A Proposed NISO Work Item:
Develop Recommended Best Practices for Demand-Driven Acquisition (DDA) of Monographs

Proposal for Consideration by the NISO Voting Membership
Approval Ballot Period: May 21 - June 19, 2012

The following proposed work item is submitted by:
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(Appendix A)

Proposal Last Modified: May 15, 2012
Approved by the NISO Business Information Topic Committee, May 18, 2012

BACKGROUND AND PROBLEM STATEMENT

Libraries are using e-book aggregators and approval vendors to implement demand-driven acquisition (DDA) plans for some portion of their monograph collections. DDA allows libraries to provide users with immediate access to a wide range of titles to be purchased at the point of need. Though commonly referred to as patron-driven acquisition (PDA), the term demand-driven acquisition (DDA) is used throughout this draft, and is recommended for use here based on these definitions:

- Patron-Driven Acquisition (PDA): acquisition of library materials based on direct or indirect patron input, including faculty requests and analysis of collection usage
- Demand-Driven Acquisition (DDA): acquisition of library materials based on patron selection at the point of need.

Libraries have embraced DDA because it has the potential to rebalance the collection away from possible use toward immediate need. DDA allows libraries to present many more titles to their users for potential use and purchase than would ever be feasible under the traditional purchase model. If implemented correctly, DDA will make it possible to purchase only what is needed, allowing libraries to spend the same amount of money as they spend on books now, but with a higher rate of use.

Under a traditional up-front purchase model for monographs, the acquisition process ends soon after the book arrives in the library. DDA, on the other hand, requires long-term management of a preselected “consideration pool” of titles available for purchase. Libraries must implement rules and procedures for adding titles to this pool and for keeping unowned titles available for purchase long after publication. These procedures could include automated steps for removing a subset of records at regular intervals while keeping others permanently, for indicating owned vs. unowned content, and for managing the budget when expenditures may not be fully predictable. The process of acquisition will evolve from one of getting books into the collection to one of long-term management of the discovery tools that allow for demand-driven access of monographs.

To this point, DDA has been adopted primarily by academic libraries, with very few public libraries participating in DDA projects. Because of this experience with DDA, some particular concerns for academic
libraries, scholarly publishers, and approval vendors are already becoming clear. DDA may disrupt the entire scholarly communication supply chain, possibly impacting the ability of publishers to predict sales; instead of selling most copies of a book close to the date of publication, sales may extend for many years. Approval vendors may need to develop new roles as suppliers of services to manage the consideration pool. And libraries would need to reconsider the balance between stewardship of research collections and provision of access to materials for current curricular and research needs. Despite these uncertainties, it is clear that DDA will be adopted on some scale by libraries, so publishers, vendors, and librarians need to help shape practices and tools in a way that allows the scholarly communication supply chain to continue to function effectively. Because some or all of these issues may be of concern as well to public libraries and the publishers and vendors that supply them with books, this committee should explore further the specific implications of DDA for all library types.

Most DDA plans have focused on e-books, though some have also included print books. Though some specific aspects of acquisition do vary by format, there are more similarities than differences in how the DDA process should work for both formats. Because of this, this committee recommends development of a single set of best practices for both formats, with articulation of differences where they occur. There have been a variety of models for DDA plans, though some trends are beginning to emerge. Successful DDA plans include

- Generally for e-books, but potentially for p-books, some method of free discovery of content to prevent unintentional transactions. Methods could include
  - Unlimited access to the front and back matter of the book
  - A set amount of time available for free exploration of an e-book
  - Access to a set number of pages
- For e-books, an option for temporary lease of the book with the ability to customize the time period based on institutional preferences
- An option to purchase the book, either at the outset or after some set number of temporary leases
- Tools and strategies for automated management of the pool of titles under consideration for acquisition, including mechanisms for
  - Adding titles to the pool
  - Ensuring a pool of adequate size relative to budget and user base
  - Removing titles from the pool

**STATEMENT OF WORK**

1. **PROJECT GOALS**

This work group will develop a flexible model for DDA that works for publishers, vendors, aggregators, and libraries. This model will allow libraries to develop DDA plans that meet differing local collecting and budgetary needs while also allowing consortial participation and cross-aggregator implementation.

2. **SPECIFIC DELIVERABLES AND OBJECTIVES**

The group will develop recommendations on:

- Best practices for populating and managing the pool of titles under consideration for potential purchase, including methods for automated updating and removal of discovery records;
• Development of consistent models for the three basic aspects of e-book DDA – free discovery to prevent inadvertent transactions, temporary lease, and purchase – that work for publishers and libraries;
• Methods for managing DDA of multiple formats; and
• Ways in which print-on-demand (POD) solutions can be linked to DDA.

3. PROCESS

A preliminary working group has already been established, but a permanent group should be formally appointed after approval of this work item.

4. STAKEHOLDERS IN OTHER ORGANIZATIONS

This committee should comprise librarians, approval vendors, e-book aggregators, and publishers. In order to identify additional stakeholders, the committee recommends these steps:

• Sharing of the draft document with NISO membership with invitation to submit comments; and
• Conducting a forum or convening focus groups at the library conferences such as the Charleston Conference in November 2012 and/or at the American Library Association Midwinter Meeting in January 2013.

Because of the overlap between DDA and general issues surrounding the changing nature of scholarly publishing, there will be some need for communication with groups within NISO or the publishing community developing recommendations and standards about e-books and POD. The group should consult the NISO E-Book Special Interest Group on issues relating to general practices and standards for e-books. This working group will investigate other stakeholder connections.

5. TIMELINE

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<thead>
<tr>
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<th>Date</th>
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<tbody>
<tr>
<td>Appointment of working group</td>
<td>August 2012</td>
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<tr>
<td>Approval of charge and initial work plan</td>
<td>September 2012</td>
</tr>
<tr>
<td>Completion of information gathering</td>
<td>February 2013</td>
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<tr>
<td>Completion of initial draft</td>
<td>April 2013</td>
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<tr>
<td>Gathering of public comments</td>
<td>May 2013</td>
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<tr>
<td>Completion of final draft</td>
<td>August 2013</td>
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