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# Copac Collection Management Tools Pilot

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Final Report  
November 2011-  
July 2012

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**Partners: Mimas, RLUK, & the  
White Rose Consortium  
Associates: Universities of  
Manchester, Warwick, UCL & the  
V&A.  
Funded by the JISC**

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### 1 Introduction

This nine month project ending in July 2012 builds upon an initial six month project<sup>1</sup>. The Pilot has been developing a beta version of a service that uses a variety of tools to support library staff in their collection management and development decisions. It is a collaborative project involving Mimas, RLUK, and the libraries of the White Rose Consortium (WRC – the universities of Leeds, Sheffield, and York), together with assistance from the following associate libraries: the Universities of Manchester and Warwick; the Victoria & Albert Museum and UCL. The project has been funded by the JISC via the [Discovery](#) programme.

This report provides an overview and references work undertaken and outputs delivered throughout the Copac Collection Management Tools Pilot Project that ran from November 2011 to the end July 2012. The final section looks forward using a three year horizon, outlining recommendations and next steps to facilitate advancing CCM Tools beyond the current pilot.

The principle objective of the CCM Tools Pilot project has been that of contributing to the national infrastructure that supports discovery and reuse of resources in collections held by libraries. The provision of tools enabling libraries to improve the efficiency and effectiveness of collection management decisions and also to strengthen engagement with academics on retention and to improve access to available copies are all positive benefits that the project partnership are committed to.

### 2 Background & context

Despite the number of library construction and extension projects across the UK, it is clear that most academic research libraries still face considerable pressure on available space, a situation which is only marginally eased by the availability, and adoption, of electronic digitised resources. The fierce competition for shelf and floor space is, in part, due to the continued large-scale acquisition of traditional print publications, but is also increasingly influenced by libraries developing new facilities to support evolving forms of teaching and research. This climate means that it is now commonplace, even in well-established ‘traditional’ research collections, for librarians to consider the editing and disposal of very low-use book stock in order to provide for their other service demands. Given this situation, there is a need for a broader view of the value of individual materials and collections in the national research context.

CCM Tools is an innovative re-use of the existing Copac database, offering a real opportunity to make a positive difference in helping libraries to make informed decisions at a time of increasing financial constraints. The tools allow effective planning by pulling together the analytics data that then feeds into a look at strategic drivers, focusing upon quality not quantity, giving confidence in decisions that not only address retention but also the release of space, a scarce resource and certainly a driver when considering the student experience

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<sup>1</sup> <http://copac.ac.uk/innovations/collections-management/reports/>

as the majority of space redevelopments in libraries are directly linked to provision for undergraduates, who will soon be faced with substantial increases to fees. In this context, librarians are faced with the challenge of accommodating both researcher concern about retention of monographs and the growing undergraduate expectation of overall library service quality. The CCM tools are thus uniquely positioned in the UK, and designed precisely to intervene to benefit both client groups.

The CCM Tools Pilot project has a primary objective of contributing to the national infrastructure that supports discovery and reuse of resources in collections held by libraries. An aspiration of the project is that it will take us one step closer to building the foundations for a national approach to collections management, offering the potential for collaboration and sharing of materials between institutions across the UK, and protecting access to the UK's rich research collections into the future.

Through collaboration and user testing, the aim is to make tools that offer real world benefits to libraries, and integrate fully into existing workflows.

The CCM Tools are built on an aggregation of community data, mediated through Copac, which is one of the key JISC supported services supporting research discovery. Copac is built on a robust agreement between JISC and RLUK, whose data represents in excess of 90% of all holdings information. Copac is therefore uniquely and actively contributing to the implementation of the Resource Discovery Taskforce vision, promulgated and overseen by JISC and RLUK. By working with data already created and invested in by the community, the CCM Tools demonstrate how data can be made to 'work harder' to deliver unrealised benefits and drive efficiencies. This project specifically address one of the key aims of the RDTF Vision: Support collection management processes and reduce duplication of effort. (See: <http://discovery.ac.uk/files/pdf/jisc-rluk-vision-final-june2010.pdf>)

### 3 Methodology

The project team used the experience of the first phase of activity to inform and develop the work plan that became the heart of the CCM Pilot Project proposal.<sup>2</sup> The earlier project addressed the functionality of the tools. Over the last nine months work has been done to refine the interface, addressing usability and responding to the feedback from the testing undertaken by the project partners and associates. It has also been possible to improve the functionality.

A detailed schedule was drawn up and agreed with the project partners. Full team meetings were held every other month and activity progressed on an on-going basis. JISCmail has been used for team communications and file repository. In addition to the overall project management the main areas of activity can be broken down as follows:

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<sup>2</sup> Project proposal available via <http://copac.ac.uk/innovations/collections-management/aboutcollectionmanagement/>

## Copac Collection Management Tools Pilot

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Activity	Description
a) Increasing number of libraries available for testing	<p>The <i>CCM Tools Workshop in December</i><sup>3</sup> was used both as an outreach exercise and also to attract expressions of interest from libraries to become associates available for testing the CCM Pilot.</p> <p><i>Selection of associates:</i> Criteria for selecting new participating libraries defined and applied.</p> <p><i>Engagement plan for associates:</i> drawn up and agreed with the new associate libraries explaining the aims and objectives of the project, the timescales for testing, and the testing procedures and commitment.</p>
b) User interface specification and development	<ul style="list-style-type: none"> <li>• <i>Design:</i> Address issues around record displays, search history, navigation, and refinement of visualisation, and export options.</li> <li>• <i>Default settings based on workflow:</i> Looking at offering “use case” choices resulting in different search/visualisation defaults that are seen as the most relevant for a particular activity.</li> <li>• <i>Personalisation:</i> Assess what interface personalisation options users might find valuable and how these can best be integrated.</li> <li>• <i>User support:</i> Consider the benefits of developing ‘Models of use’ that would illustrate the potential value of different facilities depending on the user context. Similarly, illustrations of the way in which data can be exported and utilised locally.</li> <li>• <i>Testing:</i> User testing of the interface to assess how well it fits with required workflow, identifying any interface issues.</li> <li>• <i>Wider value:</i> Once an interface has been developed, consider assessing its potential application in other areas. For example reviewing how well it functions in discussing collection change/disposal with academic staff; and any role in other areas such as marketing the library. As the work progresses, new use cases may be defined that will identify further development areas.</li> </ul>
c) Testing and Feedback	<ul style="list-style-type: none"> <li>• <i>Framework:</i> Produce a testing framework and agree core criteria.</li> <li>• <i>Testing Plan:</i> Formulate and agree the testing plan(s) or support materials.</li> <li>• <i>Testing:</i> Conduct iterative testing on version releases and supply feedback.</li> <li>• <i>Reports:</i> Produce reports describing testing, findings and suggestions. (Associate libraries to provide general feedback.)</li> </ul>
d) Case Studies	<ul style="list-style-type: none"> <li>• <i>Case Studies:</i> Build case studies based upon existing use cases to be used in the dissemination process and to inform. Two stage process: <ul style="list-style-type: none"> <li>○ Provide description: aims and objectives.</li> <li>○ Describe experience of applying case studies.</li> </ul> </li> <li>• <i>New use cases:</i> Look into developing new use cases based upon the interface developed and its potential application to other areas.</li> </ul>

<sup>3</sup> Outputs from this workshop are available via the project website.

## Copac Collection Management Tools Pilot

Activity	Description
e) Further Development of CCM Tools	<ul style="list-style-type: none"> <li>• <i>On-the-fly de-duplication</i>: Explore the range of de-duplication options we might provide and how these might be presented to give an understanding of the likely impact on the results.</li> <li>• <i>Search expansion</i>: Discuss and explore in terms of the range of search options that seemed both valuable and practical, as well as how these might be presented to give the user an understanding of the likely impact on the results.</li> <li>• <i>Specification &amp; Implement</i>: Specify most desirable enhancements. Prioritise and implement those which can be addressed within the timescale of the project and identify those enhancements that would need to be carried forward beyond June 2012.</li> </ul>
f) Identifying retention status: technical and policy solutions & Collaborative support	<ul style="list-style-type: none"> <li>• Policy Workshop <b><i>“Retention &amp; Preservation”<sup>4</sup></i></b> To explore and inform the broad issues around indicating retention status and how this might be generally applied in local catalogues. The <a href="#">Final Report on Retention and Preservation</a> is now available. Findings to feed into following deliverables: <ul style="list-style-type: none"> <li>○ Investigation of requirements. Exploring how MARC tag 583 and other data fields can be used to capture relevant data, store it in the Copac database and make it available where appropriate as part of the CCM Tools.</li> <li>○ Technical framework. Embed these requirements within the CCM Tools functionality.</li> <li>○ Reports. Summarise the work undertaken and recommend how the vocabulary used in Marc 583 might be expanded to allow for collaborative collection management.</li> </ul> </li> <li>• Collaborative support: <ul style="list-style-type: none"> <li>○ Investigation of requirements. This will explore how the tools might contribute to the transfer of materials between libraries.</li> </ul> </li> </ul>
g) Communications Plan	<ul style="list-style-type: none"> <li>• <i>Communications plan / strategy</i></li> <li>• <i>Web site and blog posts</i>: Establish a web presence for the project to aid the dissemination and outreach process. Keep this up-to-date and active.</li> </ul>
h) Building a business model – sustainability planning	<ul style="list-style-type: none"> <li>• Research and consultation</li> <li>• <i>Strategy</i>: Formulate a draft strategy in consultation with partners and the JISC.</li> <li>• <i>Report</i>: Detail the research and information gathering conducted.</li> <li>• <i>Present Business Model options</i>: Produce a paper outlining options available for sustaining a CCM Tools service into the future.</li> </ul>

<sup>4</sup> The [Final Report on Retention and Preservation](#) is now available. And all other outputs from the workshop can be found via the project website.

The agreed project plan and schedule have been successfully adhered to and delivered some notable achievements, not least the completion of the project deliverables on schedule. The project outputs are described in the section below.

### 4 Project Outputs

The detail of the much of the work of this project has been captured and made publically available in reports, presentations, and blog posts via the [project website](#). Documents internal to the project, stored in the projects JISCMail account, supplement these publications and capture the detail of work done in areas such as interface development, sustainability planning, progress reporting etc. The descriptions below reference this work and highlight the main project outputs from the last nine months of activity.

#### 4.1 User interface and Tool development

The interface to the tools has been reengineered to provide a more user friendly interaction and the tools enhanced. A new user interface was released at the end of January 2012; this included all the features of the original test interface plus a number of new features. A revised release was made available at the end of February to support the case study testing by the WRC and Associate libraries. Further development options were discussed and prioritised, with a new version of the interface released at the start of July 2012 once case study activity was complete. This included stability and response time enhancements, as well as some interface changes. Currently the User Interface offers:

- A range of live and batch search facilities, including library and region limit option;
- Options to deduplicate result sets by ISBN or a range of other fields;
- Copac style record displays;
- Pseudo-MARC export including collection information and export date, to allow integration of results into local catalogue records;
- Result visualisation in various forms, including holdings map;
- Visualisation data export options for local use in collection analysis.

Details of interface developments, current and planned, are provided in Appendix A.

#### 4.2 Community Engagement

A Communications Plan was agreed with the project team at an early stage to be used as an internal working document. It provided a framework and schedule that all the partners understood and took collective responsibility for. Detailed in the plan was the schedule for the project website and blog, the workshops, listserv message communications to a wider audience, presentations and talks, external meetings, articles and news items.

Community engagement has been a priority for the project. As well as running two successful workshops, and attracting new associate libraries to work with the team, the project team has been active in providing up-to-date information via the project website and by speaking at events e.g. the RLUK Annual Conference. As part of the investigative work in sustainability planning a survey was conducted that returned an excellent response at the same time as informing a broad part of the library sector about the project. A dialogue with organisations involved in related initiatives and projects, including OCLC and UKRR, the M25 consortium and a JISC funded project being led by Kings College London has

also been an important part of the engagement activity and has helped to inform the project's progress.

An important part of community engagement has been presenting an up-to-date and informative website and blog. The project website went live in January establishing a presence for the project to aid the dissemination and outreach process. It is linked from the Copac home page. Keeping this up-to-date and active has been a priority, with the project Blog marking project milestones. Reports, workshop presentations, use cases and case study reports etc. are all available via the site. From 23rd Jan to 13th July, according to Google Analytics, there have been 1,920 page views in total for any/all of the CCM blog pages.

### 4.3 Workshops

The project successfully delivered two workshops: The Copac Collection Management Tools Project on December 5th 2011; and Retention and Preservation on March 12th 2012. Both workshops were by invitation as numbers had to be limited. Despite the attendees paying their own expenses, demand to attend exceeded expectation, the majority of which being RLUK institutions. Over 30 people attended the first workshop, the second bringing together 20 people with particular expertise from around the country to consider in depth the subject of retention and preservation of monographs.

The outputs from the December workshop helped to inform the tools development and also shaped the use cases and case studies undertaken by the project. It was at this workshop that a request was made for libraries to become associates of the project to provide a wider perspective on the testing of the tools. Originally the project had decided on trying to attract 2 to 3 associate libraries who would be contributing their effort on a good-will basis. However, the interest was such that 4 associate libraries from RLUK became engaged with the project, not only testing the tools but also assisting with the case studies. The general enthusiasm for the CCM Tools at the first workshop was demonstrated by the question of "When can we have access to the tools?"

The workshop on Retention and Preservation, although a wider topic than the CCM Tools, provided insight and encouragement for the vision of a national research collection. It was clear from the discussion that an essential facilitating element to achieving this goal would be applying a collective approach to two main library work flows: cataloguing practice, and retention and preservation underpinned by collection management tools that can be applied with confidence.

Beyond the workshops the project has kept it touch with attendees via direct emailing, informing of progress and announcing availability of reports etc. All the associated presentations and documents relating to the workshops, together with Blog entries summarising the days can be found via the project website.

### 4.4 Case Studies

In the earlier phase 1 Project, Leeds, Sheffield and York university libraries had set out a series of use cases which illustrated how the CCM Tools might be used. One of the deliverables for this project was, therefore, to test a number of these scenarios in real life and develop them into case studies which documented both process and results. Joining later in the project four "associate libraries" – those of University College London, the



Victoria and Albert Museum and the universities of Manchester and Warwick - were given access to the Tools, principally to assist with the testing of the User Interface and to provide a broader view of potential applications, but they also volunteered effort with the case studies.

The 10 case studies focussed on three main areas of activity: stock withdrawal, collection profiling and decision-making in conservation and digitisation. They addressed the following specific situations or issues:

- During stock editing of low-use titles, to avoid discard of those which are unique nationally or only held by a small number of other libraries. (*Sheffield*)
- Enhancing understanding of the collections through collection profiling. (*York*)
- Profiling collections in order to identify those of potentially national significance ("heritage collections"). (*Leeds 1*)
- Supporting decisions in conservation and digitisation. (*Leeds 2*)
- Stock withdrawal – a detailed consideration of unique and rare items. (*Leeds 3*)
- Developing an integrated and more cost effective approach to assessing material in a store where catalogued and uncatalogued items are interfiled. (*Manchester 1*)
- Reducing the staff time required to assess stock for withdrawal. (*Manchester 2*)
- Use of the tools for assessment of collections in non-Roman scripts. (*V&A*)
- Developing stock editing procedures which allow the uniqueness of material to be taken into account and thereby make the process more acceptable to academics. (*Warwick*)
- Support for collaborative projects and bidding for funding in the context of specialist collections. (*UCL*)

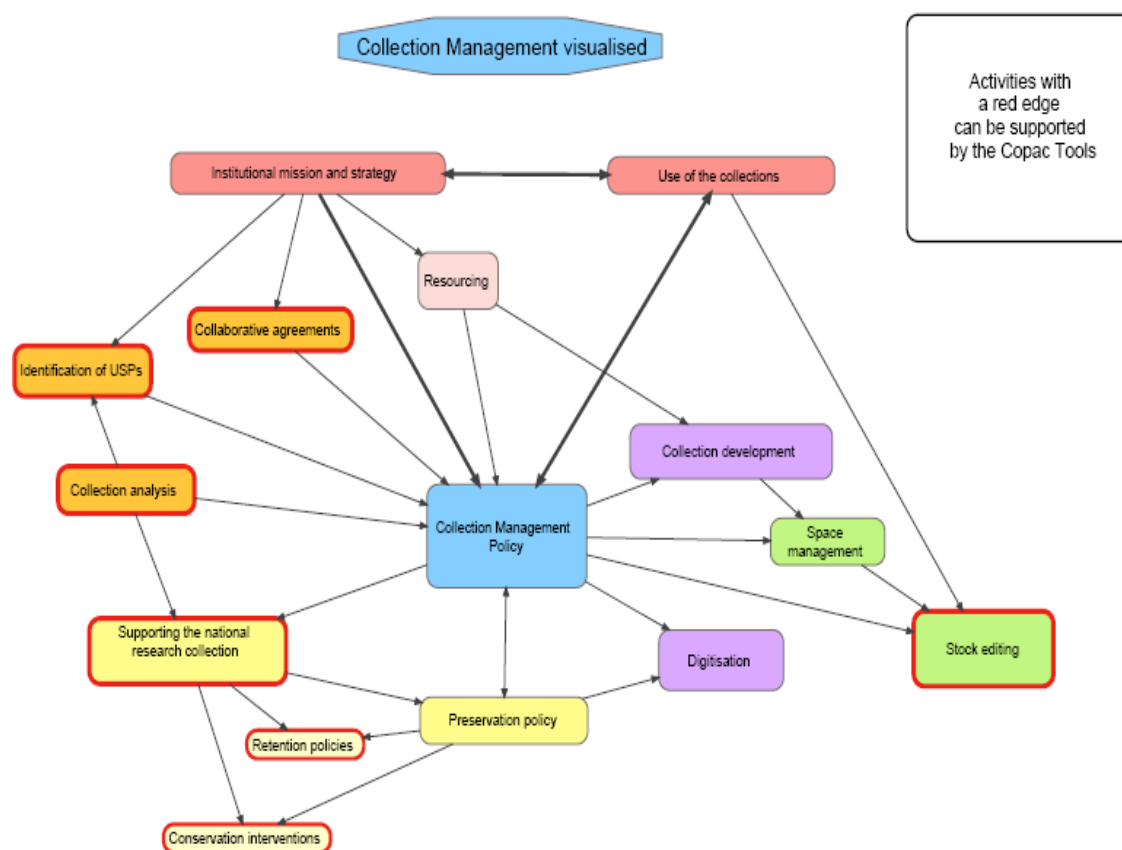
The common themes are explored in the full case studies synthesis report available via the project website but the key points and messages that can be taken forward from this work are as follows:

1. The underlying data and data structures within Copac are all-important to the effectiveness of the tools in a practical setting. The case studies have been very important in enhancing our understanding of the issues surrounding duplicate records in the database and how the current database can only reliably return results based upon ISBN. The new Copac database, due for release later this year, is set to address these issues and improve the reliability of results returned based upon control number queries. It will be important to verify this by re-running some of the case study operations using the Tools once the new database goes live.
2. The case studies succeeded in demonstrating how the CCM Tools can be integrated into the processes of an academic/research library and how they can deliver added value and efficiency across a broad range of collection management activities.
3. By using the Tools and by integrating them into automated workflows, it is possible to save significant staff time, aiding decisions, and making possible tasks that previously were not considered viable. These workflows, that have already been demonstrated and tested within the Project, can be used as exemplars for the benefit of new users of the Tools.
4. Even with the current data limitations, all the libraries involved in the project want to continue to have access to and actively use the Tools after the current project.

The value experienced by incorporating the Tools into their workflows has convincingly demonstrated the benefits of having access to the CCM Tools.

5. Help and advice is essential to ensure that the tools are used effectively and that results can be interpreted appropriately. The CCM Tools website requires enhancing with on-line help and examples which outline best practice and can inform user expectations of the Tools.

The case studies, as well as drawing attention during the project to required technical modifications, have established practical workflow demonstrators to illustrate effective use of the CCM Tools and how the use of these tools can be used with confidence to inform and support decisions impacting upon the delivery of policy and strategy. The full case studies from the project partners together with a synthesis report of all the case studies are available via the project website<sup>5</sup>. It is intended to use these as the basis for providing online support and information for prospective users in the event of this project progressing. The following illustration shows the extent to which aspects of collection management can be supported by the CCM Tools.



### 4.5 Preservation and Retention Final Report

Following the project workshop on retention and preservation in March, a preliminary report covering initial recommendations on metadata formats was compiled and circulated

<sup>5</sup> <http://copac.ac.uk/innovations/collections-management/>

for feedback. Subsequently, the principal output from the work done in this area has been the publishing of a significant report reflecting and developing further the views and opinion of experts in the field. It sets out a series of recommendations which, taken together, would provide the framework required for a distributed National Research Collection of Monographs. The report includes a proposal for a metadata framework based on MARC tag 583 and the associated vocabulary Preservation and Digitization Actions.

[The Final Report on Retention and Preservation](#) is available via the project website.

As part of the investigation into this work contact was made with OCLC as they have been exploring similar issues in their Print Archives Disclosure Pilot. This looks at how retention commitments for print journals – and the associated question of access to this material - can be supported and shared through OCLC services (rather like our own UKRR). The final report of the OCLC project has just been published and discusses the metadata infrastructure in considerable detail.

### 4.6 Survey of libraries and analysis report

In February 2012 the CCM2 pilot project issued a brief questionnaire with the aim of gaining wider insight into the collection management activities across a broad section of libraries from the university and museum sectors, together with their priorities. There were 39 respondents, the profile being 13 RLUK university libraries (plus one site responding twice giving 14 total responses, and one of the RLUK libraries respondents also being in the '94 Group); 5 other '94 Group libraries (plus one site responding twice giving 6 total responses); 17 other university libraries, and two museum libraries.

The full survey analysis report is contained within a separate currently internal document. It splits its findings into the following chapters: Collection Management Priorities; Collection Management Methods; Policy focus; and the Perceived value of Copac Collection Management Tools.

The main findings were as follows:

- Collection management priorities. The “top” or “high” priority for over 60% of respondents was “managing down print collections”, closely followed by “identifying collection strengths” and “reviewing a collection at the shelves”. A number of respondents noted their involvement in UKRR including managing down journal collections through a collaborative network of 'retention' copy libraries. Of the other tasks noted, several related to managing down print collections, including materials in difficult and unsustainable formats (e.g. VHS, microprint), and identifying collection strengths.
- Collection Management Methods. When asked about the method of managing collections 90% of respondents stated they use in-house solutions only. A number of respondents stated that all collection management tasks were either time consuming or difficult.
- The survey asked respondents “What value would a Copac Collection Management Tools service be to your library?” 29% answer “High” and 58% “Medium” and 63% said that they would consider paying for such a service.

The Project Team deduced from the responses to the questions that there is a very real requirement for tools to assist in collection management, improve efficiency, enable better decision making, and facilitate savings. Given the current reliance upon in-house methods for collections management where each institution has developed their own approaches, it is clear that community-wide generic tools have the potential to deliver significant savings in aggregate across the HE library sector at the same time as providing solutions to collection management tasks that hitherto have been time consuming or not possible to achieve.

### 4.7 Strategy development

Strategy development was considered by the project team as an important part of the work focusing upon sustainability, helping to frame and inform options going forward. The agreed strategy is contained within a separate document available via the project website. The vision is that:

*The application of the CCM Tools will promote the efficient management and exploitation of collections, pursuing excellence in research, and safeguarding long-term access to materials. Through collective action the use of the CCM Tools will help to realise the community vision to build the “national research collection”.*

The principle aims and objects are:

#### **Aim 1: Deliver solutions to support collection management and access.**

With the objective of providing tools that facilitate:

- i. Managing and reviewing individual items in individual libraries
- ii. Collection comparison
- iii. Preservation & retention

#### **Aim 2: To make collection management less time consuming and less difficult.**

With the objectives of:

- i. Reducing the need for libraries to develop and maintain unique solutions to CM.
- ii. Providing tools that produce outputs that will inform and enhance liaison and advocacy with academic schools.
- iii. Delivering value for money and cost savings both to individual libraries and to the sector as a whole.

#### **Aim 3: To provide enabling tools to facilitate the broader vision of a “national research collection”**

With the objectives of:

- i. Recognising the issues faced by libraries when addressing monograph retention and preservation.
- ii. Supporting through tool development the collaborative efforts of RLUK, JISC, the WRC and others to achieve the longer term aim of developing the technical framework required to support a more proactive and cohesive approach to collection management at a national level.
- iii. Providing tools to facilitate discovery and access to material.

#### **Aim 4: To secure future funding and stability through the application of sustainable business models**

With the objectives of:

- i. Transitioning to a full service.
- ii. Bringing certainty and confidence to users considering investing time and money in the application of the CCM Tools into their workflows.

- iii. Securing support and future maintenance and development of the tools to ensure relevance to sector requirements over time.
- iv. Encouraging active partnerships with organisations where joint effort could bring benefit to the research community.

### **Aim 5: To have a positive strategic engagement with other connected initiatives**

With the objectives of:

- i. Being informed and informing others.
- ii. Connecting developments with the wider strategic landscape.

### **4.8 Sustainability Planning Report**

The project identified a need to address sustainability, which was done by exploring business models options and understanding potential demand and benefits of applying such tools. This has been achieved through a period of information gathering, research and consultation leading up to the formulation of sustainability options and recommendation. The work that fed into the Sustainability Planning Report, currently an internal project document, included the development of the strategy, the survey, a look at comparators and costs, benefits analysis, scenario planning, and sustainability modelling.

The main recommendations from the report are incorporated into the final section of this report.

## **5 Principal Findings**

### **5.1 Demand**

The work the project has undertaken (including: a survey; workshops; use cases; strategic relevance to established organisations and initiatives; requests for access to the tools during the project including within proposals for new projects external to the current project partners; interviews and desk research) all leads to the conclusion that there is a latent demand for the type of tools that CCM Tools can offer and that existing solutions are not direct comparators. CCM Tools is a unique offering for UK HEIs and specialist libraries that is geared to meet their collection management requirements.

This does need to be put into the context of UK HE and specialist libraries, the main audience for the use of these tools. The survey analysis (described in 5.7 above) explains that there are currently 165 HE academic libraries in the UK described as follows by UniversitiesUK<sup>6</sup>

#### **Number of institutions (as at August 2011)**

<b>Country</b>	<b>Higher Education Institutions**</b>
England	131
Scotland	19
Wales	11
Northern Ireland	4
United Kingdom	165

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<sup>6</sup> <http://www.universitiesuk.ac.uk/UKHESector/Pages/OverviewSector.aspx#Q1>

\*\*The term higher education institutions include universities, university colleges, specialist higher education institutions and other higher education colleges.

And although the survey was open to other specialist libraries only 2 responded. Therefore the survey was representative of just over 22% of the sector. Although promising, an extrapolation of these findings may prove flawed. However, the survey findings taken together with the feedback provided by the two workshops does begin to present a consistent picture of a requirement currently not being adequately fulfilled and an enthusiasm for the CCM Tools to be made available. However, in order to move beyond current Copac holdings data, and therefore enable this broader community, a systematic scaling up of data ingestion from UK HEIs needs to be actively considered.

### 5.2 Benefits

The use cases<sup>7</sup> and case studies identify just some of the ways that the CCM Tools can benefit libraries. They have been developed to inform the way the tools support appropriate workflows, and have been able to illustrate how the CCM Tools can assist libraries with their collection management functions and decisions. In terms of the benefits which accrue, the following have been either realised in practice or identified as likely if appropriate systems can be set in place:

- Identify rare and unique items when withdrawing items from the shelves, by making the process of checking for last copies easy and straightforward. Relevant information can be made available to staff on the ground with minimal effort, saving both time and money.
- Make informed decisions about which items to conserve by giving staff instant access to information and identifying the preservation status of materials nationwide. Fixing 'at risk' items can be expensive and time-consuming, and this tool can help libraries to prioritize which items are given attention.
- More efficient workflows, leading to significant cost savings.
- Improved understanding of the collections, their strengths and how they fit within the national context of holdings.
- Better use of space as a consequence of more efficient and informed stock retention decisions. Many libraries are looking to consolidate space and inform service development decision making.
- Better information to support prioritisation and decision-making across all areas connected with collection management, including conservation, digitisation and bids for external funding.
- Evidence (especially statistical data) to support advocacy across the wider institution.
- Greater buy-in from users/academic departments, particularly around withdrawals and space management generally.
- Examining uniqueness of collections with a view to supporting bids for funding.
- Identifying areas of overlap with other Copac library holdings with potential collaborative ventures in mind.

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<sup>7</sup> The full use case reports are to be made available via the project website.

- Evidence of unique and distinctive collections for wider marketing of the library (and institution) to potential researchers.

The Manchester case study directly illustrates operational savings when using the CCM batch checking tools as compared with manual checking. In an exercise to test a method of assessing unbarcoded material, covering 19,000 items for either retention or withdrawal, the time saved was assessed to be reduced from 7 weeks down to 4-5 days thus producing an obvious efficiency and cost benefit.

### 5.3 Longer term benefit to institutions

#### *Improving the student experience*

This work will contribute to the **improvement of the student experience** by helping to provide access to appropriate resources, and **safe-guarding long-term access** to niche or specialist items. In addition, a key driver for libraries managing down print collections is to **free up space** so they can meet the demand for **learning commons and flexible research and collaboration spaces areas within the library**.

#### *Supporting research excellence*

In addition, the overarching driver here is to enable libraries to continue to **support research excellence**, and make **researchers' lives easier**. By ensuring that:

- the national research collection is maintained;
- researchers can trust libraries in their decision-making in this area, with collection decisions more readily understood;
- there is opportunity for identifying and developing unique and distinctive collections, with their potential importance in marketing the library to potential students and researchers across the world.

An aspiration of the project is that it will take us one step closer to building the foundations for a national approach to collections management, offering the potential for collaboration and sharing of materials between institutions across the UK, and **protecting researchers' access to the UK's rich research collections** into the future.

### 5.4 Understanding the data

Recognised through the case study and User Interface testing work is the need for practitioners using the tools to understand the nature of the Copac database to ensure that they are able to formulate searches that will present to them meaningful results sets. The [Case Studies Synthesis Report](#) available via the project website highlights this area.

One common theme runs across nearly all of the work undertaken, namely the difficulties caused by the presence of duplicate records for the same bibliographic item within the Copac database. This is very widespread and arises from the history of the database, variations in quality of the records and the limitations of current software platform. Copac will migrate to a new platform in the second half of 2012 and it is expected that this will eliminate the majority of duplicates for material published post 1800. Once this change takes place, it will then be possible to use a local record number search (derived from the library management system of one of the holding libraries) to identify all holdings of the title in question. Up to present, it has only been possible to reliably identify all holdings of a title



by using an ISBN search (which provides a mechanism capable of bringing together multiple records for the same title). In consequence, reliable results have only been available for titles where an ISBN is recorded locally i.e. titles published from the 1960's onwards (and even after that, many titles were issued without an ISBN).

### 5.5 Support requirements

The experience of the Associate Libraries has been very valuable to the project in understanding the nature of the support materials that are required to accompany the tools. Although the tools interface is fairly intuitive what is required is adequate information and exemplars to ensure that users expectations of what is achievable is realistic and that they can maximise what the tools are able to offer. It will be important to augment the content on the website with targeted guidance and assistance.

## 6 Recommendations & Next Steps

Throughout the project the support and feedback has been very positive with clear indications that there is the potential for CCM Tools to make a real difference to the work of collection managers and to inform critical decisions in our academic and specialist libraries. The workshops and survey show there is an interest in the tools becoming available to the community.

**The Project Team recommends that the CCM Tools are developed into a service for the academic community. To deliver this the following actions will be needed:**

### Short term (Year 1: next 12 months)

- S1. Secure continuation funding for the project with the aim of delivering the tools to a wider audience, fulfilling strategic aims and objectives.
- S2. Based upon the experience of the CCM2 pilot project, assess the supporting structure requirements needed to ensure a smooth transition into service and the resourcing required to run a full service.
- S3. The momentum of the project and the interest that has been generated in the wider HE library community should be sustained and built upon through outreach activity and access to the tools when possible.
- S4. Augment the content on the website with targeted guidance and assistance to set expectations and to maximise what the tools can offer.
- S4. RLUK, on behalf of the community, should take the lead in driving forward development of a national organisational framework to coordinate and maintain the integrity of the proposed National Research Collection of Monographs. As a minimum, this would require national agreement and/or clarification in the following areas:
  - An acceptable definition of long-term retention for preservation as well as access
  - The retention status of material held by the six legal deposit libraries
  - The degree to which participating libraries would be willing to be the official permanent repository for specific materials
  - The impact of the national backlog of uncatalogued materials in decision-making in this context
  - The role of digital surrogates (digital copies and eBooks) in decision-making in this context.



S5. Copac should provide the functional mechanism by which this National Framework operates and provide functionality for participating libraries to indicate, as a minimum, intention to retain an item in the long-term.

### **Medium term (Year 2)**

M1. Further consideration should be given regarding to what extent the new metadata fields could be automatically populated with data derived from that already held by Copac or within the local systems of participating libraries.

M2. Work should proceed on agreeing a metadata framework to support the National Research Collection of Monographs, based on MARC tag 583 and PDA to be headed by RLUK.

M3. The Copac Collection Management Tools should be further developed so that libraries can easily exploit this data.

M4. The framework implemented by Copac to support retention status should be simple and inexpensive for libraries to operate, yet sufficiently flexible and extensible to allow additional data as required, potentially including:

- physical condition of the item;
- access conditions, including ILL status
- digital availability.

M5. The status of a CCM Tools service should be that of a community based, not-for-profit service, embedded within the Discovery family of value added innovations.

M6. Should JISC wish to consider a subscription model, then a costs benefits analysis will be required that factors in the longer-term sustainability for the service, and the need for critical mass of users for the service to be of value at scale.

M7. Discussions should be initiated with OCLC around associated areas of common interest including participation of UnityUK libraries, common metadata specifications and the scope for further collaboration around mechanisms supporting long-term retention of print collections, supported by RLUK.

### **Long term (Year 3 and beyond)**

L1. Governance and stakeholder interests are addressed through the formation of an appropriate steering committee.

L2. The community as a whole should give further explicit consideration to the justification and value of retaining physical copies of items which have been digitised.

L3. CCM Tools can be used as a test case by the JISC for rolling out innovation and assessing models of sustainability.

The next few months are very important in determining whether, or how, the CCM Tools Pilot project will be taken forward. Good will from the project partners and associates is in abundance but funding the next steps is also crucial to its success. Further work is required to advance beyond pilot and into service.

## Appendix A: User Interface and Tool Development

The table below details what has been addressed in this area during the course of the project.

FUNCTION	DESCRIPTION
<b><i>Complete</i></b>	
Interface	New User Interface with a focus on usability. Including new search form presentation; easier navigation; and enhanced result presentation and data export.
Visualisation	Visualisation display enhanced to provide default view with thumbnails of alternative displays. Visualisation changes to support displayed incorporating new
Holding libraries limit	Library limit included on all search forms; with multi-library selection option with an increased range of libraries available. Separate Regional search option provided. New limit option provide on all forms, allowing a limit by the number of holding libraries in a record.
Deduplication	New deduplication options developed and incorporated in all search forms. Three levels of deduplication offer increasingly broad match criteria to allow different views of the data.
Keyword search	A title keyword search option added to the Keyword search screen.
Stability/Response times	A range of enhancements provided behind-the scenes improvements, including a number of changes to support faster presentation of results and visualisations for large result sets.