University Libraries Management Team
November 18, 2014

Scholarly Communications Working Group proposed charge
- Andrew Johnson met with MT to discuss the SCWG proposed charge changes—new charge and new name for SCWG. The new name will be Scholarly Initiatives Working Group. Management Team supports the proposal. The working group will make minor revisions to the proposal. Stay tuned for the revised document.
- SIWG will communicate with everyone in the Libraries about next steps for the working group. Look for more information after they meet on December 3.
- See attached document to see the revised charge.

Gear replacement impact
- MT discussed the impacts of the upcoming gear switch. They are considering what services we will be able to provide, and what the logistics will be. More information has been sent to the Libraries and to the campus since the November 18 meeting.

Strategic planning
MT will meet in mid-December to review the data collected during the World Café sessions. Stay tuned for more information in the coming weeks. See addendum below for more information on the Strategic Planning timeline.

Alliance Shared Print Trust
Alliance committee crafted Memorandum of Understanding (MOU) and other documents that discuss an opt-in program to commit to holding last copies of unique items not related to archives or special collections. This MOU is for 25 years. This includes journals and monographs. Alliance is working on a database to do comparisons and see if items really are the last print copies or not. PASCAL is already a last copy repository since we do not remove items from PASCAL, so we may be able to figure out which items are last copies.

See addendum below for further information about the MOU.

Approved Email Actions
Management Team approved the Small Dollar Food Purchase Policy. Please see addendum

Upcoming meetings

December 2 – Management Team Norms, Mini Documentary about library, CMCI Support,

December 16

Management team minutes are available online: http://ucblibraries.colorado.edu/adminservices/management/index.htm
Addendum 1

Strategic Planning Draft Schedule
Draft Schedule

November 17  World Café Listening Tour begins 10AM and 2PM in N410. Need volunteers from MT to do introduction for Dec 1 10Am, Dec 1 2PM, Dec 2 10Am and Dec 2 2pm.

December 18  Management Team retreat to discuss data from Café sessions and determine themes that the teams will work on.

Early January  Schedule an “all-hands” meeting to review themes and recruit people to be in teams and offer some basic training for how to operate in the teams.

January - February  Teams meet 3-4 times (with guided agendas) to develop initial questions and to research needed to develop strategy

March  All meet to review progress and make suggestions. Teams present their findings so far to MT and Libraries, align what they are doing with other teams and get further training.

March – April  Management Team synthesizes and incorporates ideas into draft 2015 plan (at a retreat?)

April  All meet to hear the plan and provide final input. Final meeting is also a celebration.

Addendum 2

DRAFT – DRAFT – DRAFT

Memorandum of Understanding
Colorado Alliance of Research Libraries
The Alliance Shared Print Trust

This understanding is by and between _________________________ and the Colorado Alliance of Research Libraries (The Alliance), a Colorado non-profit corporation. The Alliance Shared Print Trust (aka “the Trust”) will begin on July 1, 2015 and the participation of this library will begin on that date (if signed before that date) or on the date of the last signature on this document for those that sign after the start of the Trust.

1. Purpose and Description

The Trust is a program of the Colorado Alliance of Research Libraries. The mission of The Alliance is to increase, enhance, and facilitate cooperation among libraries. The Alliance achieves its mission in the following four strategic areas.

- **Library Services**  
  *Facilitate, develop, and improve library services to students, faculty, and the general public.*
• **Library Resources**  
*Share, leverage, and expand library resources.*

• **Access to Information**  
*Promote information creation, collection, access, preservation, storage, and distribution.*

• **Collaboration**  
*Engage in cost-effective collaboration among participating libraries.*

1.1. The purpose of The Alliance Shared Print Trust is to provide options for sharing the costs and effort of long-term retention of library materials. This Memorandum of Understanding (MOU) provides a cooperative framework by which selected materials will be retained and made available by some Trust participants for the long term (see section 5.3), thereby allowing other Alliance members to consider withdrawing duplicates of those items from their collections and to rely with confidence on access to and preservation of the Trust copies. The Trust is a distributed print repository in which participants agree to retain library materials in trust on behalf of the Alliance membership.

1.2. This cooperative agreement establishes a framework for opt-in initiatives called Trust projects, which could include, but are not limited to, print monographs and serials, microforms, and media. Government documents are being handled separately according to Government Printing Office requirements although some elements of this agreement may be useful in that ongoing effort. This MOU could also be applied in the case that GPO requirements for discarding or consolidating materials change. As a general framework this policy depends on other supporting documents including:

   1.2.1.1. The “Last Copy Policy” which defines policies and procedures for the last remaining copies of items in the Alliance

   1.2.1.2. The “Disclosure Policy” which defines policies and procedures for how decisions are recorded in bibliographic records and where they are shared with the broader community

   1.2.1.3. Other genre or project-specific policies which will be defined on an as-needed basis

2. **Eligibility and participation**

2.1. All current and future Alliance “Member Institutions” are eligible to opt-in to become a “Trust Participant” in the Alliance Shared Print Trust by signing this MOU, but are not required to participate in specific projects.

2.2. A library that is not a member of the Alliance may only participate in the Trust if it participates under the sponsorship of an Alliance member library. In this case that non-Alliance library must still sign this agreement with an addendum indicating which member library is sponsoring their participation. Non-Alliance Trust Participants must agree to all of the elements of this agreement and all associated documents. The addendum to this agreement for the non-Alliance library will define any specific roles for the sponsoring Alliance member as well as any special requirements for the non-Alliance library.

2.3. All Member Institutions of The Alliance, whether or not they choose to become Trust Participants, will share in the benefit of relying on the continued availability of shared print titles that Trust Participants have agreed to retain on behalf of the members.

2.4. All Trust Participants are required to comply with the Last Copy Policy and Disclosure Policy.

2.5. Trust Participants are not required to participate in every Trust project but are required to honor the guidelines and procedures of those to which they opt-in.
3. Governance

3.1. The Alliance Board of Directors is the ultimate governing board for The Alliance Shared Print Trust and will make and approve all policies along with financial and contractual decisions concerning the Trust as developed through Member Council and its appointed committees.

3.2. The Member Council appoints the Shared Collection Development Committee (SCDC), or appointed subcommittees, as the steering group to develop and manage Trust operations and projects. The SCDC will develop standards, guidelines and procedures for Trust projects, which must be approved by Member Council, and when appropriate, the Board.

3.3. The SCDC reports to Member Council on Trust operations, and recommends related policies such as holdings disclosure, access and delivery, services, and possible steps towards integration of The Alliance Shared Print Trust into related regional and national programs. In cooperation with the Member Council, the SCDC may form subcommittees and/or project task forces as needed to work on specific projects and functions related to the Trust.

4. Selection for the Trust collection

4.1. The Trust collection is comprised of materials that Trust Participants have specifically identified, processed, and committed for retention for common use by Alliance Member Institutions. Items that do not circulate or Special Collections, which may be housed in a library’s rare books and archives department, are not included in the Trust.

4.2. Selection of specific genres, titles and numbers of copies of library materials to be included in the Trust collection will be determined according to the Last Copy Policy and the guidelines and procedures for each Trust project.

4.3. In general, materials selected for inclusion in the Trust will meet the following condition criteria:

4.3.1. The retaining library has checked the shelves to ensure the copy actually exists.

4.3.2. The copy committed to retention is in reasonable condition, i.e.

4.3.2.1. Is in good physical condition and can withstand normal use

4.3.2.2. Is not infected with mold or excessively marked with underlining or highlights

4.3.2.3. Is complete (i.e. has been validated according to relevant Trust guidelines to ensure there are not missing parts). Completeness and validation requirements will be determined by guidelines for specific Trust projects.

5. Location, ownership and retention commitment for materials held in Trust

5.1. Unless otherwise specified in the Last Copy Policy or in project-specific guidelines and procedures, materials designated for the Trust will remain with the institution that commits to retaining them either in the library or at associated storage facilities (on or off campus).

5.2. Trust Participants will retain ownership of the materials they have committed to the Trust. Trust Participants shall not sell, discard, donate, or otherwise relinquish ownership or control of any of their materials committed to the Trust except to transfer to another Alliance Trust member for purpose of retention on behalf of the membership.

5.3. Participants agree to join the Alliance Shared Print Trust and to retain materials they have committed to the Trust for an initial period of 25 years starting from July 1, 2015. Member Council will review the agreement every 5 years to ensure that policies are being followed and that the Trust Agreement is up to date and accurately reflects current expectations, practice and standards. As part of each five-year review, Member Council will determine if the 25-year commitment is still appropriate or should be changed.

5.4. A Trust Participant may transfer an item it has committed to hold to any other Trust member as long as it is not the last copy. A last copy may be transferred to a last copy
holding library if the original owning library does not want to keep it. The transfer of such materials will be at the original owning library’s expense.

6. Withdrawal of materials from member collections

6.1. Alliance Member Institutions retain the right to withdraw from their own collections any materials they wish, but those who have opted to become Trust Participants agree:

6.2. When considering an item for withdrawal, library staff should determine if the copy[1] is the last one available[2] in the consortium. If the copy is found to be unique, reasonable efforts should be made to preserve a copy. Based on the professional judgment of the owning library, if the title is in usable condition, it should be retained by the library or offered to other Trust participants for inclusion in the Trust through procedures approved by the Last Copy Policy.

6.3. If last copy candidates for withdrawal are not accepted by another library, then withdrawal of the last copy item(s) may occur following guidelines developed for specific Trust Projects.

6.4. Based on the professional judgment of the owning library, materials considered to be junk or with no value to other participants may be withdrawn as needed. If a junk last copy item is withdrawn, no replacement copy is required.

7. Collection management and use policies

7.1. Shared print materials held in trust for the Alliance will be stored under conditions of care the same or better than similar materials in the Trust Participant’s circulating collections. Over time, the SCDC may provide guidelines (with Member Council approval) as needed concerning matters such as physical handling, marking, bibliographic identifiers, temperature and humidity, security, inventory of retention titles, and replacement in case of damaged, lost, or missing materials.

7.2. To the extent possible while responsibly ensuring persistent, long-term access, loan policies for Trust materials will be the same as for other circulating materials. At risk materials may, in some cases, be only accessible within a facility.

7.3. Metadata for trust materials will be loaded into and searchable within the Prospector union catalog (or successor discovery system). Disclosure to national print archiving and discovery systems will be encouraged but the costs will be borne by the owning library.

7.4. Digitization may be done for rare or at risk materials, or for ADA compliance. The costs for this will be borne by the owning library.

8. Costs/financial support

Each Trust Participant shall be responsible for all the costs and expenses associated with maintaining and preserving the materials it has agreed to retain in the Trust. This includes the costs of maintaining materials, updating bibliographic records, acquiring replacements, transferring materials to other libraries (e.g. missing volumes), and withdrawing duplicate materials from local collections. From time to time Member Council and the Board may secure project funding through The Alliance or member institutions.

9. Disclosure

Based on the Disclosure Policy, Trust Participants shall take all reasonably necessary steps to disclose commitments of all Trust materials, and information about their accessibility to potential users through local catalogs, Prospector and national initiatives (where appropriate and reasonable). Retention decisions will be recorded in bibliographic fields according to nationally

[1] Copy refers to a manifestation of a work that, given professional judgment, contains equivalent content.
[2] Available means the material is accessible to other Alliance libraries.
accepted standards (e.g. MARC field 583). Local implementation of these standards will be managed by the SCDC along with appropriate technical service groups.

The Alliance will record and track commitments to the MOU and specific projects which develop under its aegis.

10. Withdrawal of a Trust Participant from this MOU
In extreme circumstances a Trust Participant may withdraw entirely from the Trust and from provisions of this agreement by providing written notice, with reasons, to Member Council at least twelve (12) months prior to the intended withdrawal date. Withdrawal must be for grave reasons beyond the member’s control, such as disaster, financial exigencies, or an institutional collapse. In the event of withdrawal, Member Council will make all reasonable effort to balance the interests of the Alliance with those of the withdrawing Trust Participant without sacrificing the goal of long-term retention. Member Council will work with the library withdrawing from the Trust to determine the impacts on the Trust collection including impacts on access and the disposition of materials by that library. The terms of the withdrawal, including access to and disposition of materials, will be recorded in a separation agreement.

11. Amendment and Review of MOU
Member Council should review this MOU every five years, or as needed, in light of significant changes in the landscape of library preservation and access, and the MOU may be amended by a vote of Member Council.

If the Colorado Alliance of Research Libraries dissolves, this agreement will be null and void unless the MOU signatories create a new governance structure.

By signature below, the following official representatives acknowledge having read and understood the agreement and agree to be bound by its terms and conditions.

Addendum 3

Procedures for Small (< $200) Departmental and Student Outreach and Training Food and Supply Requests from the Libraries Management Team:

- Request must be Library and or University related.
- For infrequent student or faculty or staff meetings or trainings or departmental outreach events. (Not creating a candy basket for everyone nor providing lunch to everyone.)
- Remember these are State funds and we should use them responsibly. On the other hand if there is a legitimate need then the Libraries should support it.

Management Team member (department directors) will receive up to $500 per fiscal year to fund small, incidental expenses. These funds will have a separate General Fund speed type (Library Departmental and Student Outreach and Training) to track these funds. The requester’s name will be tracked for each person to keep a tally of how much has been spent. Additionally, the Student Advisory Board (SAB) has been given $500 for student outreach. These expenditures will also be tracked for year-end reporting. To use these funds, the Management Team member or SAB representative should send email to the Deans Office Program Assistant, Cheryl Koelling.
Please include the following:
• What is the event? Provide brief explanation. How does this further our mission?
• Why are we doing this?
• When is it scheduled?
• Where will the event be held?
• Who is included?
• How much will this cost? Please provide cost estimate and vendor name.

Deans Office Program Assistant will work with department or SAB representative to order and pay for the purchases associated with these events/training in accordance with University policies. This pilot programs will be evaluated at the end of the fiscal year to determine how much each person and SAB spent and whether or not these programs should continue or change.

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