ReCAP Discovery to Delivery Project
April 1, 2012 through July 31, 2013

Final Report to the Andrew W. Mellon Foundation
October 2013

Objectives
The ReCAP partner institutions (The New York Public Library (NYPL), Columbia University, and Princeton University) have undertaken a planning project, with support from The Andrew W. Mellon Foundation, to transform the nature of the partnership from management of a shared space at the ReCAP facility to management of a shared collection. The goal of this effort is to ensure that the shared collection is managed efficiently, preserved appropriately, and available through seamless discovery and delivery to patrons of each of the three partner libraries. Another key outcome of the project will be to position ReCAP to take on a broader role within a national network of shared-print repositories.

Primary project objectives included 1) defining policies to govern, manage, and share costs of a ReCAP shared collection and 2) developing a systems architecture plan to support the desired collections management, collections development, and discovery-to-delivery functions.

The details of the planning project and the partners' work to realize their objectives are outlined below. Most significantly, however, was the unanimous endorsement by the the ReCAP Board in September 2013 of the principles of the shared collection as outlined below and in the appendices to this report, and the approval to commence work on full implementation of these principles.

Deliverables
The planning project was organized around several activities, each with its own deliverable(s). ReCAP partners engaged several consultants to support these planning activities as identified below. All activities involved substantial work and review by the ReCAP Planning and Policy Committee (see Appendix A).

   a. *Strategic planning*. Consultant: Lizanne Payne, Planning Consultant.

   b. *Holdings analysis*. Consultant: OCLC Research (represented by Constance Malpas).

   c. *Policy changes*. Consultant: Payne.

   d. *Cost analysis*. Consultant: Payne.

   e. *Cost-sharing mechanisms*. Consultant: Payne.

   f. *Workflow and technology requirements*. Consultants: Sustainable Collections Services (SCS); Marshall Breeding; HTC Global, Inc.

   g. *Recommendations* to the ReCAP board and partners. Consultant: Payne.

Accomplishments
The ReCAP Planning Committee, consultants, and directors of ReCAP partner libraries successfully accomplished the planning activities identified for the grant period and produced an overall plan for implementing a ReCAP Shared Collection with Discovery/Delivery System. Descriptions for each activity are outlined below, and individual deliverable reports are available in the appendices.

Strategic planning
The ReCAP Planning Committee and Planning Consultant Lizanne Payne conducted strategic planning efforts in the early months of the project to establish shared understandings and priorities. This activity

culminated in Ms. Payne's presentation to the Planning Committee and ReCAP Library Directors on May 18, 2012, at which the group endorsed the following shared priorities and project scope:

- Define the ReCAP Shared Collection as designated materials that are physically housed at the ReCAP facility (present and future) and covered by a ReCAP ownership/retention agreement
- Focus on discovery and access for the ReCAP Shared Collection as defined above but not for partner general collections (outside of ReCAP holdings) (not a goal of this project);
- Consider cooperative collection development (future acquisitions) of general collections material later but not as a goal of this project.

Deliverable provided: ReCAP Planning Report (Appendix B)

Holdings analysis
The ReCAP partner libraries engaged OCLC Research to analyze partner collections and current holdings in the ReCAP facility during 2012. This collection analysis provided a number of reports that supported subsequent decisions about the shared collections.

OCLC Research (led by Constance Malpas) provided three sets of reports including two major rounds of new analysis for the ReCAP shared collections project:

- Review of earlier data from the Cloud Library project
- "Pre-grant analysis" in March 2012, designed to be completed before the current planning project began in April 2012
- Detailed analysis using updated data in July-October 2012

OCLC Research provided a variety of comparisons between ReCAP partner collections, ReCAP holdings, Hathi Trust holdings, and WorldCat holdings. Two of the most significant findings were:

- Over 4.8 million monograph titles and over 245,000 serial titles were reported as potentially shareable ReCAP holdings
- There is significant overlap (42 percent) between current ReCAP storage inventory and HathiTrust. By effectively surfacing access to digital surrogates -- including search-only access for in copyright volumes -- ReCAP partners may be able to reduce retrievals and associated operating costs.
- Based on data supplied, title-level duplication in current ReCAP inventory is calculated at 11 percent. Rather than de-duplicating this stock, ReCAP might instead view it as a seed-collection for a shared print offering beyond the ReCAP partnership.

Deliverable provided: ReCAP Holdings Analysis Report by consultants Malpas and Payne (Appendix C)

Policy changes
The Planning Committee worked with Planning Consultant Payne to develop new mechanisms for governance, ownership, and permanence of collections held at ReCAP, along with related policies to manage the Shared Collection. The committee defined the following policies:

- Retention: The owning library agrees to maintain Shared Collection materials in ReCAP for the duration of the ReCAP Consortium Agreement (e.g. indefinitely).
- Ownership: Items in the ReCAP Shared Collection will remain the property of the original owning library.
- Duplication: Duplicate items may not be added to the Shared Collection, but may be added to a ReCAP partner's Open or Restricted Collections.
- Disclosure: ReCAP libraries will report Shared Collection holdings (including retention commitments) to OCLC and will monitor and adopt, as appropriate, emerging national standards and guidelines related to shared print collections.

- Circulation: Most Shared Collection materials may circulate to authorized borrowers of any ReCAP partner, including circulation of the physical volume. Owning libraries may designate certain materials to be restricted to in-library use at the borrowing library, at the owning library's discretion. Some materials will not circulate or will be accessible only under very limited conditions, i.e. a dark archive. (Note: This category is being provided for future use. There are no Shared Collection materials at present that are expected to be held as a dark archive.)
- Condition: Items being transferred to ReCAP for the Shared Collection must meet agreed standards for Minimum Acceptable Condition. Volumes will also be reviewed for Minimum Acceptable Condition after circulation from ReCAP

ReCAP partners wish to signal the importance of the Shared Collection by embedding its policies and commitments within the overall Consortium Agreement (originally executed in 2000). The Consortium Agreement, signed by each institution's chief executive, defines details of the partner relationship, terms and conditions for participation, and facility policies.

Deliverables provided:
- Proposed Revisions to ReCAP Consortium Agreement (Appendix D)
- ReCAP Shared Collection Plan (Appendix E)

Cost analysis
Planning Consultant Payne prepared an analysis of costs associated with various strategic and policy options. Costs to implement and support the ReCAP Shared Collection will be affected primarily by the required technology (Discovery to Delivery system) but also by necessary operational changes and by certain policy choices. The deliverable report "ReCAP Cost Estimates" includes cost factors and estimates for most of the planned changes. The cost estimates were not developed through a specific cost analysis, but are instead based on certain cost allocation assumptions that are already in use for the ReCAP budget and cost-sharing formula.

Deliverable provided: ReCAP Cost Estimates (Appendix F)

Cost-sharing
The objective of this activity was to develop a business model for operating the ReCAP Shared Collection. To provide background, consultant Payne developed a report on business models used by other shared print programs.

ReCAP partners identified the following principles to be accomplished by a new Shared Collection cost-sharing formula:
- Encourage contributions to the Shared Collection to facilitate preservation and resource-sharing
- Discourage contributions to the Open Collections (shareable but not part of the Shared Collection) to minimize the impact on ReCAP shelving capacity, while supporting use of ReCAP space for Restricted materials when necessary (usually special collections).
- Recognize the new borrowing patterns that may emerge using the Discovery/Delivery system
- Minimize the impact of the formula change on individual ReCAP partners whose fees may increase.
- Adapt to changing usage and priorities over time through regular review of the cost-sharing formula.

Deliverables provided:

- Business models in other shared print programs (Appendix G)
- New proposed partner cost-sharing formula included in the ReCAP Shared Collection Plan (Included in the "ReCAP Planning Report," Appendix A)

Workflow review

ReCAP partners engaged Sustainable Collections Services, Inc. (SCS) to conduct a workflow analysis of current and potential procedures to support the Shared Collection. SCS recommended a number of potential workflow changes, of which the following were deemed to be especially important by ReCAP partners:

- Revise pick cycles at the facility around requesting library: Pull all items for a given requesting library (no matter which owner or customer code), instead of pulling all items from a given owner as is done currently.
- Standardize delivery benchmarks: Establish a standard expectation for delivery across all ReCAP partners and schedule pick cycles and transport pickups to meet that benchmark.

Deliverable provided: Workflow Analysis report, including comparative workflow analysis (Appendix H)

Technology requirements

One of the most significant achievements of this planning project was the design of a system architecture to support collections management and discovery-to-delivery functions for the ReCAP Shared Collection. Consultant Marshall Breeding identified and assessed current systems in use at the ReCAP facility and at partner libraries and identified areas that would need to be modified to support a Discovery/Delivery System as envisioned for the Shared Collection.

ReCAP partners subsequently engaged HTC Global, Inc. to develop a detailed system architecture and related cost estimates for the proposed Discovery/Delivery system. As designed, the system is expected to be developed as a cloud-based middleware system searchable through each ReCAP library's local discovery system, to provide visibility and real-time status of ReCAP Shared Collection items. The ReCAP Discovery system will also integrate with request and circulation transactions supported by ReCAP partner library systems. The ReCAP Discovery/Delivery system may be useful to other shared print programs or consortia that wish to support an integrated discovery and request environment for multiple separate systems.

Deliverables provided:
- ReCAP Project Technology Report, prepared by Consultant Marshall Breeding (Appendix I)
- ReCAP High-Level Architecture 1.0 prepared by Consultant HTC Global, Inc. (Appendix J)
- Discovery to Delivery System Cost Projections prepared by Consultant HTC Global, Inc (Appendix K)

Endorsement by the ReCAP Board

As noted above, the overall plan incorporating recommended policy changes, governance changes (revised Consortium Agreement and cost-sharing proposal), and technology recommendations was endorsed by the ReCAP Board of Governors on September 26, 2013.

Challenges

The primary challenge encountered during the project was the difficulty hiring a Technology Architect as originally planned. In the original grant proposal, the Technology Architect was envisioned as a part-time temporary staff position to be hired at the New York Public Library. After attempts to fill the position in

this way were unsuccessful, ReCAP partners modified the approach (with approval of the Foundation) to contract for system architecture services with an outside firm.

NYPL solicited bids from multiple firms and, after review by the ReCAP Planning Committee and technology staff at partner libraries, selected HTC Global to perform the planned work. HTC Global has performed similar work on the Kuali OLE system development, and thus were familiar with library and higher education applications. The difficulty in staffing the Technology Architect role resulted in a delay of several months and necessitated a no-cost extension of the grant period. The period originally planned to end on March 31, 2013 was extended to July 31, 2013.

Project Personnel
There were no significant changes to project personnel during the project.

Publications
There are no publications to date.

Intellectual Property
The documentation developed by HTC Global, Inc. describing the system architecture for the Discovery to Delivery System is subject to the intellectual property agreement required by the Foundation. This document is attached as the report ReCAP High-Level Architecture 1.0.

Future Plans
ReCAP partners are gathering additional information and soliciting bids for consulting work and system development work, with a goal of beginning implementation of the Shared Collection and Discovery/Delivery system in 2014.

Financial Narrative
The initial budget for the ReCAP project included expenses in two categories: project staff (salaries and fringe benefits) and consultants' expenses. While grant expenditures remain restricted to these two categories, specific expenses changed as a result of the challenges outlined above.

As noted above, while the Library had intended to hire a Technology Architect for the project, which was unsuccessful and necessitated hiring an outside firm to perform much of the work. While the consultants for the technology architecture performed ably, The New York Public Library's Information Technology Group staff were required to perform much of the work to coordinated the architect's work with institutional systems. The relevant portion of their time was included on the grant. Other staff expenses for NYPL include salary and fringe benefits for Jason Bauman, NYPL's analyst to perform collection analysis work with OCLC and ReCAP partners to identify the shared collection potential.

Conclusion
The project partners recognize the significance of the work performed under the auspices of this grant and are grateful to the Andrew W. Mellon Foundation for its support of this effort. The implications of the planning phase for the future of shared resources among the project partners are significant for the institutions themselves and as a model for other national print repositories.