



**Report on the  
Collaborative Academic Store For Scotland  
2002-2009  
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## **Executive Summary**

**The Collaborative Academic Store for Scotland (CASS)** was a pilot project from 2004 to 2009 and was supported by the Scottish Confederation of University and Research Libraries (SCURL.) The National Library of Scotland provided the accommodation to enable the project to begin when the sought funding from the Scottish Funding Council was not forthcoming. The collaborative nature of the pilot confirmed a strong and welcome relationship with the NLS and SCURL.

In 2002 it was clear that the need for a collaborative store for the SCURL members and the pilot set out to deliver and test the model which had been agreed. Two of the aspects contained in the 2002 report – a de-duplicated collection and a jointly-owned collection – were not achieved due to the changing environment from 2004 to 2009. The emergence of the UKRR and SHEDL altered the vision of CASS. But the success of CASS was of a new level of collaboration, of creating a collaborative collection management recommendation, of stretching custom and practice with relegation of printed material, and of finally, repatriating or disposing for recycling the content of the CASS store. Some of the contents of CASS have assisted with the UKRR's aim of a dispersed national collection so CASS has contributed to another national project.

Thanks to the CASS Steering Group, the CASS Operations Group, and the NLS CASS Group, we hope that this report will continue to ensure resource sharing among the Scottish academic and research libraries with the National Library of Scotland is firmly placed within this community.

Colin Sinclair and Jill Evans  
December 2009

## **The Case for CASS**

The project began in 2002 and was divided into 2 phases: 2002-2007 and 2007-2012.

**The Partners.** The National Library of Scotland and seven partner libraries: Glasgow Caledonian University, The Royal Scottish Academy of Music and Drama, the University of Aberdeen, University of Edinburgh, University of St Andrews, University of Stirling, University of St Andrews, and the University of the West of Scotland (Formerly Paisley University) with the National Library of Scotland who provided the accommodation for the print content. The National Library of Scotland welcomed the opportunity to reinforce its service for higher education by offering to provide a location at a below-commercial rate.

**The need** for a collaborative response to acquire, store, preserve, provide access and deliver content in the short to medium term was established in 2001 with a bid to the Carnegie Trust for the Universities of Scotland and to the Scottish Confederation of University and Research Libraries (SCURL) to fund a six-month study. The report, submitted in 2002, recorded the outcomes and the recommendations learned from the research and findings of the study.<sup>1</sup>

**The Drivers were** space constraints, library refurbishments at Edinburgh, Stirling, St Andrews, Aberdeen and a new build at Glasgow Caledonian. Another driver was the Scottish Government's agenda of shared services, collaboration, and widening access to collections for a knowledgeable, smarter Scotland etc. However, other subsequent achievements were a stimulus to researcher acceptance of science e-journals and printed journal disposal and a boost to collaborative service development within SCURL.

**Costs.** The cost to set up an independent store was prohibitive ( total capital cost of £540,000 at 2001 prices) and funding was not forthcoming from the Scottish Funding Council (formerly the Scottish Higher and Further Education Council SHEFC). It had been calculated that each of the 10 institutions would have each been required to pay £27,000 set-up costs if the Funding Council had provided 50% of the initial cost. The recurrent cost was estimated at £160,000 for the estate, staffing insurance etc which if shared between 10 institutions implied £16,000pa per institution. Developing an independent store implied long-term commitment of these costs and if one institution subsequently withdrew its commitment then the costs would be required to be equitably shared between the remaining participating institutions. The National Library of Scotland provided the accommodation for the print content and this contributed to strengthening the relationship with SCURL.

## **Creating the Service.**

The CASS service began in earnest in January 2004, with the official service launch held at the CILIPS Conference in June of that year, aiming for “a shared, cooperative approach to the problem of lack of space and to inject momentum into stock disposal and relegation practices”.(1). The pilot promised to be an interesting period as HE libraries across Scotland sought, collaboratively, to reengineer their collections and library space to accommodate increasing student numbers and changing methods of teaching and learning. It was expected that the project would be self-financing over the 5-year term. (Phase 1 was 2002 to 2007 and Phase 2 2007 to 2012.) The contract with the NLS would “continue in full force and effect until 13<sup>th</sup> January 2009.”

The benefit of a shared store seemed obvious given that several HEIs were tackling the same issues but, as shown, the costs of creating the necessary physical space required us to consider more imaginative solutions. In that context, SCURL’s partnership with the NLS was crucial in delivering a pilot service, the Causewayside building had adequate space and shelving to support a pilot shared storage facility – shelving totalling 5,645 linear metres was available, at least in the short term - CASS actually occupied 5078. The NLS’s increasingly open strategy, which sought to develop “partnerships and collaboration with information and cultural organisations”(2), suggested that NLS support for a collaborative store would be mutually beneficial. It was recommended to the SCURL committee that the NLS offer of space to support a pilot, charged at a fixed rate of £10 per.linear metre should be agreed and work started on identifying and transferring stock.

1. Information Scotland. Volume 2(3), June 2004, p5.
2. Breaking through the walls : the strategy of the National Library of Scotland, p3. <http://www.nls.uk/about/policy/strategy.html>

## **Stock selection.**

The process of selecting stock for CASS presented a new challenge for collection managers. There were to be costs associated with the CASS service, in transporting stock, in storage and in cataloguing and preparation of inventories. In addition, the vision of a store holding low-use, high value research material placed an onus on partner libraries to consider carefully what was to be placed in this facility.

Discussions amongst partner libraries in late 2003 revealed that most were planning to deposit science, engineering and management journal backruns (with the obvious exception of the RSAMD), though there were also to be some monographs in the initial deposits to CASS. The first material moved to CASS was a collection of periodicals, some 43 metres worth of material relating to music and drama, which was moved in the first weeks of 2004.

Subsequent CASS deposits included more monograph stock (several thousand volumes from Edinburgh alone) as well as stock representing print versions of material held in electronic form. This resulted in almost full occupancy of the 6000 linear metres at Causewayside by early 2007.

### **Transfer of stock.**

By consensus amongst partner libraries, the work involved in preparing stock for transfer to CASS was greater than anticipated. Partner libraries were expected, quite correctly, to provide a full inventory of stock transferred and to supply catalogue records. All partner libraries reported spending a great deal of time checking content, noting gaps in holdings and updating spreadsheets of journal holdings for supply to CASS.

It should be noted that the inventories supplied were crucial in supporting the retrieval service as they often provided more detail than catalogue records on the collections submitted.

The process for the physical transfer of stock depended on the scale of the deposit. With RSAMD's initial deposit, the NLS carried out the transfer, with Paisley able to complete a move with their own staff and a hired van! For larger transfers, partner libraries were able to share information and experience with a range of removal firms, notably Crown Removals and Express removals. Again, close liaison with colleagues at the NLS ensured a smooth transfer of stock into the CASS space.

NLS staff provided extremely useful *Guidelines for depositing libraries* to ensure that all deposits to CASS met a basic common standard in terms of arrangement and physical condition.

### **Stock arrangement**

In terms of collection ownership, the CASS pilot was clear in that partner libraries were to retain ownership of the material with the aim of considering the ceding of ownership to a new body through the lifetime of the pilot. In this context it was important that each partner library collection could be easily identified in case material was to be returned (as partner had the right to reclaim stock). Consequently, material was shelved as delivered, with the partner library clearly identified.

To assist retrieval, NLS staff began the mammoth task of processing the entire collection, assigning a code to identify the partner library (STI = Stirling, SAN = St. Andrews etc) and a running number to identify each volume.

### **CASS catalogue**

It was incumbent on partner libraries to supply full catalogue records from the outset; this ensured full coverage of the CASS collection in the CASS catalogue and ensured that partner libraries had a complete record of material in CASS.

The NLS support for the CASS pilot extended to providing the catalogue platform on the NLS's Voyager system and the required expertise in loading records supplied by partner libraries. As such, the pilot was able to have a catalogue in place from the time of the first deposit of stock. Access to the catalogue was promoted via the CASS website (<http://cass.nls.uk/>) and linked to directly from a number of partner library websites and catalogues. While the CASS catalogue was an essential tool for partners, it would also be true to say that the catalogue was unfinished business in terms of the overall project. Problems in exporting data in a standard form meant that records for journal runs often lacked holdings information. This required that users (and library staff) had to check the partner library catalogue for fine detail on the holdings within CASS.

NLS colleagues Graeme Forbes and Gill Hamilton provided detail on the minimum standard expected of records for the CASS database, with a complete set of the fields required for records being submitted.

### **Running the Service:**

The CASS service was run by three key groups – the CASS steering group which considered strategic and contractual matters, the CASS operations group (COG), which handled day-to-day operations, the mechanics of depositing stock, the catalogue and service delivery and a CASS group within the NLS which considered the implications on NLS services and reported to COG and the steering group as appropriate.

The CASS Operations Group met several times a year, though less frequently as the service settled, and was instrumental in setting up the CASS service. As well as supporting the production of initial guidelines on deposit and the establishment of the CASS catalogue, it was crucial in determining the service levels that partner libraries could expect from the CASS staff at the NLS.

### **Delivery mechanism.**

Early meetings of COG established the mechanisms under which requests could be submitted to CASS and how content would then be delivered to partner libraries. A key service element was the delivery of journal articles in electronic form, this was a major benefit for many partner libraries and it was reported by many that this could mean that CASS was able to deliver material to users more quickly than partner libraries were able to retrieve material from their own stores in some cases. Monograph stock was delivered by mail.

From early in 2004, the CASS service was delivered by the NLS taking requests via partner libraries' inter-library loan/document delivery

departments. This provided the NLS with the assurance that they were dealing with an authorised borrower and provided partner libraries with a point of contact for chasing overdue items. The group did have the aim of considering ways in which content could be delivered to users more directly and trials were conducted with ARIEL software to this end.

COG conducted a full investigation of the options for secure electronic delivery through a sub-group of key staff that reported in April of 2005 that Ariel was the best mechanism for delivering this level of service and recommending that partner libraries acquire the software. Alternative delivery by email would be made through ILL/DDS services.

### **Statistical monitoring.**

Access to accurate and timely information on the use of the collections and service levels was crucial in assisting the development of the service and for partner libraries to assess the demand on their collections. Following discussions at the Operations Group, staff at the NLS and the CASS Project Office put together a package of statistics that was both useful and achievable within the resources available, it gathered several key performance indicators:

- The size of the collection in terms of space occupied, broken down by partner library.
- Number of requests submitted by each institution each month.
- The number of catalogue records in the CASS catalogue.
- Number of documents delivered broken down by partner library and by loan, photocopy or EDD
- Requests made by libraries for stock other than their own material.
- Number of unsatisfied requests.
- NLS processing time.
- Total proportion of stock in use.

Statistics were updated and supplied to both steering group and COG on a quarterly basis. The aim was to allow the NLS to assess the effectiveness of the CASS service and the use of the collections.

### **Deduplication.**

Once the CASS service was established, COG were asked to assess the level of duplication within the collection with a view to discarding duplicates, thus creating more space for further deposits but also to consider issues of collaborative collection management more generally.

This work began with the invaluable assistance of Glen Mohammed at the NLS who managed to identify 380 potential journal overlaps within the collection. Due to the complex (and variable) nature of serials holdings data, further work was necessary to establish whether duplicate titles in CASS actually equated to duplicated runs. This work was carried out by staff at Stirling University by checking the host OPACs of partner libraries to establish exact runs in CASS. Partner libraries were then asked to check this and

confirm their holdings were in fact correct. Having established duplicate runs, further work was carried out that the NLS to establish the physical scale of the duplication, by measuring the linear metres of duplicate runs. This was completed through the summer of 2006.

In total, this work identified 242 duplicate journal runs occupying 273 metres (or 5.4% of total holdings). This was presented to the steering group, but given the relatively small gain, it was felt that the resulting workload did not merit the disposal of this stock.

De-duplicating the collection would have produced a total of 273 metres of shelf space in unusable “pockets” of the collection. The entire 4,727 metres of print content would have been required to be re-shelved to make best use of the space and it would have offered a challenge to identify who, or which institution, would meet the costs of re-placing and re-shelving the collection. 273 metres of available shelf space was not an attractive option to “sell” to the existing CASS partners who would have been required to measure their collections to match the available space.

So the collection remained with duplicated titles. It is important to remember that some of these titles may also have been held in the NLS collection – perhaps only a floor apart – which would have been available for consultation.

### **SCURL Health Group.**

The establishment of CASS and a shared collection was always going to stimulate debate on wider collaboration on collection management.

One specific example of this was discussion that took place within the SCURL Health Group during 2006 on using CASS to facilitate a small shared collection of stock in one key area, namely health. The aim was to identify a small number of titles, around 5 that were of value to several libraries and deposit a single set to CASS, allowing libraries to discard duplicated runs.

While subsequent discussions on the future of CASS meant that the group could not progress the pilot, the discussions helped develop the concept of shared collection management and made libraries think more carefully about their collections and how they may wish to offer content to users.

### **Changing Environment**

#### **The Scottish Copy**

The environment in which universities and libraries worked from the inception of the project to its completion in 2009 changed with a growing understanding and recognition that our libraries’ collections contained a percentage of duplication in our individual collecting policies. Discussions within the CASS Steering Group began to address “The Scottish Copy,” perhaps as a growing awareness of the implications of devolution in Scotland, or, more realistically,

the physical growth in printed collections in library accommodation which was rapidly nearing capacity.

A further driver was of another duplicate collection, of print with electronic access to similar titles and volume numbers etc. as a consequence of the publishers' conditions of purchasing electronic access to the content. Discussions in the CASS Steering Group evolved to the consideration of a "Scottish copy" held on behalf of the Scottish nation. This potentially offered libraries the possibility to relinquish "their" copy of the work in the safe and assured knowledge that a copy would be accessible, stored and preserved. It was understood that the NLS may also hold a copy due to the provision of Legal Deposit so a minimum of 2 copies would be available in Scotland. The discussions on The Scottish Copy stretched the librarians' traditional practice of guardianship and care of publically funded content as it appeared to be a general anathema to dispose of print collections.

**Last Copy.** The concept of relying on Library A to hold the "last copy" in the safe knowledge that Libraries B, D, J, K, and Z could dispose of their copies was discussed at length but the challenges emerged of :

- Who pays: Collaborative cost sharing and contribution to the library holding the copy on behalf of the other institutions
- Equality of access to the content
- Confidence in a union catalogue/resource discovery tool to reveal the ownership or location of the title and the extent of the "run"

The geographical dispersal of the CASS partners appeared to reveal that the academic users of geographically northern institutions would be disinclined, and reluctant, to travel to the institutions in the central belt of Scotland to consult a printed journal if the institution had disposed of, or removed, "their" print copy for a collaboratively owned and maintained collection.

**Ceding Ownership:** discussions on future ownership of the material physically held in the CASS collection occupied much of the Steering Group's attention. Content was legally owned by an institution as it was purchased from that institution's central funding source, the Scottish Funding Council, or was received as a donation, and the legality of ceding ownership to another institution or organisation was fraught with challenges.

**Discussions to cede ownership to CASS** was considered and the points of interest to note are:

- CASS was financially supported by seven of the nineteen HEIs in SCURL membership
- The seven CASS partner libraries met the cost of storing, accessing, and resource discovery to the National Library of Scotland: a quarterly invoice was raised for each institution's contribution to the CASS collection.

## **Decision Making and Collaboration**

It became apparent during the lifetime of the project that Libraries' strategies were evolving and focussing towards an electronic environment for their users. Planning for a new Library build or a refurbishment offered the opportunity to consider the migration to an electronic only access. Also, a new appointment to a Director's role enabled reflection on the institution's collections and disposal policies so the SCURL environment observed shifts in the strengths, or weaknesses and threats of collaborative activity during the project.

## **Phase Two**

**The contract with the NLS would cease on 13<sup>th</sup> January 2009. An extension was sought and agreed to 31<sup>st</sup> July 2009.** Discussions with colleagues in the NLS in 2007 to determine accommodation needs guaranteed space would be available until 2011-2012 but no additional space would be available. In 2008-2009 the NLS indicated they would raise the introductory shelf rental charge from £10.00 + vat to £12.00 + vat, followed by further increases of £1.00 in both 2009-2010 and 2010-2011. The increased charges would not generate sufficient income for the NLS to meet its own costs but the NLS was prepared to continue to subsidise CASS unto 2011. The NLS had invested £165,000 on shelving for the CASS store - the 7 participating libraries paid a total of £50,850 + vat in year one.

Neil Dumbleton prepared detailed costs for every SCURL HEI on the financial scenario in Phase Two. Two strands were developed with the first strand recommending that the Libraries which used CASS would financially support it which was based on a charge per metre. The second strand sought to ensure that the entire SCURL community would support CASS based financially on their Block Grant allocation.

**The Grand Tour of Scotland's HEIs –Boswell and Johnson** (Dumbleton and Evans plus Hunter!) May to August 2007.

Neil Dumbleton and Jill Evans, (joined by Philip Hunter the Project Manager of the SCURL project Institutional Repository Infrastructure for Scotland (IRIS)) embarked on The Grand Tour in the summer of 2007 to meet with each Director and their Senior Management colleagues to explain the rationale of the costing models and to listen to the members' concerns and also to learn about IRIS. Discussions focussed on future collecting plans for CASS, the need to retain a Scottish copy, local disposal plans, local stores, and future participation in the UKRR.

## **The Proposed Funding Model**

Assuming all 5,000 metres of available shelving were occupied from 2007-2008 the total cost to SCURL during Phase 2 would be as follows:

Year	Number of occupied metres	Rental charge per metre	Net £	Total cost Vat £	Gross £
0 - 2006-2007	5,085	10	50,850	8,886	59,666
1- 2007-2008	6,000	10	60,000	10,500	70,500
2 – 2008-2009	6,000	12	72,000	12,600	84,600
3- 2009-2010	6,000	13	78,000	13,650	91,650
4- 2010-2011	6,000	14	84,000	14,700	98,700
5 – 2011-2012	6,000	14	84,000	14,700	98,700

Members were asked to agree to the proposed funding model by the end of summer 2007 and then a Memorandum of Understanding (MoU) would be circulated to each SCURL HEI Director. However, the proposed transition to the new funding model where all HE libraries contributed was not endorsed by all SCURL members and also two institutions were unable to commit to the MoU. The success of the first phase of the UKRR and the forthcoming Phase 2 forced the Steering Group to reconsider the role of CASS both as a shared storage facility and as a tool to support collaborative collection management.

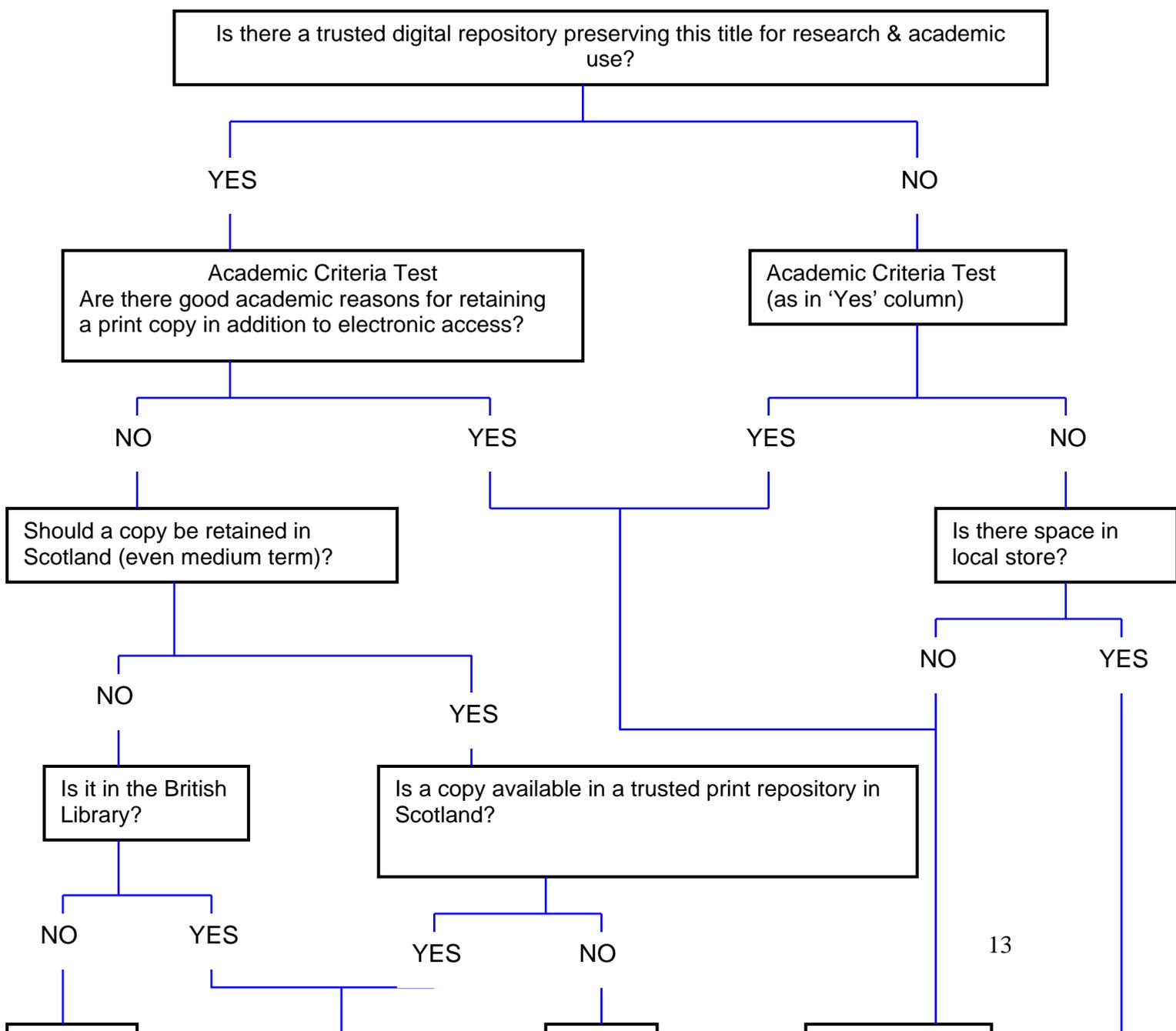
The CASS Operations Group were asked by the Steering Group to “rigorously review stock held in the CASS store” and agree the way forward with the NLS by December 2008. It was suggested the three options to consider were:

- Retain in CASS (perhaps as a UKRR element) noting that the costs to the NLS may be at a commercial rate
- Offer to the NLS and then discard if not required
- Discard – owning institution would meet costs

**The CASS Steering Group and the CASS Operations Group** both discussed the “motorway” or route planning, of decisions to be taken to arrive safely to dispose of print copies in the knowledge that a print reserve, an e-reserve, or a digital repository, would provide access to the content – in perpetuity.

Thorough debate and discussion had centred on a trusted digital repository to ensure that an electronic reserve would be available, and also, that confidence could be placed on the “in perpetuity” access to the e-reserve. To assist with this navigation a Flowchart was created. It specifically related to science, technology, and medicine as these were the prevalent subject areas in which electronic versions were available. However, it also provided a sense of guidelines for depositing material in a store such as CASS or disposing from a library’s physical collection.

**Decision chart for use by individual libraries within a developing collaborative collection management framework for SCURL members.**



Two collaborative developments emerged during the lifetime of CASS in which SCURL members participated – the Scottish Higher Education Digital Library (SHEDL) and the United Kingdom Research Reserve (UKRR).



### **Scottish Higher Education Digital .Library – SHEDL.**

<http://www.jisc.ac.uk/Home/news/stories/2009/03/shedl.aspx>

The CASS Project may have been aimed at better managing print collections, and one of several collaborative projects that have had an impact on the Scottish higher education environment, but it should be seen in the context of other contemporary developments.

Electronic journals are now at the core of academic libraries' collections and providing access to them in a reliable and cost effective way is essential in supporting research and teaching. Providing access to electronic content generally has been a factor in libraries rethinking how their library space is laid out. Reducing the size of print collections has been a way of making room for additional IT equipment and was one of the initial drivers for the setting up of CASS.

In 2008 and 2009 we have witnessed the development and delivery of the Scottish Higher Education Digital Library (SHEDL) which has delivered an expanded range of electronic content across the Scottish HE sector and has accelerated the move to electronic delivery of journal content, with many more titles now available in electronic form only.

At the same time, CASS partner libraries have been more relaxed about discarding print materials as the move to electronic provision is more complete and use of print material is so low that alternative just-in-time provision, such as document delivery, can satisfy the relatively low demand without the requirement for large scale print collections being retained by several University libraries.

**The United Kingdom Research Reserve (UKRR).** <http://www.ukrr.ac.uk/>

This project emerged during the latter period of the CASS project. The British Library was at the hub of the project with six partner libraries identifying STM journals for disposal, checking titles against the holdings of the BL and other research libraries, and then offering any not held by the BL to the BL Document Supply Centre. The rationale of the project was to “fill” gaps in the lending collection of purchased periodical titles held in the British Library’s Document Supply Centre, Yorkshire. It offered both a mirror image of the decisions taken to develop CASS but it also provided confirmation that the decision-making process throughout CASS had been sound. The Early Adopter Libraries thus agreed to hold on behalf of the nation the issues which were missing in the BLDSC’s collection. This provided a distributed national collection which, concurrently, met dispersed disaster planning and business recovery plans. A financial incentive was offered by the UKRR to the “Early Adopters” as they could financially benefit from disposing of the print collection.

### **Repatriation of Material and Disposal:**

A timeframe for uplift of the CASS collection was agreed by the CASS operations Group with all partner libraries invited to review their stock by 30<sup>th</sup> June 2009. One library failed to comply with this date. The libraries were asked to identify the stock which they wished repatriated, the stock which would be uplifted and transported to another store, and the stock which would be uplifted for recycling. It was mid July before an accurate picture of the dispersal of the collection was confirmed. This delay hindered the completion of the project by 30<sup>th</sup> September – the end of the contract period with the NLS. The libraries who wished to collect parts of their stock liaised with the SCURL Service Development Manager (SDM) to schedule appropriate dates. The SCURL SDM then liaised with the NLS Estates and Security to ensure that the dates were convenient for transport to arrive and uplift the collection. The CASS collection was shelved adjacent to the Legal Deposit collections, so to comply with NLS security guidelines, the SCURL SDM was present throughout each of the libraries’ uplifting of the print collections.

In August the SCURL SDM submitted invitations to companies to tender for the uplift and recycling of the collection once the metrage had been established. The cost of uplifting 4640 metres varied from £8,000 plus vat to £17,500 plus vat. The contract was let to Leep Recycling to begin on 14<sup>th</sup> September for 10 days work. The NLS Head of Collection Support Services, Steve Scott, and the SCURL SDM composed a Method Statement for the Manager of the contract which provided precise instructions and guidelines regarding entrance and exit routes, protection of floor coverings, and transport parking arrangements. The project was carefully managed by the Manager but required a further 3 working days to complete the removal. The SCURL SDM conveyed to the Manager and his colleagues the sensitive nature of the project and that every care must be taken not to “lose” any of the print material. The lorries were reversed into the loading bay of the NLS to prevent sight of hundreds of wheelie bins of books leaving the NLS estate.

Edinburgh University Library was liaising with the UKRR as they hoped that their remaining collection in CASS would be offered to the project. It was apparent by late September that the UKRR timeframe was slipping so the SCURL SDM advised Edinburgh University Library to uplift their collection by 31<sup>st</sup> October – the NLS was keen to “reclaim” the shelf space for the ingest of Legal Deposit material. The uplift of EUL’s material was finally concluded on 4<sup>th</sup> November 2009. The estate was formally returned to the NLS on 9<sup>th</sup> November 2009 on completion of shelf cleaning which was stated in the original contract signed by all partner libraries.

The SCURL SDM raised invoices to the CASS partner libraries for the cost of the Leep project and shelf cleaning in proportion to the shelf space which their library had occupied.

### **Issues.**

**Ownership.** The 2002 report discussed ownership of the material which noted in 3.3.1. that all but 2 of the libraries/institutions agreed to cede ownership to a jointly-owned collection.

2009: In practice, although there was significant discussion on this topic, ceded ownership was not required as the collection was eventually returned to the owning library to augment their collection, returned to the owning library for possible use against the UKRR, or disposed of through a recycling contract.

**Reducing overall costs.** The 2002 report demonstrated there was a need for the use of one store, with space-saving opportunities in libraries as an outcome of storing and of deduplication collections, and a possibility of generating income through a document delivery service to libraries outwith the CASS membership.

2009: In practice libraries did develop and redevelop the space which their print collection had previously occupied once the collection was held in the CASS Store

**De-Duplication:** an exercise on the collection provided evidence that although there was 5.4% duplication the time and the resources involved to remove the duplicated items would not provide sufficient space gains in the available physical footprint of the CASS area. The discussion as to which Library’s collection of a journal title/s should be removed/disposed of the subsequent costing model provided much discussion with no definite outcome.

2009: in practice it was agreed that deduplicating the collection was not merited of the significant resources required to produce a viable outcome.

**Cataloguing.** The 2002 report recommended that any ingest should be accompanied by catalogue records to enable a CASS catalogue to be made available. Many libraries did supply an inventory of their collections but the level of cataloguing varied considerably that, in many titles, it was impossible to retrieve an issue as the catalogue record did not reveal to that level of detail. It was therefore necessary for the CASS Assistant to browse the shelves to retrieve the item.

2009: in practice this has subsequently proved a challenge for the UKRR as the CASS OPAC and bibliographic records were sent to the UKRR as they wished to identify titles of use to retain. The CASS opac has not assisted in

this aim. However, when the records in the CASS opac were created the concept of a UKRR was not on the horizon or visible.

**Physical Condition.** The NLS has an environmental policy when receiving material for store or preservation in their estates and it was agreed that any ingest of material must adhere to these conditions. In practice, Libraries sent unbound issues which were not boxed, which contained dust, in fragile conditions and this caused difficulties within the NLS as the CASS collection was adjacent to NLS Legal Deposit material – preserved for the nation to exacting environmental conditions. One Partner Library then allocated two members of their staff to work in the CASS Store to box their unbound issues to meet the required, and agreed, standards of the collections.

**Inter-Lending.** It is customary to expect a collaborative store to supply about 0.8% of its collection on ILL and this figure matched the use made of the CASS collection. If an expected income for ILL to libraries of CASS was predicted then this fell far short as less than 1% of requests emanated from outwith CASS partner libraries.

**Electronic Document Delivery.** The contracts which each CASS partner library signed with the NLS ensured that EDD of articles would be supplied within agreed service level agreements. Throughout the lifetime of the project the preferred option of using Ariel to deliver and receive documents failed and was not reliable. The articles were subsequently photocopied and faxed or sent as an email attachment with the original photocopy destroyed immediately to ensure copyright compliance.

**CASS Legacy:** The extent of SCURL members' collaboration throughout the project was exceptional and offered the opportunity to reflect on custom and practice of collection management during the years of printed material but stretched the imagination and the decision-making of the Directors and senior managers for the future generation in the digital era. Tough decisions were finally taken to dispose of print collections so although the collections had physically been removed from the partner libraries for a number of years the librarians used that time frame for advocacy with the teaching academics. The support which the CASS groups provided to each individual was invaluable as we embarked on a project which would alter the policies and management of our institutions' collections. The project was made possible by the generosity and vision of the NLS whose leniency with extensions to the contracts was gratifying.

Many colleagues were involved in the lifetime of this project but we especially wish to acknowledge the following for their commitment, imagination and energy to CASS.

Victoria Bennett  
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Linda MacMillan  
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NLS Cleaners  
Catherine Nicholson  
Rosemary Reaston  
Steve Scott

and all members of the Steering and Operations groups: Janet Aucock, Jane Beattie, Linda Cameron, Sheila Cannell, Caroline Cochrane, Margaret Dowling, Keith England, Sheona Farquhar, Louise Garden, Teresa Gilbert, Gordon Hunt, Peter Kemp, Stuart James, Marjory Lobban, Marian Miller, Wendy Pirie, Maureen Pollock, Jon Purcell, and Pamela Tulloch

Helen Durndell's enthusiasm and resilience for chairing the Steering Group drove the project to its success and gave the opportunity to share our knowledge with our colleagues in the UKRR

And to the memory of Ian Mowat who had the vision to create a collaborative store for Scotland.

## **Appendix – Impact of CASS from the NLS Perspective**

### **Bill Jackson, Estates Manager,**

I thought that it was a useful exercise and was a 'Shared Service' before that was flavour of the month!

### **Steve Scott, Collections Support Service Manager.**

The main observations I had were the difficulties in maintaining efficient and cost effective storage for predominantly open access libraries. When visiting each individual organisation it was evident that I could not apply our closed stack floor approach to the open stack approach of the UL's. I think CASS and subsequently UKRR certainly now opens up far more possibilities in storage for UL's and may present new options for future storage on-site.

What has been interesting is meeting so many people with similar issues to our own in NLS and I have enjoyed sharing our knowledge and expertise with them as well as learning something about managing a predominantly open access library which comes with very different challenges to our own in NLS. I have also been very impressed by the collaboration and willingness to make this ground breaking project a success. Storage space and off course cost is a huge issue at the moment and CASS may be a good model to follow for future storage of hard copy collections in Scotland if we do eventually go down the digital route for most new collections.

## **Impact of CASS at partner libraries.**

### **University of Edinburgh.**

When Edinburgh University Library (EUL) joined CASS, it was seen, initially, as an opportunity to transfer some low-use Science & engineering research journals and monographs, and thereby release space in an onsite store. It must be acknowledged that the content of the CASS store was not a co-ordinated collection, with specific subject/title comparisons, as each participant library submitted its own selection of material. Towards the end of the project, the development of Phase 2 of the UKRR (United Kingdom Research Reserve) was welcomed as the next step in collaborative storage. Although staff time and approx. £82,000.00 has been spent by EUL on moving, boxing selected material and annual rental of CASS, over the five year period, we have not yet seen a final result in dealing with this material as discussions continue with UKRR.

### **University of Aberdeen.**

The decision by the University of Aberdeen to deposit material in CASS was made as part of a wider appraisal, relegation and disposal plan that offered a short-to-medium term solution to the acute space and related configuration difficulties experienced within our site libraries, particularly at the Queen Mother Library site.

The University of Aberdeen deposited 1200 meters of journal material in CASS from April 2005 until August 2009. The material consisted of print journals where we also had access to the content in electronic format. It was low use material. The transfer to CASS released shelf space in the Queen Mother Library at a time when space was urgently needed to accommodate the School of Education library (formerly Northern College which merged with the University of Aberdeen in 2002). The separate School of Education buildings closed and the library collection was physically incorporated into the University Library collection.

At the time the material was deposited in CASS we had no local off-campus store and we were not in a position to dispose of the print journals outright. The existence of CASS allowed us to establish that the print journals were low use – over the course of 4 years there were virtually no requests to borrow the print volumes.

The CASS initiative offered a relegation solution at a reasonable price for those materials that could have had potential value to the academic community at large. Some of our offering has now become part of the UK Research Reserve.

## **University of the West of Scotland.**

The University of the West of Scotland was created in August 2007 with the merger of the University of Paisley with Bell College.

The key driver for the University of Paisley's participation in CASS was the opportunity to save space. The University contributed older science and engineering titles to CASS. These were shelved on a floor of the Library where there were particularly tight space restrictions. The resulting space that was freed up by moving this material to CASS allowed us to re-configure the layout of this floor to give a discrete area for most of our Health, Nursing and Midwifery stock and for the establishment of an Assistive Technology suite. CASS made it much easier to persuade academics of the necessity for removing stock. It also meant that the stock was reasonably accessible and held in Scotland, and it was viewed positively as part of a Scotland-wide HE initiative. In these circumstances the re-location of some older, less-used titles was judged to be acceptable.

Strategically, CASS gave the University more confidence about collaborative collection management as a way of reducing the size of our less-used collections. The impact of the storage costs, however, has suggested that the future shape of collaborative collection management for the University of the West of Scotland is more likely to be in agreements with other institutions to keep certain items rather than physical off-site storage.

## **University of St. Andrews.**

Overall involvement with the CASS project was very useful to St Andrews, as an encouragement to look closely at some of our less well used stock, and particularly as a precursor to involvement with UKRR. Although selection of the material to be included may have been a bit random it proved to be a successful exercise as there was little use of the material once moved to CASS. We have also disposed of a lot of the material in the course of removing our CASS deposit, which also confirms the selection.

In terms of data work, we catalogued what we sent to CASS which made subsequent decisions about retention or disposal much easier. As mentioned above it was also a very useful pre-cursor to UKRR which we are now heavily involved with. It paved the way for our academic community and for the library, in making the idea of a central store familiar, and highlighting some of the issues which now have to be dealt with by UKRR, such as de-duplication and the importance, and difficulty, of academic buy-in.

## **Glasgow Caledonian University.**

At Glasgow Caledonian we were already well down the path of investing in electronic resources and had adopted an access rather than holdings policy for our journals collection. We were also heavily engaged in detailed planning

for a Learning Centre, which envisaged a hybrid library, with flexible learning spaces for student learning and a reduction in physical stock and shelving.

CASS enabled us to dispose of about 1000 linear metres of less used print journal material including Jstor back-runs, before our move into the iconic Saltire Centre, in 2005. It also allowed us to take a risk, by moving some titles off campus where the usage was unclear, as anticipated complaints due to any demand could be reduced by the provision of a desk-top article delivery service from the NLS.

### **University of Stirling.**

The University was committed to the idea of a shared store from its inception and had the backing of library and academic staff in developing the service.

As with many of the partners, the main initial driver was space. Our library was already housing more printed stock than was ever intended and electronic access was not as ubiquitous as is now the case when discussions first began on how to tackle the problem. We considered purchasing storage space off campus and, for a short time, used space on campus (but out with the library) to house material. However, storage for low-use material was not a high priority for university management but academic staff were reluctant to sanction a large scale disposal of printed material.

The development of CASS, therefore, was ideal from our point of view. It provided a way of storing what we considered to be valuable material and allowed us to cooperate with other higher education institutions. The location of the service in Edinburgh was not an issue and, indeed, for some of our academics was a distinct advantage.

Protracted discussions followed with subject librarians over what sort of material should be deposited in CASS. We did not see this as a preparation for disposal, we were going to be paying to move and store material and consequently the decision making process was different from relegation to store on campus, this was material we felt was of value. Consequently, we deposited a range of German language material when we stopped teaching German and considered depositing our Japanese language collection (though in the end this was transferred to Edinburgh). A range of periodicals were also deposited, some in subject areas of diminishing interest to Stirling and others where access to the print was not required, but where e-access was less secure.

We made three separate deposits to CASS, totaling 472 linear metres of stock.

The collection in CASS was serviced to a high standard by colleagues at NLS and our staff appreciated the electronic delivery to the desktop. We were able to offer full catalogue coverage, including direct links from the OPAC to the request facility; use of the CASS collection by Stirling users was not high, in

line with our expectations, though we may have expected use from other institutions.

With the development of the new library service at Stirling, it became clear that we were going to be forced to think radically about our collections. Though we had long held a policy of holding material in only one format, implementation had been sporadic, being influenced by the reliability of online access and variable by subject area. The timing of the review of collections coincided with the work this year on dismantling the CASS collection. We assessed all the material in CASS from the inventories and have retrieved around 60m of stock that will be housed in the refurbished library. The remainder we were able to discard, using statistics from the CASS service to support the assertion that demand for this material for teaching and research could be satisfied by other document delivery services. While this was a difficult conclusion to reach, the period that the collection was held in CASS gave us crucial supporting information.

## References.

Evans, J. (2009) CASS: Running out of space? Information Scotland, Vol 7, 4, p8

Nicholson, C.M. (2004.) CASS: a collaborative academic store for Scotland. Library Management, Vol 26, 1, 2, pp 21-41.

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<sup>1</sup> Brown, S. and Nicholson, C.M. (2002) A Collaborative Academic Library Store For Scotland. Final Report of the CASS Project. <http://cass.nl.suk>