

A photograph of a library aisle with bookshelves on both sides and a window in the center. The shelves are filled with books. The floor is carpeted. The lighting is bright, coming from the window and overhead fixtures.

vantage

P O I N T 2011

**DISTRIBUTED PRINT REPOSITORIES:
WILL WE TRUST THE TRUST?**

[ABOUT US]

THE VANTAGE POINT SERIES FROM EBSCO INFORMATION SERVICES

addresses important issues in the serials information community and provides unique, knowledgeable perspectives on these issues. As a leading information services provider, we at EBSCO believe that these perspectives can provoke discussion and clarify ways in which emerging issues might affect your library or organization.

This publication contains presentations made by Dennis Massie, Mark Watson, and Brian E.C. Schottlaender at the EBSCO Executive Seminar held January 9, 2011, in San Diego, during the American Library Association Midwinter Meeting. Lizabeth "Betsy" Wilson, Dean of University Libraries at the University of Washington, served as moderator.



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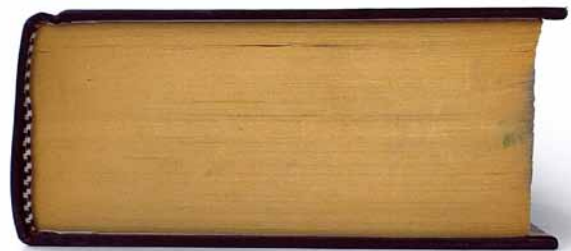
University of Oregon Libraries

a presentation by

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[Dennis Massie, Ph.D.]

Program Officer, OCLC Research

I've been asked to report on findings from the recent year-long Cloud Library Project and how they relate to a very important question facing research libraries today: Will we trust in the trust? Will we have enough confidence in a distributed network of print repositories to completely reorganize the way we manage our local print collections? I'm pinch-hitting for my OCLC Research colleague Constance Malpas, who is the mighty engine that drove the Cloud Library Project. She has just issued the final report for the project — it's big and heavy, with every ounce packed full of vital information that every library administrator will want to absorb. It's called "Cloud-sourcing Research Collections: Managing Print in the Mass-digitized Library Environment" and is available for free on the OCLC Research Web site. The report reflects its author: smart, logical, balanced, nuanced, crisp, tidy, and authoritative — everything that my upcoming remarks are not.

I did absolutely no work on the Cloud Library Project. I'm more of a fan or an advocate of the work. And since I've been given only a few thousand words with which to work in putting together my remarks, nuance must necessarily go by the wayside. So, you have every reason to hope that I've been liberated enough from the complexities of the project to be able to speak plainly.

In that spirit, where Constance begins her magnum opus with a poem by Lucretius regarding the nature of clouds, I'll be cutting right to a gauche movie reference. The title I've chosen is "Of Cloud Libraries and Trusting in Trusts, or: Is the Idea of Outsourcing Print Collections Ready for Its Close-up?" To inject just the right note of suspense — one might say *horror* — to the proceedings, let's add to the mix one of my favorite pop-culture icons of all time, Ms. Norma Desmond. Ms. Desmond, of course, is the deranged silent film star lusting after a comeback in Billy Wilder's brilliant Hollywood satire, "Sunset Boulevard"; she is portrayed by Gloria Swanson. In our little drama, Ms. Desmond will be playing the part of redundant legacy print collections. One can almost see her vamping in her glittering gown, inching toward a typical library's collection development officer, rolling her eyes back into her head and proclaiming breathlessly, "I'm ready for my close-up, Mr. DeMille. I used to be GREAT!"

Implications of the Cloud Library Project

The Cloud Library Project was an effort to compare the holdings of an ARL library (NYU) to the content of a digital aggregation (HathiTrust) and a shared print archive (ReCAP, containing the stored holdings of Columbia, Princeton, and New York Public) to which it had contributed no content. The idea was to determine the degree of overlap and the feasibility of such an ARL library outsourcing part of its collecting activity to two such entities.

Would the overlap in collections be sufficient to justify action? Could a business model be developed that would make the arrangement worthwhile for all three parties? Would the preservation and discovery promise of Hathi, coupled with a speedy and reliable service provision of print from ReCAP for in-copyright material, offset the risks — financial, political, cultural — of deaccessioning low-use print titles? I should mention that this project was concerned only with monographs, but many of the same principles apply to print journals.

While the hope was that the ARL library could rely on one agreement each for digital and print access, comparative collection analysis data showed that a network of shared print facilities would be required in order to provide the necessary level of duplication with the ARL library's collection. While the overlap between ReCAP and NYU did turn out to be lower than expected, the real surprise was the low overlap between ReCAP and the digitized Hathi corpus. Remember, ReCAP was to provide access to print versions of in-copyright material being preserved and potentially discovered in Hathi. ReCAP by itself, over the course of the project, only approached 20 percent overlap with the Hathi corpus. Then came the next great surprise: It turns out that not all the big print repositories are storing the same things. By aggregating the collections of a mere five of these repositories — ReCap, Library of Congress, Center for Research Libraries, and both of the University of California's regional facilities — overlap with Hathi reached nearly 80 percent.



Obviously, multiple agreements with individual repositories would be time-consuming and messy for libraries playing the NYU role to manage. The Cloud Library Project data says that what the community needs is a limited number of projects like the Western Regional Storage Trust — maybe half a dozen or fewer — to link together and provide a business model by which outsiders could purchase services. This will indeed require trust — among partners, between providers and consumers, and perhaps most difficult to achieve, between libraries and their constituents, and between libraries and their parent organizations.

There seems to be little doubt that outsourcing the management of low-use print collections is an idea whose time has come. A quick look at combined spending data for all U.S. academic institutions over the past decade shows that we're almost at a point where more is being spent on electronic than print. In fact, many ARL libraries are already there, spending more on "E" than "P." This leaves us with a shrinking pool of libraries with the mission and resources to keep print preservation as a core operation.

A distributed network of print repositories appears to be the answer. The question is: Who will play what role? Your library needs to decide: Do I have a preservation mandate? Am I going to be a consumer or a supplier when it comes to this distributed network?

Returning for a moment to the fact that the aggregated holdings of five print repositories provides for an 80 percent overlap with the digitized Hathi corpus, it's obvious that we won't need as many suppliers across the system as one might have thought. Most libraries should embrace the role of consumer and outsource at least some of the management of their print collections to the network. No more stand-alone, one-institution print storage facilities are needed. Self-identified "consumers" should not only refrain from building or renting any more storage pods, but they might want to consider nailing shut and abandoning those they already have.

OK, maybe I'm exaggerating just a bit. But seriously, letting the weeds take over may indeed be more cost-efficient in the long run

for institutions operating solo in the storage business given the very real costs of maintaining such space each year, and the mostly symbolic value such stored collections deliver, with circulation rates hovering at a mere 3 percent for off-site and 13 percent for on-campus. Unless they're part of the distributed provision network, these collections are not assets, they're millstones.

Risks and Rewards in Trusting the Trust

Of course, there are very real risks involved in outsourcing management of print collections to a trust. Will the distributed network persist? Do we really know how many copies are needed to support demand? But the cost of doing nothing is too great to ignore. An important study by one of my OCLC Research colleagues, Lynn Connaway, helped to provide some evidence that books are in fact a major cost driver and that the cost of owning and storing a print book can be up to seven times the actual purchase price. The lifetime costs for journals are not so horrific but still considerable. By pooling print resources in preservation repositories, these costs can be reduced and more equitably distributed.

Not only do we know that print collections aren't being used much, but recent studies show that it's even worse than we thought and that even old reliable metrics like the 80-20 rule are no longer true. A 10-year study of OhioLink circulation data across 89 libraries, performed in large part by my colleague Ed O'Neill, showed not only shockingly low use but lavish overduplication. In the aggregate, the 89 OhioLink libraries averaged more than four copies of each title. Meanwhile, it was not true that 20 percent of the collection accounted for 80 percent of the use. Oh, no — a mere 6½ percent of the collection accounted for 80 percent of the use.

So, what's not to like in all that, Ms. Norma Desmond, our redundant legacy print collections personified? Well, for most of

us, you've become an expensive pet, that's what. Useless now, even as a trophy, because you're no longer pulling your weight. And frankly, you're getting bigger in all the wrong places. Exorbitant maintenance costs, overduplication, and extremely low use — that's a real triple whammy.

Nobody said any of this transition is going to be easy. A Google Books settlement might solve many of the existing issues, but don't count on that anytime soon. Print will still need to be part of the equation for in-copyright stuff. Becoming a consumer of someone else's print resources instead of having them close by can be a tough sell back home. There are efforts afoot to improve the existing infrastructure for collaborative print management, including a new pilot project involving OCLC and some libraries in the WEST group, plus the University of Minnesota. And the business of a standard agreement that covers the network remains an imposing nut that has yet to be cracked. But, again, some of the work being done by the WEST group is making serious inroads.

What amount of benefit is enough to overcome the uncertainty and other barriers and get folks to pull the trigger on such an outsourcing arrangement? According to Constance's calculations, a typical ARL library could, today, recover 20,000 assignable square feet of space and avoid big bucks in new storage costs and even more big bucks in managing print collections on-site. If only such an arrangement with large-scale service providers were in place. Which, of course, it isn't. Not yet, anyway.

Back to the original question: Can we trust the trust? I think we're going to have to. The cost of inaction is too great. There are no other viable alternatives, barring a Google Books settlement that we could all live with. Folks like the WEST group are doing outstanding work, based on solid evidence, with access to considerable resources and to some of the best minds in the community. Eventually you have to make a move. Staying where you are is not an option.

Shows We'd Hate To See: When Transitions Attack

To end on a fun note, I'd like to go back to the movie theme I touched upon at the beginning of my remarks. Imagine two movies and a TV program that could be made, demonstrating the possible consequences of doing nothing or getting this transition to a network of print repositories wrong.

The first could be called "Shared Print Boulevard". In this noirish masterwork, William Holden plays the down-on-his-luck library administrator, and Norma Desmond reprises her greatest role as the redundant legacy print collection. (*"I'm still big! It's circulation that got small!"*) Holden thinks he can string Norma along, delay making any final decisions about her, and squeeze a bit more benefit from their relationship before making any radical changes. But Norma suspects he's plotting to get rid of her. The suspense reaches a fevered pitch. The administrator delays too long, and his beloved print collection drags him down with her. He ends up floating facedown in the recreation center swimming pool. She ends up being pulped. *Ghastly.*

You've heard of the children's story and computer-animated movie "Cloudy With a Chance of Meatballs"? Our version is "Cloudy with a Chance of Meatheads." In this troubling story, a meathead library administrator (played by the young Rob Reiner we saw in TV's "All in the Family") makes the wrong decision and plunges his campus into chaos. Instead of joining the distributed print depository network, the meathead decides to embrace the cloud on his own. Collaborating with an evil graduate student computer programmer, played by — who else? — Norma Desmond, the administrator creates a machine that is supposed to convert stored print volumes into free Kindle-like devices that will rain down from the heavens, fully loaded with the library's entire print collection. But sabotage on the part of the evil Norma causes the machine instead to rain down full-size volumes of the NUCpre-56 catalog, wiping out the entire campus. *Aaaaahhh!*

And finally, imagine a Dean Martin Celebrity Roast with redundant legacy print collections as the guest of honor — played, of course, by Norma Desmond. I used to love the Dean Martin roasts when I was a kid. My favorite part was at the end where they'd bring in either Rich Little to actually imitate the guest of honor or the very politically-incorrect Foster Brooks to come on acting completely soused to portray some former manager or mentor or spouse of the honoree. So imagine, if you will, a Dean Martin roast with Foster Brooks as the husband/library administrator, there to honor his spouse and treasure, the languid and beguiling redundant legacy print collections.

Imagine Foster stumbling along the dais in his shiny tux and powder-blue shirt with ruffles at the throat and wrists. With his full white beard and wild, unbrushed hair, he resembles nothing so much as a sleepy, self-satisfied owl. He stands unsteadily at the podium, trying to get his eyes to focus. His head bobs randomly as if he were some sort of bobblehead doll. Dean Martin, Don Rickles, Frank Sinatra, and Ruth Buzzi all roll around on the head table

in paroxysms of laughter. Finally, Foster looks down at Norma Desmond, seated next to the podium. She tilts her head back and regards him with a glassy, demented stare. Foster belches softly under his breath and begins to speak in a slurred, too-loud voice.

"I — I'm happy to be here to honor the lovely Redun-redundant-redun (*belches*) — my wife. We've been in bed together, so to speak, for a loo (*another belch*) for a loo — for a long time. And yoo (*ditto*) you used to make me — so proud. You were so Byoo-Byoo-Byoo (*spectacular digestive disturbance*) — really nice-looking. And now I gaze upon you, in all your *spla-splendor*, and all I can think to myself is, (*hiccups*) "My god, you take up a lot of roo-room!"

Beside him at the head table, in the place of honor, Norma Desmond looks like she's ready to give Foster a close-up — of her fingers squeezing his throat. Foster attempts to stand up straight and continues. "Un-unfortunately, *unlike yoo-you*, our marriage license is printed on ASS-ASS-(*belches*)-acid-free paper (*hiccups violently, nearly falls down*). So — so I guess (*belches*) we're stuck with each other." Foster waves to the crowd and then turns back to say one more word of wisdom to his spouse: "*Duh*-don't wait up, sugar."

The one and only Norma Desmond — Ms. Redundant Legacy Print Collections — overcome by her own unsuitability for the modern world, spontaneously combusts.

Conclusion

So, to sum up — trust the trust. A distributed network of print repositories is the way to go. There's a lot of work to be done to get us there, but it seems that many of the right people are already at work on it.

Providers will need to pay attention to adjusting their collection models to address outside need. And we may need some more help or even a new organization to see the work through. But the opportunity is clearly there. We just have to do it.

My thanks and kudos to all these folks who made the Cloud Library Project happen:

- Michael Stoller, Bob Wolven, Matthew Sheehy (NYU & ReCAP)
- Kat Hagedorn, Jeremy York (HathiTrust)
- Roy Tennant, Bruce Washburn, Jenny Toves (OCLC Research)
- Andrew W. Mellon Foundation

And, most especially, thanks to my colleague Constance Malpas. (*Please don't tell her about the Foster Brooks bit.*) ■

Presentation for:
EBSCO Executive Seminar
ALA Midwinter
January 9, 2011



DENNIS MASSIE coordinates the SHARES resource sharing consortium for the RLG Partnership and leads OCLC Research projects centered on sharing special collections and managing the transition from mostly print journal collections to mostly electronic.

Massie tends to be more operational than theoretical, with a keen interest in improving processes. While for years he worked strictly for organizations whose names can be expressed as TLA's (three-letter acronyms) — the Jet Propulsion Laboratory (JPL), New York University (NYU), and the Research Libraries Group (RLG) — Massie scored a major breakthrough in 2006 by finally catching on with a four-letter organization, OCLC.

Massie holds an MLIS from Queens College, City University of New York, and a Master of Arts degree in Creative Writing from Emerson College.

[Mark Watson]

Associate University Librarian, University of Oregon Libraries

Two bound journal volumes walked into a bar and grill and shelved themselves by the window. The waitress came over and volume one ordered the house sandwich: Dijon Pork Roast on Rye. When the waitress explained that the Dijon Pork Roast was already sold out, volume one started complaining loudly. Offended, the waitress spun on her heels and started to walk away. At that point, volume two flipped his cover and yelled, "Withdraw if you want, but we still want that DPR!" Get it? DPR? Dijon Pork Roast?

OK, moving right along ... my understanding is that everyone here is a library leader. That being the case, it's tempting to assume that we all share a common understanding of what we mean by distributed print repository, or DPR. But, let's reflect on that.

By DPR do we mean the group of geographically distributed libraries represented by the places where we work? Historically, the library brand has had a strong association with "a warehouse for books." We may be actively working to refine or even shed this brand, but a lot of people still cling to the image of the library as a massive storage facility, a repository, if you will, for print. Yes, the DPR we are talking about encompasses this notion of print holdings represented by the collections that we steward, but it's more than that.

When we say DPR, are we talking about a schematic representing the on- and off-site storage facilities scattered around the country? By on-site, I'm referring to the high-tech, robotic marvels like the University of Chicago's new Mansueto Library. By off-site I mean the enormous, high-density operations like the Harvard Depository and the University of California Library system's Southern and Northern Regional facilities. Yes, the notion of DPR under discussion here encompasses these facilities, but it's more than that.

The "more" I'm referring to is the special ingredient of purposeful coordination between the libraries and storage facilities holding the legacy of print acquisitions down through the decades. However, this is not some namby-pamby type of coordination that leaves to chance and circumstance the preservation of the scholarly record. Rather, it's an all-out assault on the wicked problem of

surfacing the holdings of print journals and monographs and then distributing responsibility for ensuring access to these materials, in perpetuity, for the benefit of the entire library and scholarly community. Lizanne Payne has written about the "more," saying that it is about leveraging the collective capacity represented by the our libraries and the storage facilities "to develop a broader, systemwide approach to maintaining print collections across institutional boundaries."

So now you have a better understanding of the DPR. It's a bold and enormously ambitious idea: a common mechanism to disclose library and storage facility holdings through a formal network with durable policies and understandings for ensuring preservation of print through time. In other words, it's a big, hairy deal!

Now, let's turn our attention to the question of whether there is something we can "trust." What's out there to warrant your attention, let alone your trust? If you decided to attend the seminar this evening to learn more about a topic that sounded interesting but about which you haven't heard much, let this evening be your wake-up call! The developing North American strategy to preserve and manage print collections of journals and monographs is bold if only in terms of the level of coordination and collaboration that is required — not to mention the amount of resources! It's breathtaking in terms of the potential changes that will accrue to the libraries that buy in and decide to "trust the trust." These benefits have been eloquently enumerated by others, but briefly consider the enormous level of duplication of print journals across a relatively small number of titles. Consider the fact that 24 percent of the monographs represented in WorldCat are held by more than 100 libraries. Imagine the transformative ways in which high-quality space in your library could be put to use if that space could be repurposed following a systematic drawdown of print holdings. In the CLIR publication "The Idea of Order", Charles Henry writes, "as the prevalence of physical objects fades into an environment of digital assets, the idea of a library and the nature of research become transformed."

"What to trust" might be more adequately phrased as "in whom should you trust?" The players involved in the DPR movement constitute a veritable pantheon of acronyms: ARL, ASERL, CARL,

CDL, CIC, CLIR, CRL, GWLA, IMLS, LC, OCLC, ReCAP, VALE, and WEST. Notable non-acronyms include Google, HathiTrust, Ithaka, JSTOR, LYRASIS, Mellon, OhioLINK, Orbis-Cascade Alliance, Portico, and R2. Together, and across a far-flung web of initiatives, grants, projects, papers, and research studies, the management of print collections and their preservation through archives and electronic services is taking shape in a new and profound way. Within the next several years, I fully expect to see a network-level, print archives framework that includes all the aspects detailed in the CRL "Print Archives Action Agenda": service agreements, systems to identify and disclose archive holdings, collection analysis tools, access/delivery mechanisms, and business models identifying cost factors and cost-sharing principles. And this includes both print journals and monographs!

Just as the DPR movement is being played out on the national stage, it is also taking shape in less-visible but important ways. Look to the consortium that defines your state or regional group of library collaborators, and chances are that there are stirrings or even strong evidence of activity in the DPR arena. The University of Washington and University of Oregon, both represented here this evening, are proud members of the Orbis Cascade Alliance. Interest in creating an accessible but carefully controlled archive of print journals blossomed several years ago, and work went forward to create a DPR spread across the holdings of the 36 Alliance libraries. After a lot of admittedly hellish spreadsheet work (I still have the scars) and a review of the MOU for legal sufficiency that stretched the patience of even the most patient among us, the DPR was finally set in place. In the case of the Alliance DPR, "who to trust" was probably less of a stretch than it might otherwise have been given a different set of players. The Alliance library directors have worked closely together over a long period of time and developed good working relationships that allow not only for collegial discourse but for mutual goal setting and risk taking. The consortial leadership and Alliance staff also do a good job of pushing out responsibility to staff in the member libraries. At this point, hundreds of employees have had an opportunity to serve on an Alliance committee or task force, and each and every assignment or positive interaction in service to the multi-institutional library that we are building creates another bit of the trust that we are talking about.

I've barely scratched the surface in addressing whether there is something you can trust — that you can rely on when it comes to DPRs. However, suffice it to say that a tremendous amount of work and activity are going on, and the resources of many committed partners are going into building a national infrastructure for print archives that I believe will be trustworthy.

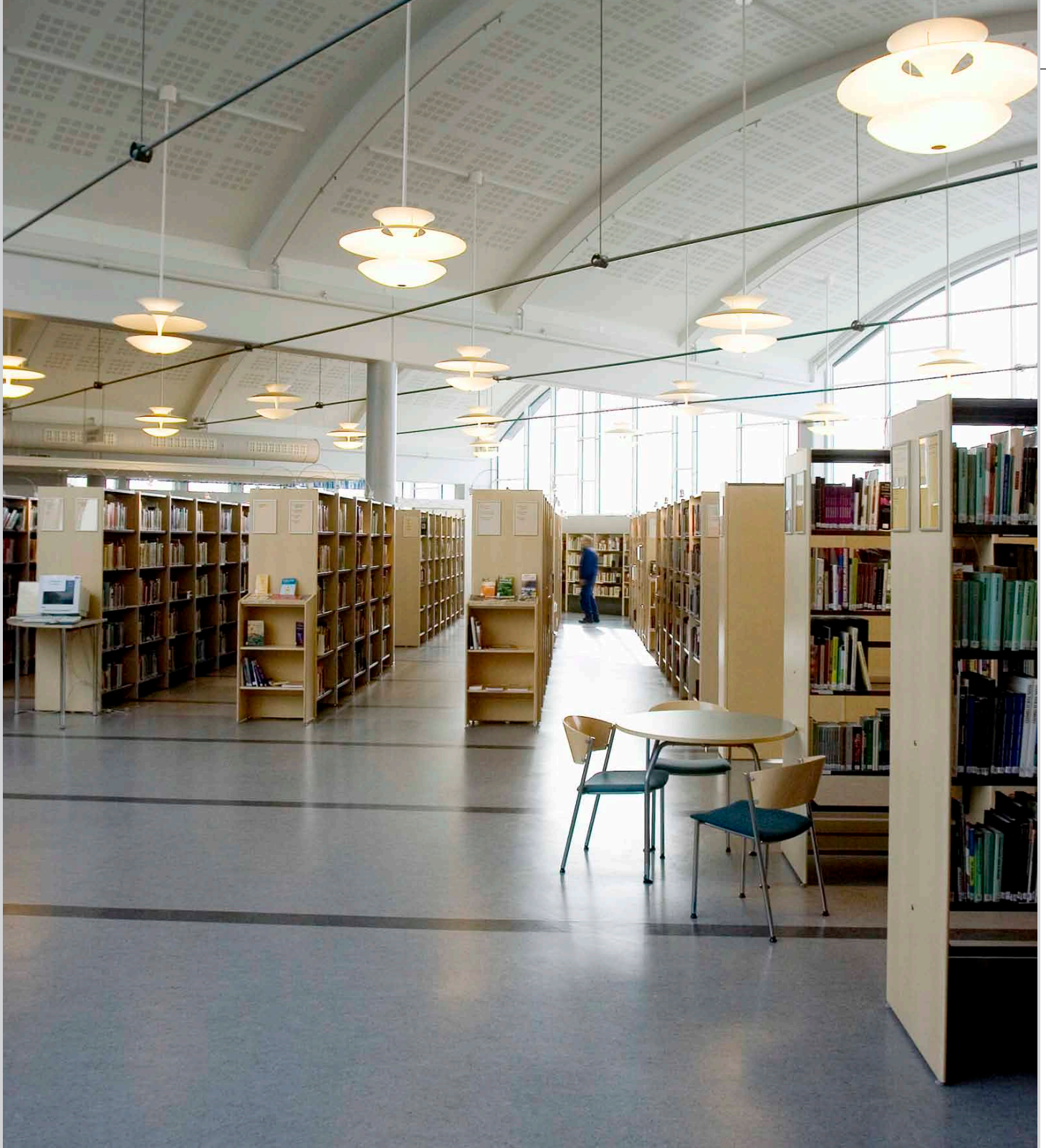


So, what's left for us to consider is the decision that we all face: When it comes to DPRs, "Will we trust the trust?" What do you think? Are you sufficiently impressed by the apparent number of influential library organizations that are actively working in this area? Do you have a better sense that a nationally coordinated framework may emerge to allow for the preservation of legacy print while allowing libraries to engage in deaccessioning enough material to reshape and repurpose our physical facilities?

If you are inclined to answer "yes" to this question, then I submit to you this evening that it's not enough to start paying attention ... or even engage in the discussion ... at least if you want to really "trust." You ... me ... we ... all need to act. We need to move our good ideas and intentions into the realm of practice. In other words — and because I'm from the University of Oregon and of a mind to quote our patron saint — "Just Do It." Only then, can we say that we will truly "trust the trust." Here we pause for a moment so that I can put it in gratuitous plug for the Ducks! Go Ducks!

Think about the old trust game of "fall back," where one player lets himself or herself fall backward and is caught by another player. Can the player whose job it is to fall back truly say that he or she trusts the other person without allowing their body to fall? In the absence of "just doing it," trust is only a potentiality. The terrifying sensation of surrendering balance and equilibrium to the void and to the promised safety net of waiting arms literally turns trust from a concept into reality.

To bring this back to DPRs, we can deliberate purposefully, coordinate systematically, build just the right infrastructure. But until we realize the benefits that can accrue from the deaccessioning made possible by this colossal archiving effort, we



can't truthfully say that we actually "trust the trust." Now, there are probably some libraries represented by those in the audience this evening who have considered the emerging state of print archiving and moved to deaccessioning and the elimination of unnecessary duplication in storage facilities. Can we see a show of hands of those libraries that have removed from their shelves all the print journals represented by the JSTOR collections? How about those who have removed some portion of the JSTOR collections from

their shelves? OK, I'm starting to feel the "trust." Now, how many of those who just put their hands in the air work in an ARL library?

Let's put it out there. Large academic research libraries are going to have a much harder time trusting the trust — especially if you buy into this idea that trust equals action. Why? I'll bet that you are already familiar with the reasons. In a survey of libraries within the Orbis Cascade Alliance, the reasons popped right out: there is no

time, there isn't an urgent need, it's hard to obtain faculty buy-in, research libraries should hold things "just in case." In other words, it boils down to resources, priorities, politics, and mission.

Resources. The staff who work in departments that once comprised what was known as technical services have a lot on their plates these days. From traditional cataloging, to supplying metadata for digital projects, to loading records, to updating the ERM, they are not spending a lot of time withdrawing print. Sure, some of this work is performed in the daily warp and woof of library activity, but it would take a major diversion of resources to mount a massive deaccessioning project. **Priorities.** It's unlikely that staff will beg for such a labor-intensive and, to some, odious project, so the decree will need to come from on high. In other words, FROM YOU. **Politics.** Why isn't the decree forthcoming? Why haven't you issued the orders? Faculty politics are unpleasant, especially when they concern strongly held beliefs and/or customs. If you have a choice between drumming up support for scholarly communication initiatives and proposing the weeding project of the century, it's pretty easy to know where the conversation is going. **Mission.** It's unfortunate, but I think the DPR and the promise it holds for helping revolutionize our institutions is, by and large, a library secret. It might not be classified information, but it might be considered controlled unclassified information. We can't talk about acting upon the trust because we know that some of our faculty members, and probably a good percentage of our library staff members, do not share the same sense of mission for the library.

So what do we do? In the twilight of print, we need to draw attention to the dawn of the digital. If "weeding" or "deaccessioning" or "drawing down legacy print" sounds or looks like the equivalent of a seedy, vacant building site (in downtown Eugene we have

several of these ugly pits), we need to help people envision the architecturally magnificent structure that will arise on the site. We can start by telling anyone who will listen how our patrons are using information resources. Data collected for the UO Libraries 2009/2010 Annual Report reveals that 83 percent of patron usage is for content in electronic formats. This includes locally produced digital materials and full-text articles. Print circulation now accounts for 8 percent of total usage. My guess is that your usage data looks very similar.

So, we have the data. We need to deal with the politics head on. We need to reimagine the library's mission in a digital context. The DPR is an important piece of this reimagining.

David Lewis, dean of the IUPUI University Library, offers five strategies to help us put this reimagining into action: complete the migration from print to digital; retire print collections and preserve them by developing shared print repositories; renovate library space to serve learning and collaboration; provide embedded support for research and teaching; and focus on curating rather than on purchasing content.

My colleagues, it's time to fall back into the arms that will catch us if we will only "trust the trust." ■

*Presentation for:
EBSCO Executive Seminar
ALA Midwinter
January 9, 2011*



MARK WATSON has worked at the University of Oregon Libraries for the past 24 years. Although the location has remained the same, he has had the privilege of performing a number of different roles, including that of catalog librarian, head of cataloging, head of technical services, and most recently associate university librarian, collections and access. The expansion of role has allowed him to poke his nose into many facets of the library's operations, the most recent addition to his portfolio being the branch libraries (Science and Architecture & Allied Arts), along with the Document Center, Music Services and Reference & Research Services.

Watson has been active in ALA, especially ALCTS/CCS, but finds himself spending more time now on consortial projects through the Alliance, CRL, GWLA, and WEST. Watson believes the future of academic libraries lies in radical collaboration where we stop clinging to local practice and work together to build the multi-institutional library. He says print repositories are part of this future, and it's time to seize the day.



[Brian E.C. Schottlaender]

Audrey Geisel University Librarian, University of California, San Diego

I want to begin with a disclaimer: In this presentation I have decided to focus on trust, and not “the trust.” So, if you have come hoping to hear a lot about WEST (Western Regional Storage Trust), you have come to the wrong meeting. But I can assure you that my friend and colleague Lizanne Payne, who is in the audience and with whom I have been conspiring on this initiative, along with about half of the rest of you in this room for the last couple of years, will be happy to get into details of WEST with you.

About two months ago, as the Schottlaender household was girding its loins for what passes for winter in these parts, I went to Home Depot in search of a new filter for our furnace. At Home Depot I was drawn to a filter called Natural Air. What drew me to this filter in particular was the presence on the front of the filter package of a very large emblem with the word “trust” in the middle of it, the name of the company — Flanders — up at the very top and a banner indicating, “We provide the best for you.” Hmm ... interesting. So I turned it over, and on the back I was interested to find this incredibly detailed explanation of Natural Air and the Flanders promise of providing “the best for you.”

Above the green box, the package says: “So when we say ‘Trust, we provide the best for you,’ it’s not just a motto; it’s a statement you can believe in.” As you scroll down the page, you will see a discourse on how Flanders tests its filters. They are tested by independent air filter testing facilities that are members of the National Air Filtration Association. These test facilities utilize a proven scientific method for filter testing created by the American Society for Heating, Refrigeration, and Air Conditioning Engineers (Who knew there was such a thing?). I am going to return to these points at the end of my talk. Hold that thought.

What is trust? In an article that is now going on 20 years old, Peter Smith Ring and Andrew Van de Ven defined trust as the confidence on the part of an organization that another organization will behave according to its expectations and that it will exhibit goodwill. So what is this confidence based on? A book published in 2001 by David H. Maister, Charles H. Green, and Robert M. Galford identifies four things on which we base trust: credibility, reliability, intimacy, and self-interest. Let’s just consider those briefly in a slightly different order. I want to reflect, using Mark’s [i.e., Mark Watson] falling backward example as an illustration:

How well do I know you? How good are you at what you do? Can I depend on you? How important is it for me to trust you? I think Mark's falling backward example is a very good one. If you are a big, strapping guy who happens to lift a lot of weights, when I ask you to catch me, you can catch me. It's probably relatively safe for me to trust you. It is doubly safe for me to trust you if you are the only one in the room and I am falling down.

Now there are various kinds of trusts, two of which I want to focus on for purposes of this talk: those defined by Christopher P. Holland and Geoff Lockett in their consideration of the kinds of trust that inform the formation of virtual organizations. This was published in the proceedings of the 31st Hawaii International Conference on Systems Sciences in 1998. The two kinds of trust they define are dispositional and situational. If we turn to Merriam-Webster, disposition is defined as a prevailing tendency; situation is defined as a combination of circumstances at a certain point in time.

Consider now the notion of formalized trust. In the business world, trust is pretty formal and usually enforced by a contractual agreement — and a contractual agreement, moreover, that has embedded in it either/or, and often both, monetary incentives and penalties. Going back to the earlier differentiation between situational and dispositional trust, I would characterize this as situational trust motivated largely by self-interest. Our world is a lot looser; trust is fairly informal. In our world, trust is generally the product of personal relationships, is by nature dispositional, and is motivated by intimacy. We are a pretty trusting bunch. We know each other pretty well. Take, for example, the two years that about 40 of us have spent defining the framework that is now known as WEST.

A federated preservation environment, however, demands more: namely the formalization of policy-based trust mechanisms that will allow each of the participating agencies to take the action it needs to take in confidence. Why is that? For two reasons: one, because of the great number of dependencies that I think Mark [Watson] has done a very nice job describing and that I think the graphics in the report that Dennis [Massie] presented lay out quite clearly. There are an awful lot of us entering into the development of these kinds of frameworks who are doing so by becoming very dependent on each other. In doing this, we are assuming a great deal of risk. If you follow Constance's [i.e., Constance Malpas] analysis, and the analysis by Roger Schoenfeld before

her, to its logical conclusion, and you go from 100 copies of a particular title to three, no matter how well you have distributed them geographically, you are putting yourself inherently in a risk circumstance. The outcome is really, really important. Really important. So, if we don't trust each other, it's too important a thing to do with the wrong partners.

The second reason why formalizing trust is important is more operational: that is, formalized trust mechanisms serve as vehicles for defining partner roles and responsibilities. They also serve as the basis for auditing and certification. Now, just a word on certification. The digital library environment has actually done more formal work related to certification than has the print library, which is nothing if not ironic. I think the print library (library, lower case l, at the collective network level) is going to have to do some pretty fast catch up in order to put itself on an equal footing. Formalized trust mechanisms — whether they are service-level agreements, whether they are memoranda of understanding, or whether they are member agreements — have one thing in common. Namely, that they specify the expectations and the commitments required for partners to work together closely and successfully.

Now in the case of WEST, for example, the vehicle that we have adopted is a member agreement vehicle, which is slightly different from the vehicle adopted by Orbis Cascade. But that agreement, I suspect, has a lot of elements in common with the MOU that Orbis has chosen instead. Those are, first and perhaps foremost, the three R's: roles, responsibilities, and rights. The document needs to articulate who is to play what role, what are the responsibilities associated with playing that role, and what rights accrue to the various partners — both those who are providing services and those who are consuming those services. The agreement needs to talk about money: Why will various partners get money? When will they get the money? How will they get the money? And in what form will they get the money? There is a host of administrivia that the agreement needs to comprehend, as well, including governance, the term of the agreement, how the agreement is going to be enforced, and the like.

Let's go back to our friends Flanders. So, we have this long discourse on how Flanders goes about testing, which comprehended the following: independent air filter testing facilities plus members of the National Air Filtration Association who employ proven scientific methods created by the American Society of Heating,

Refrigeration, and Air Conditioning Engineers — all of that adds up to certified trust. I think once we get into actually building this distributed print repository — and we are now in the West (i.e., from the Mississippi to the Pacific Ocean) proceeding to do that in very concrete terms — we will in very short order thereafter, working with agencies like the Center for Research Libraries and others, need to begin the certification strategies that will allow us to have trust in the trust over the long term. ■

*Presentation for:
EBSCO Executive Seminar
ALA Midwinter
January 9, 2011*



BRIAN E. C. SCHOTTLAENDER, the Audrey Geisel University Librarian at the University of California, San Diego, since 1999, is one of the most prominent leaders in the academic library world. Under Schottlaender's direction, the UC San Diego Libraries have built world-class collections and innovative services, and have excelled in the development and implementation of cutting-edge digital technologies in support of national and global digitization and digital preservation initiatives.

Over the last decade — during Schottlaender's tenure as UC San Diego's University Librarian — the UCSD Libraries have risen to the ranks of the nation's top 20 public academic research libraries.

The UC San Diego Libraries were the first in Southern California to partner with Google on its global book digitization project. Additionally, under Schottlaender's leadership, the UCSD Libraries have played a key role in building out the Pacific Rim Digital Library Alliance (PRDLA) — an international consortium of 31 prestigious academic libraries. Schottlaender is a member of the Executive Committee of the San Diego Supercomputer Center, the OCLC Board of Trustees, and the executive committee of HathiTrust. He is also a member of the SPARC Steering Committee and the ARL e-Science Working Group.

Currently, Schottlaender is an investigator on three extramurally funded projects with national significance, including:

- WEST (Western Regional Storage Trust), an initiative funded by The Mellon Foundation to develop a distributed, shared retrospective journals repository among research libraries in the western United States;
- ArchivesSpace, an initiative also funded by the Mellon Foundation to create a next-generation suite of software tools for managing archival collections; and
- Chronopolis, a Library of Congress — funded initiative to create the distributed computer infrastructure needed to collect and preserve at-risk digital information for the long term.

In 2010, Schottlaender was named the Melvil Dewey Medal winner by the American Library Association in recognition of "creative leadership of a high order." Schottlaender, who held positions at the California Digital Library, UCLA, the University of Arizona, and Indiana University before joining UC San Diego, was also recognized for his significant achievements in collections management by the American Library Association with the 2007 Ross Atkinson Lifetime Achievement Award.

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