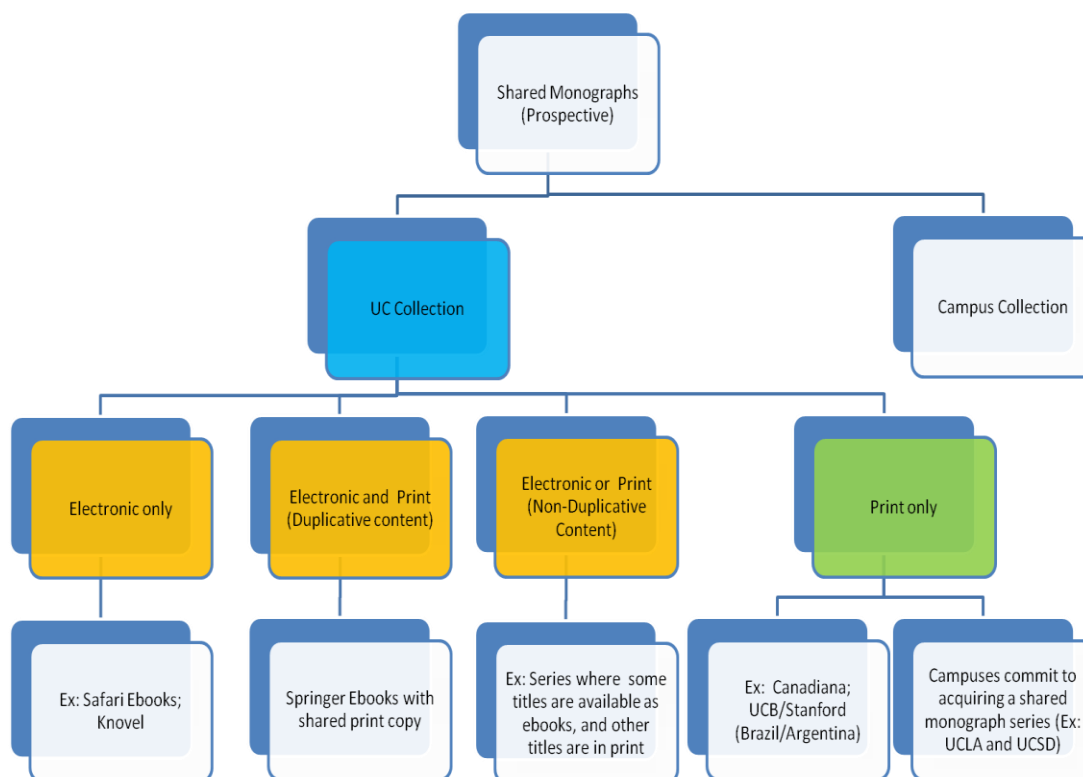
SMPG proposes that the Yellow scenarios be coordinated by JSC and both formats cataloged by UC's Shared Cataloging Program. The Green would be coordinated by SMCG and cataloged by each managing campus. Both the Yellow and Green must be approved by CDC (i.e. everything under Blue).

Infrastructure

UC shared monograph initiatives are highly dependent upon the type of initiative (electronic only, print only, electronic/print combinations) and the number of campuses involved. At the same time all initiatives seek to be realistic in their persistence and sustainability and address the goals and purpose of the proposed collection.

Different infrastructures may be required to support each type of initiative. Below is a list of the basic elements common to all shared monograph initiatives that will need to be addressed, albeit in different ways appropriate to the type of initiative being proposed.

1. Governance
Except in unusual cases, SMPG believes that the following roles will be needed in any multi-campus initiative:
   – *Participating campus contact* is responsible for receiving requests for information or action from the Initiative Liaison, coordinating within the library and coordinating responses to the Liaison.

- *Initiative Liaison* is responsible for all day-to-day operational aspects including vendor relations and intercampus communications about purchases, progress reports, and assessment activities. (For a single campus initiative, the campus contact and the initiative contact is the same.)
- *The Managing Campus* is named whenever print is purchased. Depending on the kind of initiative, the managing campus may handle acquisition, cataloging, shelving, lending, and arrange for long-term storage of print.
- *The Shared Monograph Coordinating Group* is responsible for oversight and coordination between agreements, libraries, and the Collection Development Committee (CDC) for print only initiatives.
- *The Shared Monograph Program Analyst* is the central support for the SMCG and is responsible for receiving data from the print-only Initiative Liaisons, for performing collection analysis and assessment of the overall program, and for providing periodic assessment reports, including title lists of print monographs acquired under the UC Shared Monograph Program coordinated by SCMG.
- *The Joint Steering Committee (JSC)* is responsible for oversight and coordination between agreements, libraries, and the Collection Development Committee (CDC) for electronic only and print/electronic combination initiatives.
- *CDC* is responsible for approving the program, reviewing assessments and determining the program's continuation over time.
- *CDL staff* is responsible for negotiating Tier 1 initiatives associated with electronic formats, coordinating the work of the e-only or electronic/print Initiative Liaisons, and assisting with the assessment methodologies.

2. Timeline
   - length of time the initiative is in effect (SMPG suggests 3 years)

3. Terms of renewal

4. Terms of dissolution (SMPG suggests participants give one year's notice before dissolving a commitment)
   - who is responsible for notifying parties involved

5. Technical Services implications
   - identify titles which are part of UC Shared Collection
   - identify acquiring unit and the associated responsibilities
   - for print titles which affect approval plans, identify what is needed to coordinate among the campus partners
   - identify cataloging unit
   - CDL staff resources

6. Public Services implications
   - identify the ILL factors
   - identify access problems or requirements if any (e.g., multiple e-book platforms for the same title)
   - identify housing locations for print volumes if applicable

7. Technology implications
   - identify access and use/manipulation operations which affect user experience
   - need special workstation "client" if applicable

8. Archiving, preservation implications

- for hardcopy, such as print, will there be use and preservation copies?
- for electronic, where will archive/preservation copy be located?
- persistence terms for titles (assume in perpetuity unless unusual circumstance?)

9. Costs & Business Terms
   - campus cost shares (content, user interface, vendor, centralized UC technical services support)
   - start-up vs. annual ongoing
   - licensing terms: ILL, course reserves clauses, other CDL model license factors
   - CDL and SCP costs: Currently there are no systemwide resources allocated to support the tasks and infrastructure (both human and technical) suggested by this proposal. CDL and SCP will need to outline resource requirements to support multiple shared monograph initiatives and any expectations for vendor negotiation, collection analysis, cataloging, maintenance of A-Z lists, websites, and collaboration tools. The organizational units that may be affected include the Resource Liaisons (which may include the proposed Shared Monograph Initiative Liaisons), CDL Shared Print, CDL Licensing and Acquisitions, CDL Discovery and Delivery and other CDL groups such as those that provide web and user support, and SCP.

10. Statistical Reports
    - holdings counts for UC-wide vs. individual campus counts (consult with Joanne Miller)

12. Assessment (see ASSESSMENT, page 23

Initiative Statement

Each shared monograph initiative begins when an individual, single campus, group of campuses or bibliographer group develops and submits an *initiative statement*.

It is important that simple initiatives be supported by a lightweight infrastructure. The statement is very straightforward for many initiatives, becoming more detailed only if/when initiatives become more complex.

The statement is in lieu of a "proposal," "approval plan" or "agreement." We offer a draft template for groups to use to describe the basic elements in their initiative (common to all shared monograph initiatives.)

Communication

Communication regarding shared monographs will be critical and is a key part of project management. Effective two-way communication will be required:
- between initiative participants and their review group (i.e., JSC for e-only or electronic and print hybrid initiatives; the Shared Monograph Coordinating Group for print-only initiatives),
- between partners in a given initiative,
- between initiative participants and all other UC bibliographers, and
- between bibliographers and CDC.

Effective communication mechanisms already exist for handling initiatives and negotiations via the Bibliographer Group->JSC->CDC route, and will be continued.

Initiatives that involve e-books (with or without a print component) follow this existing structure. This structure will also handle ongoing collection management decisions.

Similar communication mechanisms exist for print shared monographs. Currently the CDL Shared Print website (http://www.cdlib.org/services/collections/sharedprint/) outlines the active agreements between UC Bibliographer Groups at the agreement or "collection" level. The locus of governance is also identified for each agreement: some are managed by CDL Shared Print, some are managed by UC Bibliographer Groups, etc. This collection level index is useful.

We anticipate that shared monograph initiatives as envisioned in this report will require that we expand existing communication structures. On the one hand we will need to be able to track initiatives; on the other hand bibliographers throughout the system will need title-level visibility.

A centralized view of initiatives with approval pending, in-process initiatives, existing accepted initiatives, retired initiatives, and rejected initiatives is critical to the coordination of a shared monographs program. SMPG proposes that the CDL develop mechanisms which provide campus staffs with view only, initiative submission, and initiative updating rights. In addition, groups such as JSC and SMCG, have approval functions. As a starting function, a web site to which individuals can post PDFs for initiatives, updates, etc. may be sufficient. As initiatives proliferate, this tracking may only be possible if large parts of it can be automated.

Title level visibility will be important at the time of selection and at the time monographs are incorporated into the shared collection. Some vendors may be able to help with the former. The latter visibility will be important to many involved in the circulation of the material (ILL staffs, local circulation staffs processing reserves, etc.) and for decisions about storage/preservation. The ongoing visibility of shared monographs will be accomplished through the Bibliographic Standards for Shared Print Monographs (campus cataloging standards) and SCP cataloging for e-books. A future consideration may include development and posting of title lists to a website to track title level purchases from year to year.

For initiatives that will involve shared/system-wide approval plans, the proposed new Shared Monograph Coordinating Group (SMCG) must identify efficient mechanisms for communication. A vendor interface and single shared accounts may help identify titles contributed to the shared collection at the time of selection. For example, the UC Libraries may use the CDL account with YBP to manage system-wide monograph agreements. There can be separate ship-to and billing addresses, which will allow flexibility in where materials are sent, and which campus(es) pay for these shared monographs. At the same time, YBP's GOBI interface will enable bibliographers to see what has been selected already as a shared monograph—anything in the UC account will be a shared monograph and subject to shared print policies and standards of practice (described later). So at the point of order, bibliographers can make the decision to pass if they see something already selected for the UC collection, or they can intentionally make the decision to duplicate in order to address local needs.

As time progresses, it may make sense to merge the SMCG and the JSC together so that we view electronic and print monographs in a holistic way. But for initial start-up, there are benefits to having separate groups in terms of band-width and focused attention. It will be important to maintain close communication between the two groups, and having a member who is on both groups may help to foster collaboration.

Shared monograph initiatives will require Initiative Liaisons to handle day-to-day decisions, intercampus communication, systemwide collection analysis for a initiative, and approval plan adjustments. There also may need to be a Shared Monograph Program Analyst to help coordinate these Liaisons vis-à-vis the SMCG, especially related to launching an initiative and assessing multiple initiatives or analyzing aggregate changes in the monograph collections. Listservs, wikis, and websites are tools that will help these groups share information, and facilitate planning, implementation, and assessment; a support person needs to manage those.

Communication with our users will be an important part of these initiatives in terms of promoting/marketing resources, and in soliciting feedback from users. Mechanisms for soliciting user feedback range from comment boxes, focus groups, and surveys. CDL's user assessment team may be consulted and offer assistance.

Policies, Guidelines, and Practice Standards

The SMPG recommends the following policies, guidelines and practice standards as a suite to provide transparency and establish common expectations about behaviors across the library system for shared monographs. The full text of each is included in the appendices. The SMPG recommends the following approval path for these policies and guidelines so that initial shared monograph initiatives are started in parallel with policy revisions: 1) CDC endorsement (with revisions, as appropriate), 2) Posting the policies, guidelines and standards of practice to the CDC and CDL websites with provisos for those that will undergo review by other ACGs and task forces, and 3) Referral to other ACGs and task forces.

Policies
- **Shared Print in Place Policy for Monographs.** This policy extends the "persistence policy" now in force at the RLFs to also hold at campuses. It ensures retention of shared monographs such that all campuses can make collection management decisions with confidence. The policy addresses retention, ownership, collection responsibilities, and eligibility for storage in relation to other duplicates.
- **Persistent Deposits in UC Regional Library Facilities.**
- **Common Access Policy for Shared Print Monographs** to make explicit that shared monographs are accessible, the terms of access and limitation on reserves.

Standards of Practice

- **Bibliographic Service Standards for Shared Print Monographs**.
  These standards outline disclosure requirements for shared print
  monographs. Other disclosure practices for e-books are in place
  through SCP.
- **Standard Acquisition Practices for Shared Print Monographs.**

Guidelines
These guidelines inform UC Bibliographer Groups and campuses as they
prepare initiatives and conduct assessments.

- **Guidelines for Duplication, Shared Print Monographs.**
- **Principles Regarding Formats for Shared Monographs.** These
  guidelines would be appended to CDC's Principles for Acquiring e-
  books (which do not address decision-making around formats.) These
  guidelines encourage a rapid transition to e-books whenever possible
  and dual formats, even under a shared print plan.

Assessment

Sharing lessons learned from shared monograph initiatives is critical to building the
UC 21st century collection. These lessons enrich the knowledge base used to develop
a successful UC shared monograph program. It is expected that all shared
monograph initiatives describe the assessment process and metrics used to
determine the initiative's success in meeting its goals, especially those goals
associated with cost-effectiveness and longevity. The timing and length of time
needed to do meaningful assessment of initiatives vary depending on the monograph
initiative type (electronic only, electronic/print combination, print only) and the
implementation logistics. At a minimum, benchmark or snapshot data before the
initiative begins is identified and collected for later comparisons.

The following shared monograph program goals are examples of assessment
categories which provide the data needed to determine an initiative's success.

1) to strengthen the uniqueness and depth of the collection - sample metrics:

- what percentage of list or number of titles (series or publisher)
  were purchased UC-wide in the year prior to the agreement?
- what percentage of list or number of titles were purchased in the
  subsequent one – two years?
- How many ILL requests were made by UC borrowers for titles
  within the collection prior to the initiative?
- How many ILL requests were made by non-UC borrowers for titles
  outside of the collection after the initiative was started?

2) to maintain or increase user access - sample metrics:
for any type:

- conduct routine user surveys for any shared collection offered.

for electronic:

- collect data on turnaways per year.
- use data based on chapter downloads vs. entire book by title
  annually and monthly.
- use data by series title or collections annually and monthly.
- number of unique titles added.

for print:
- how often were these titles requested on interlibrary loan?
- were any requests referred outside UC because our copy was unavailable?

3) *to chart benefits to bibliographers - sample metrics:*
- was bibliographer able to use some time formerly spent on building collections for other purposes?
  - (how many questions asked by user to bibliographer for X resource?
  - what level of complexity are questions asked by user?
- how many campus bibliographers have become UC systemwide bibliographers?

4) *to reduce campus expenditures - sample metrics:*
- what was the overall UC spend in the year prior to the agreement?
- compare subsequent years' of UC expenditures.
- what costs (e.g. ILL, technical services personnel, vendor/supplier, preservation) increased or decreased because of the initiative?
- expenditure and number of titles duplicated.

5) *to reduce the physical footprint of the collection - sample metrics*:
- how many campuses purchased how many volumes in the year prior to the agreement?
- how many campuses purchased how many volumes in the current year?
- change in the number of duplicates acquired expressed in volume equivalents and assignable square feet (ASF) (Conversion factors: 1 monograph = 1 volume equivalent. For campus space: 12.5 volume equivalents = 1 ASF.)

In addition to assessing individual shared monograph initiative success, it is essential that an overall program assessment be conducted on a regular basis to validate the overall goals and to identify the impact of the shared monographs program. Evaluation methodologies and metrics for the overall program goals are linked to the strategies used to actualize the UC 21st century collection and coordinated by joint efforts of the CDC, HOT, HOPS and other stakeholders of the shared monograph program.

CONCLUDING REMARKS

A successful shared monograph program will be user-focused to reflect the richness and diversity of the UC Collection that is easily accessible for all. To support such a program, an efficient and cost-effective infrastructure for processing and staffing must be developed.

The future for developing the UC Shared Monograph Collection is highly dependent on UC bibliographers doing work differently. Some approaches may involve new strategies and methodologies for selection (e.g. system-wide approval plans for e-books and print books) and some may involve our staff assuming new roles (e.g. "super-bibliographers" with system-wide responsibilities). The program we propose must serve the system-wide needs, but must be flexible enough to address local

campus needs. Success is also highly dependent on tools that foster communication and automate processing.

New services such as patron-driven acquisitions, print-on-demand, pay-by-the-drink, and "floating collections" will lead to improved access to content for users.

There will be campuses that will continue to build deep niche collections which will benefit both their local constituencies and the UC system overall. And there will be campuses that will deploy their energies towards extending the breadth of the UC collection via cooperative efforts that aim to minimize unintentional duplication. This collective approach is one that will require changes in the way we deploy our resources, our staffing, and our procedures and policies.

This SMPG report seeks to provide the framework that will enable us to move forward on these initiatives and to address the vision and goals of "***The University of California Library Collection: Content for the 21st Century and Beyond***".

APPENDIX 1: Charge
Text reserved

APPENDIX 2: Summary of Feedback from UC Bibliographer Groups

The chairs of UC Bibliographers Groups were sent a request for feedback on July 30, 2010. Their responses were discussed and helped shape the report above.

Assumptions
One part of SMPG's request to UC Bibliographer Groups listed seven "straw man assumptions" about a potential shared monographic plan:

1. Focus for a shared monograph program is on prospective monographs and the goal is to reduce expenditures
2. We could only buy a shared copy of some volumes/series on an "as needed basis" as manifested by a patron request.
3. We would be happy with defaulting to an e-book rather than a print monograph if the e-book was not delayed beyond 2 months of print publication.
4. There may be some publishers where image quality may be a rationale for wanting to keep print.
5. If 8-10 campuses purchase series or materials from a publisher, then we recommend that the system negotiate for an e-book to address core needs and to minimize ILL.   If an e-book is not an option, then one print copy in system would be the default.
6. If 4-7 campuses purchase series or materials from a publisher, then we should investigate getting a shared copy, be it electronic or print.
7. If 1-3 campuses purchase series or materials from a publisher, then opt not to do any shared monographs agreement. Leave it for the campuses to handle standing orders or firm orders as needed.

SMPG asked the groups either a) agree, b) agree if the wording were revised, or c) disagree, with a summary of their concerns and/or reasons for disagreeing.

Approximately eighteen groups returned responses that specifically addressed each (or most) of the Assumptions separately. A few others sent comments or a covering letter that addressed some of the assumptions indirectly, and one or two stated that they (or the convener) agreed with the overall response of another mentioned group.

UC Bibliographer Groups want to find opportunities for shared ownership of more monographic content than is presently the case. All groups, or at least the members who participated in the feedback process, are aware of the various concerns that are driving our discussion of more formalized monographic acquisition projects. None questioned the assumption (#1, first clause) that the focus of a shared monographic acquisition project at this time should be on *prospective* acquisition. Although it wasn't explicitly stated as a goal, it is probably fair to conclude that all groups would agree that eliminating *unintended and/or unnecessary duplication* of monographic content, especially in print format, should be pursued and could best be accomplished by some form of formalized mechanism.

With regard to the statement (#1, second clause) that "the goal is to reduce expenditures," almost all groups, either in their specific response to this assumption, in a cover letter, or in a general comments section, stressed that one or more of the following are equally important goals for a shared monographic program: a) preserving the breadth of the overall UC collection, b) providing increased and/or more convenient access to the current level of monographic content, c) reducing and/or repurposing the footprint of the physical (print-based) collection.

Several assumptions (primarily #3 and #4) were designed, partially, to gauge the UC Bibliographer Groups' acceptance of electronic books as a replacement format for print books. Overall, acceptance of defaulting to E instead of P is well received (with caveats), even among the humanities and arts groups. The responses ranged from one group (HLS) stating that they **only** want to deal with shared E-books, to a few who feel that certain formats or genres (e.g. fiction, scholarly books over 100 pages, books with extensive illustrations) should not be acquired in electronic format at this time. The majority of groups stressed that the publication time gap is only one factor that must be considered when defaulting to E: they want books to be loanable, have equal content, have high quality images, and meet other licensing conditions agreeable to all campuses (see Issue 6)

The groups were almost unanimous in their rejection of the assumption (#2) that in some cases the only way a shared monograph could be purchased (in either P or E) was if the request were initiated by a patron. Of the groups who articulated their objections, the most common one was that this approach would leave, in the words of the Europeanists Group, "spotty holdings and series gaps across the campuses which is not appropriate for the UC research consortium."

Assumptions #5-7 attempted to determine a point at which, based on recent purchases from a common vendor (YBP) or anticipated purchases, the titles in a particular monographic series might best be acquired as a shared resource. In their comments, various groups pointed out one or more of the difficulties of responding to these assumptions:
- The data supplied was from only one vendor; some campuses may have received either standing orders or selected volumes from another vendor
- Although the data was fairly recent (2008), deterioration in all campuses' monographic budgets in the past two years may have made the 2008 purchasing patterns unlikely to be current
- The data wasn't entirely clear about whether the volumes in a particular series were received on standing orders or were purchased on a title-by-title basis
- Some campuses have rapidly transitioned from P to E acquisition of many monographs since 2008

In addition to perceived problems with the data available, some groups articulated an approach to a shared monographic series (or publisher) project whose basic philosophy would be almost opposite to the one that was proffered by the Assumptions as stated, which was that the more evidence there was of multiple acquisition of a series, the more likely that such series could be acquired as a shared copy. The alternative view articulated, explicitly or implicitly, by numerous Groups was that, at least when thinking of a shared monograph in *print* format, the series currently being acquired by the *fewest* campuses would be best candidates for

building a coordinated system of shared ownership around, partly because this content is already in the highest danger of being lost and because it is less likely to be needed either immediately or in more than one copy. It is important to note that this is a fundamental difference from the approaches used for tier 1 and tier 2 shared e-journal packages and a key philosophical difference to consider as we develop shared monograph strategies. At the same time, there was repeated consensus that for series or publishers where even 4 or more campuses are acquiring, the only viable shared acquisition plan to pursue would involve an electronic rather than print copy, even if the price is higher, and only if certain conditions were met by the electronic edition.

With approximately eighteen groups responding and most of them using the opportunity to make comments or revise the wording of the assumptions, it is obvious that not all of these conditions for an electronic edition were expressed in identical terms. For example, a few comments were made supporting either a shorter or a slightly longer gap in publication time than the two-month gap the Assumption stated, but in general the groups felt that this gap was a reasonable one. Other conditions articulated by multiple groups were that a shared electronic monograph a) have as close to 100% of the content of the print volume as possible, b) be truly shareable (e.g., interlibrary loanable), c) be perpetually owned, d) not have additional annual access fees, and e) result in some cost savings when compared to the best estimate of the historical campus spend on print copies of the same title/series. (The difficulty of determining what that base level would be, however, was mentioned by a few groups and is shared by the planning group.)

Series or Publisher Approach?
A few bibliographer groups responded only to the Assumptions and did not offer particular specific suggestions for either series or publishers. Of those that did make specific suggestions, some limited the number precisely to ten (the minimum number requested), whereas others offered more. A few mentioned only a few major publishers in their disciplines instead of any specific series….(text reserved)

APPENDIX 3: Demonstration Project, Commonly Held E-Book Approval Plan For UC Libraries
        Text reserved

APPENDIX 4A: Policies, Guidelines, Practice Standards: Shared Print in Place Policy for Monographs
        Text reserved

APPENDIX 4B: Policies, Guidelines, Practice Standards: Bibliographic Standards for Shared Print Monographs
        Text reserved

APPENDIX 4C: Policies, Guidelines, Practice Standards: Common Access Policy for Shared Print Monographs
        Text reserved

APPENDIX 4D: Policies, Guidelines, Practice Standards: Standard Acquisition Practices for Shared Print Monographs

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APPENDIX 4E: Policies, Guidelines, Practice Standards: Guidelines for Duplication,
Shared Print Monographs
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APPENDIX 5: UC Shared Monographs Program Framework

The UC Shared Monographs Program represents an aspect of the "University of
California Collection: Content for the 21st Century and Beyond" (July 2009), and will
closely integrate with other UC-wide collection development efforts; leverage easy-
to-do, high impact activities in support of UC's teaching/learning, research, patient
care, and service mission. In addition, it is expected that the UC Shared Monographs
Program will tackle the harder-to-do, high impact activities based on UC CDC
priorities in the coming years.

It is critical to implement coordinated strategies for a UC-wide shared monographs
collection development program. Such a program acknowledges the transitional
state of monograph acquisitions (print and electronic), leverages technological tools,
incorporates flexibility, and is scalable and sustainable. It also relies on work being
done in technical services, business practices, and technological infrastructures
needed to assist UC bibliographers build and sustain the 21st century UC Collection.

Overarching Theme:

UC faculty, staff, and students access and use collections of the University of
California associated with its libraries, museums, and other organizations. These
collections represent a richness of content diversity, robustness, persistence, and
economic sustainability.

General Guiding Principles:

1)   Create user-centric models for collection development, management, and
content delivery that is timely and sensitive to campus needs.
2)   Remember that each discipline has unique and common uses and expectations
for the UC Collection.
3)   Ensure persistent content within the UC Collection.
4)   Develop sustainable economic models for collection acquisitions and for
infrastructures (e.g. staffing, technology, policies, and best practices) to support the
21st Century UC Collection.
5)   Encourage and nurture nimble, flexible approaches when designing plans and
strategies.
6)   Support realistic and balanced methods for assessment and evaluation to
ensure continuous improvement of program plans and strategies.
7)   Incorporate sustainable and scalable methods for plans.
8)   Make liberal use of pilots and experiments as mechanisms to test and to build
the infrastructures needed to support the UC Collection. (from NGM and NGTS
concept documents)
9) Leverage lessons learned from pilots and experiments to adjust and to shape
shared monograph programs and projects.

Shared Monograph Program Goals:
- Focus on prospective monographs.
- Strengthen uniqueness and depth of collection.
- Minimize unintended duplication.
- Provide timely, accurate, flexible, seamless user access.
- Maximize bibliographer time and energy.
- Reduce collection expenditures for campuses.
- Manage the physical footprint of the collection.

Shared Monograph Program Principles for Acquiring Monographic Formats:

UC Libraries acquire monographs collaboratively through formal, shared monographs programs. UC Libraries seek to transition as quickly as possible from print to electronic monographs, particularly for monographs commonly collected by multiple campuses.

The following principles guide decisions about when to acquire single or dual formats (print only, print and electronic or electronic only) for shared monographs programs.

Single format
When print is the only format of publication, shared print is acquired.
When electronic is the only format of publication, electronic is acquired.

Dual Formats
When both print and electronic formats are published, the following conditions are sought in a license. When the majority of these can be obtained, electronic is the preferred format acquired. A dual format strategy is rarely pursued,
- Perpetual rights are included.
- Interlibrary Loan of the digital version is permitted.
- No physical or usage controls are placed on the electronic version.
- A digital preservation strategy is in place that allows for independent management through in-house or third parties, post-cancellation of an agreement.
- The content and quality of reproduction (e.g., graphics) in the electronic format is the same as the print or enhanced.
- The electronic format is released within 12 weeks of the print format.
- Reasonable consortial pricing is available.

APPENDIX 6: Shared Monographs Initiative Statement Template
For prospective purchases of shared monographs

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