

NISO Proposed Work Item

WORK ITEM TITLE:

Develop a Recommended Practice on the Application of standards and best practices to optimize collaborative collections lifecycle activities. Acronym: CCLIP = Collaborative Collections Lifecycle Infrastructure Project

Proposal for Consideration by the NISO Voting Membership

Approval Ballot Period: September 8 – October 10, 2022

Submitted by: Boaz Nadav-Manes (Lehigh University Libraries) and Jill Morris (Partnership for Academic Library Collaboration & Innovation (PALCI)) on behalf of the [Collaborative Collections Lifecycle Project \(CCLP\)](#)

Approved by the NISO Information Policy & Analysis Topic Committee September 6, 2020

Background and Problem Statement:

Networks of libraries have a long tradition of working together to expand their resources and provide more comprehensive coverage across all subjects through sharing of resources. A variety of models have been developed over the years including consortial purchasing, regional centers of excellence, and even shared collections and services among some libraries, such as the 2CUL initiative¹. More recently, larger networks of institutions have explored wider adoption of cooperative collections management, which this project defines as a process by which networks of institutions work collaboratively to acquire, manage, circulate, and preserve collections across the network. This exploration may include shared infrastructure for patron discovery, fulfillment, analytics, and models for collaboration and organizational decision making. Networks such as the Big Ten Academic Alliance (BTAA), Center for Research Libraries (CRL), HathiTrust, Ivies Plus Confederation, the Boston Library Consortium (BLC), the Eastern Academic Scholars' Trust (EAST), MetaArchive, and Research Collections and Preservation Consortium (ReCAP) have piloted variations on this approach, each with varying levels of success. The Collaborative Collections Lifecycle Project (CCLP)² seeks to overcome serious barriers to wider implementations, several of which have been observed, including the lack of available vendor-neutral interoperable systems, adequate governance and decision-making frameworks, and assessment tools. This work item, proposing a specific infrastructure project, "CCLIP," particularly addresses the lack of data exchange standards, applicable to the development of a new research library ecosystem where networks of institutions and experts can collaborate across systems to more effectively serve their just-in-case and just-in-time patrons' needs, while avoiding duplication of effort in their acquisitions and deployment of resources.

The lack of standards in this area results in the inability to create the infrastructure needed to support collective collections at scale. Selectors and collection support teams work within the limitations of their own local systems and are restricted to vendor-supplied information (hard to find at best) regarding potential duplication and usage inside their own consortia networks (often inside their own branch libraries). The data ecosystem for identifying available content, its providers/distributors/sellers, and the details about processing an order (such as price, rights, payments, consortial relationships, etc.), are complex and heterogeneous. Consortia and libraries have attempted to circumvent such dependencies by agreeing on collaborative collection building via joint purchasing, shared approval arrangements, or shared selectors, but often such higher-level agreements fail over time, when local collection priorities change and personnel shift. In addition, and with the lack of adequate infrastructure and interoperable

¹ <https://www.2cul.org/home.html>

² <https://sites.google.com/view/cclifecycleproject/home?authuser=1>

data standards, selectors need to constantly be aware of potential duplication across such arrangements, and context-shift between multiple vendor systems dealing with particular collection coverages. The lack of an accepted trusted registry and best practices related to collective and local decisions, standardized and machine-readable approval plans and collective MOU's lead to a growing gap between strategic prospective collection building and retrospective collection analysis--and ultimately to a waste of institutional resources and collective effort. Libraries and consortia lack a timely mechanism to translate proven longitudinal collection behaviors into operational prospective realities in support of communal targeted investments.

Statement of Work:

The CCLIP Working Group will develop a NISO Recommended Practice (based on an open standards architecture) that, overall, will support the flow of data about distinct library collections. The Recommended Practice will document exchange protocols that will describe gathering, normalizing, and exchanging holdings information, contractual information, retention obligations, and usage data. The CCLIP model will also include aggregation of library staff and subject matter expertise, local/consortial/group-based insights, and publisher/marketplace information necessary to support collaborative decisions at both the local and cross-institutional levels. Initial planned CCLP applications based on these recommendations may include: A) An aggregated shared index and knowledge base in which libraries/publishers can share data about their collections and expertise; B) A discovery mechanism for library staff to support searching and browsing for content, information, and human resources; C) A communication application that will support interactions across institutions; D) Data aggregation, visualization, and reporting; E) Negotiation and group purchasing decision support protocols. The group will also review existing standards and protocols for the exchange of this information and, wherever possible, will adapt these extant best practices to this process, or recommend additional changes to those existing specifications.

Impacted Parties

The Recommended Practice and other outputs created by the CCLIP Working Group will benefit patrons of those libraries working in collaboration. The main target audiences for this project are:

- 1) The selection teams and leadership within libraries and consortia, including those librarians involved in materials selection and acquisitions, who will benefit from the infrastructure support around their expertise and partnerships, and greater transparency about availability and use of selected resources;
- 2) The Deans/Directors/AULs leading library organizations/units who will be more effective in managing their institutions, directly through better analytics about collection related expenditures in order to achieve greater return on investment within their organizations;
- 3) Consortia, either officially organized or informal groups, which will benefit from decreased barriers to collaboration and infrastructure to sustain existing and innovative partnerships.

More broadly, there will be many beneficiaries. They include:

- Library Users/Patrons, who will benefit directly from the collections and services libraries provide
- Describers, library, publisher, and systems staff involved in materials description, who will benefit from a common system for managing and discovering metadata
- Content providers of any sort, who will benefit from easier and timely access to library systems, relevant data, and decision makers across institutions
- Suppliers of library systems, who will benefit from increased interoperability and logistical effectiveness

Partners and Participation:

The CCLIP work will be led by National Information Standards Organization (NISO), Partnership for Academic Library Collaboration & Innovation (PALCI), and Lehigh University Libraries, with Working Groups expert contributions from CCLP project partners: Big Ten Academic Alliance (BTAA), Canadian Research Knowledge Network (CRKN), Greater Western Library Alliance (GWLA), Center for Research Libraries, Colorado Alliance of Research Libraries, Minitex, Orbis Cascade Alliance, the Boston Library Consortium, the Eastern Academic Scholars' Trust (EAST), Washington Research Library Consortium (WRLC), Columbia University Libraries, Cornell University Library, Johns Hopkins University Libraries, New York University Libraries, Rutgers University Libraries, Tulane University Libraries, University of Delaware Library Museums and Press, University of Denver Libraries, University of Pittsburgh Library System, Washington & Jefferson College, the Duke University Press, JSTOR, Project MUSE, Ithaka S+R, Index Data LLC, ISSN International Centre, and Paratext LLC. Note: it is expected that additional partners will be joining the work as it unfolds, and the project will welcome participants from the broader community as the Working Group and subgroups form.

The work and communication plan for CCLIP will proceed in accordance with CCLP planned actions and deliverables as described in the IMLS National Leadership Grant Proposal (as noted below) over 36 months. Relevant CCLIP actions (such as the formation of working groups and mockups of key components) will continue to develop iteratively as the CCLP project develops into steps 3 and 4 below.

1. The NISO CCLIP Working Group will develop a detailed project roadmap with requirements, specifications, and feature prioritization mechanisms.
2. Building on the elements identified by the Ithaka S+R work (described below), the Working Group will then divide into subgroups to develop model workflows, model user experience, and activity paths based on defined personas engaged in collaborative collections development at different management levels in libraries, consortia, and publishing.
3. Based on these components, the Working Group will then design and build mockups and wireframes of key components of the needed infrastructure, taking into account existing systems and collaboration workflows and policies, combined with the identified gaps in those systems based on the goals of this project. The Working Group will also model a community-based implementation structure describing interactions, specifications, and feature prioritization mechanisms.
4. The Working Group will also ensure documentation of the prototypes, and creation and deployment of training materials and an outreach plan to widely circulate sharing of the project's results, encourage adoption, and support assessment of the project.

CCLIP Communication and Sharing: after a round of public comment, the combined model and toolset will be vetted by NISO standards committee leadership and, if approved, published openly as a NISO Recommended Practice. All the other deliverables for this project will be made freely available using Creative Commons Attribution 4.0 (CC-BY) license or using an MIT open source license, as appropriate.

NOTE: Additional work will be undertaken in support of the IMLS National Leadership Grant that has been awarded to NISO, PALCI, Lehigh University and partner organizations³. This work will include the creation of a community-based governance structure to lead the project and its various components, which will coordinate activities in partnership with the NISO Information Policy and Assessment Topic Committee. Additionally, work will be undertaken by Ithaka S+R to provide a detailed assessment and documentation of the landscape and classify existing standards and current practices of organizations engaged in collaborative collections projects, including those pilots launched by project participants. This assessment will also include interviews of key community leaders regarding their organizational requirements and expectations of a successful outcome. The NISO CCLIP Working Group will review and incorporate this research into its development process.

³ <https://niso.org/press-releases/niso-awarded-imls-grant-collaborative-collections-lifecycle-project>

Timeline:

- September/October 2022: Governance organization and Appointment of Project Steering Group (external to WG activities)
- October 2022: Appointment of CCLIP Working Group
- November/December 2022: Approval and publication of charge and initial work plan (including final determination of scope (Item 1 above)
- November 2022 - March 2023: Completion of information gathering (external to WG activities)
- January – September 2023: Subgroups' development of workflows, user experience, activity paths, data interchange, etc.
- September 2023 -- December 2023: Drafting of initial draft Recommended Practice document (phase 2 above)
- December 2023 -January 2024: Initial public comment period
- February – May 2024: Responses to comments and preparation of final recommendation
- June 2024: Approval and publication of final NISO Recommended Practice and prototypes
- March – December 2024: Development of Prototypes and Wireframes (Phase 3 above)
- January – February 2025: Public input into Prototypes and Wireframes
- March – May 2025: Review responses to comments and refine models
- June 2025: Release of Prototypes and Wireframes for public development (Phase 3 above)
- June – August 2025: Documentation development (Phase 4 above)
- August – September 2025: Final IMLS reporting (external to WG activities)

Funding:

Relevant funding and support for CCLIP will be provided by IMLS National Leadership Grant (Log Number: LG-252384-OLS-22) together with in-kind expert contributions made by the CCLP project leadership and partners: The National Information Standards Organization, Partnership for Academic Library Collaboration & Innovation (PALCI), and Lehigh University Libraries, with 27 other partner organizations. The partner organizations have all committed to in-kind contributions of various levels to the development of this project above the resources that IMLS has provided NISO, PALCI and Lehigh University.