Tulane University Legacy Collection Analysis Project
A Project to Accompany the 5th and 6th Floor H-TML Addition

8/27/2012
Tulane University
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Tulane University Legacy Collection Analysis

1. Significance of the Proposed Project

Tulane University houses a very large, older portion of its library general collection in an off-site storage facility. More than half the monographs stored at this off-site location were identified as unique among the holdings of eight other Association of Southeastern Research Libraries (ASERL) member libraries that participated in a comparative analysis of collections holdings in 2004. More than 75 percent were held only by Tulane or Tulane and one other ASERL member library. Yet Tulane’s off-site materials have never been assessed or analyzed; some may be effectively hidden in lacking records in the library catalog. They represent the library’s older circulating materials, its legacy collections in the form of published books and serials acquired in the first half of the 20th and late quarter of the 19th century.

The proposed project will accomplish the following:

- Identify by title the monographs held off-site that are older than 1938, which is when Howard-Tilton Memorial Library was first opened in the campus building now known as Jones Hall, and thus define these as the Tulane’s legacy collections.
- Determine which legacy collection books cataloged long ago are still held and which ones are lost
- Suppress records for the lost books in the library catalog
- Tag all physically identified legacy collection books with bar codes for subsequent tracking
- Identify which legacy collection books are damaged though age or use and in need of conservation measures
- Relocate the legacy collection books to the new 6th floor rare and unique books area to be constructed at the Howard-Tilton books building.

Importantly, the project will provide materials needed to fully utilize the large, protected space with high density shelving for rare or unique books that will be located with the two-floor addition to be constructed atop the main library building, Howard-Tilton Memorial, on Tulane’s uptown campus. This new, high elevation space will accommodate the materials identified through this proposed project as unique or otherwise in need of special protection, in addition to the library’s present rare book collection. The space will include a special adjacent reading area and staff offices for support.

The off-site facility where the university’s legacy book collection is presently housed is a one-story warehouse leased in the Mid-City area of New Orleans, a building that was surrounded by water after Hurricane Katrina. The depth of the water was only an inch below the building’s slab floor elevation. The library believes the new library addition is more appropriate long term site for its rare or unique books.

Moreover, one purpose of the new Howard-Tilton addition is to build back flooded special collections lost after Hurricane Katrina while also replacing the larger spaces that flooded in the basement of the Howard-Tilton itself.
Analysis and tagging of these unique materials will ease their retrieval and access. Materials found through this project to be lost or missing will have their records removed from the shared OCLC WorldCat library database and will thus eliminate the misinformation and potential for wasted effort associated that outdated erroneous shared holdings records can create.

Tulane University. Tulane University is in New Orleans. Its large main campus is located in a tree-shaded section of the city uptown across from Audubon Park and the city’s historic St. Charles Avenue streetcar line. It has a second campus downtown for its health sciences divisions and hospital. Tulane is among the top research institutions in North America as well as the largest private academic institution in New Orleans and the central Gulf Coast. Its schools and colleges offer undergraduate, graduate and professional degrees in the liberal arts, science and engineering, architecture, business, law, social work, medicine and public health and tropical medicine. The university is ranked by the Carnegie Foundation for the Advancement of Teaching as a university with “very high research activity,” a prestigious category that includes only 2 percent of the more than 4,300 higher educational institutions rated by the foundation. With about 4,400 employees, Tulane is the largest private employer in New Orleans.

Tulane’s libraries generally stand in the lower middle tier among members of the Association of Research Libraries (ARL), a group recognized as the top 123 research libraries in North America. Its general collections serve as a major cultural resource for researchers and scholars from throughout the region and its special collections often draw researchers internationally, especially in the areas of Latin American studies, jazz, and New Orleans history.

Project Overview.

Background. Just over a decade ago a lack of physical collections space in Tulane’s the main Howard-Tilton Memorial Library reached a critical stage with more than 20 percent of its general collections no longer fitting on its shelves and instead piled on the floor between the aisles of the books stacks. This led the university to provided funding for it library offsite storage facility, which is located at 900 S. Jefferson Davis Parkway about two miles north of Tulane’s uptown campus. Selecting which materials would move off site was made easy by the fact that about half of the general collection on each of the library’s four upper floors was classed and shelved under the Dewey Decimal System and these “Dewey materials” were the older materials the library had acquired before it decided in the early 1970s to switch to the Library of Congress (LC) Classification scheme.

Consequently, the library in 2002 initiated a Dewey Reclassification and Stacks Management Project with multiple purposes aimed at easing the challenge of finding materials in the cramped Howard-Tilton building. That project provided for the reclassification of open stacks materials that were still classified in Dewey, so that heavily-used materials will utilize LC classification. It allowed for a massive rearrangement of the stacks in the building from a subject floor arrangement to a simplified A-Z call number arrangement, a pattern that would be less confusing for users and more easily managed by shelving staff. Lastly, it identified the Dewey materials that would not be reclassified and eventually moved off site.
However, time, staffing, and logistics did not allow for that project to include a check of the Dewey volumes eventually moved off site against the library’s catalog holdings. Nor did it allow for analysis of individual items beyond identification of current serials needing reclassification and duplicates or some item types such old directories or superseded works that needed to be withdrawn.

The move to the off-site facility was completed in July 2003. Today the materials held off site are requested by library patrons at the main library and retrieval is promised within 24 hours, provisioned by a library courier who travels to the off-site facility for this purpose each weekday. Staff members have observed that about 10 percent of the requests for material listed in the library catalog as held off site cannot be filled due to items miss shelved or missing off site.

Further, Tulane is a relatively old institution and many of its library materials are old was well. The Howard-Tilton name of its main library comes from a merging in 1938 of the Howard Memorial Library, a private collection that in the 19th century was open to public users and located on Camp Street in downtown New Orleans, and Tulane’s former Tilton Library (built in 1902), which was the first free standing library building on the university's uptown campus. The older collections represented in its materials held off site are rich and varied, but largely cataloged long, long ago. Cataloging staff estimate that as much as 5 percent of the collection housed off site may be hidden collections with no catalog records at all.

**ASERL Storage Collections Overlap Study.** In 2004, nine members of the Association of Southeastern Research Libraries (ASERL) with off-site storage collections containing more than 100,000 volumes each sent their holdings information about those storage collections to OCLC for comparison. The nine libraries included those at Tulane, Duke, University of Alabama, University of Georgia, University of North Carolina, University of South Carolina, University of Virginia, Vanderbilt University, and Virginia Tech. The resulting data showed combined holdings of 2.3 million monographs and 1,783,854 individual titles in the nine storage collections. Of those, 1,426,825 titles were held by only one library; in other words, 80% of all stored holdings were unique, a percentage much higher than had been earlier hypothesized. Indeed an original purpose of the comparison was to help ASERL member libraries identify higher duplicated older materials that might be discarded, under a false assumption that a high level of duplication would be the norm.

The comparison showed the opposite in indicating that very large portions of these holdings needed to be kept. Indeed it shifted the conventional view of these collections from simple stockpiles of old books to repositories of unique or nearly unique titles produced before the modern era of mass market publishing. It raised important questions about libraries’ priorities for preserving these books and even for enhancing their access as potential targets for eventual digitization.

The **ASERL Storage Collections Overlap Study** included 193,351 individual monograph titles in OCLC’s WorldCat shared library catalog that were housed at Tulane’s off-site storage facility. WorldCat is a union catalog which itemizes the collections of 72,000 libraries in 170 countries and territories which participate in the Online Computer Library Center (OCLC) global cooperative. It is built and maintained collectively by the participating libraries. For the purposes of the overlap study, Tulane extracted from
its own online catalog its records for its books off site and supplied them to OCLC for the comparison in a large file via ftp. The records represented books coded as monographs and with a location identifier code corresponding to the off-site facility. The comparison study will not of course have covered any “hidden” books housed off site but without records in the online catalog.

Of Tulane’s 193,351 total, 98,759 were unique among the other ASERL libraries. Another 46,024 were held only by Tulane and one other ASERL library in the comparison. Another 25,085 were held by Tulane and two other ASERL libraries; 13,191 were held by Tulane and three other ASERL libraries. Only 10,292 of Tulane’s off site books were held by 4 or more ASERL members.

Only 15 of Tulane’s 193,351 books examined in the comparison were held by all nine ASERL members (see Appendix A).

In June 2012, Tulane’s library staff contacted the ASERL leadership to see if the study had produced title lists that would identify exactly which books that Tulane owned at its offsite facility were held only by Tulane or Tulane and one other ASERL member library. ASERL had not retained these data and they were also not saved by any of the member of the task force that had been involved in the study. Next, Tulane’s library staff contacted OCLC to see if the study could be replicated in such a way that it would produce a specific title list. OCLC examined the question and determined that it could not replicate the study from its global catalog data. The comparison of holdings in the original study had been done from list of records extracted from the online catalogs of each library by each library and then supplied to OCLC. But most of those catalog records were not likely to in OCLC’s global database; and a case in point would be a lack of OCLC records for almost all of Tulane’s books held off site.

The ASERL study will serve as primary evidence for the important need to protect Tulane older monographs but it could not serve to identify exact titles. Based on discussions with Tulane bibliographers and others familiar with Tulane’s collections off site collection it was determined that portion of the collection published prior to 1938 was highly likely to the hold most of the titles that the study showed was held only by Tulane or Tulane and one or two other ASERL member libraries.

2. Objectives

The goal of the Tulane University Library Legacy Collection Analysis Project is to identify and preserve the university’s legacy book collections currently stored off site in new more appropriate space to be constructed in Howard-Tilton’s planned building addition. The focus of the project will be the monographs whose importance was pointed to in the aforementioned ASERL study.

That study showed there were 98,759 titles owned by Tulane off site that were unique among the other ASERL libraries. Therefore, this project will target 100,000 off site books to be moved. To accomplish this, Tulane’s legacy book collection will be defined as the monographs held off-site at 900 S. Jefferson Davis Parkway with Dewey Decimal System call numbers that are older than 1938, the year that Howard-Tilton Memorial Library was first opened in the campus building now known as Jones Hall.
The library’s online catalog includes 98,482 records for titles matching the targeted range of dates, which are illustrated on the following chart. A list generated from these titles will serve as an initial basis for identifying an estimated 100,000 actual book volumes for the legacy collection. The collection will undoubtedly include many duplicate volumes, but the total volume count will be reduced by items lost or missing from the collection.

<table>
<thead>
<tr>
<th>Year Segments</th>
<th>Titles</th>
<th>Notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1500-1849</td>
<td>4,512</td>
<td>29 records with dates 1500-1698; 648 records with dates before 1801</td>
</tr>
<tr>
<td>1850-1875</td>
<td>6,956</td>
<td></td>
</tr>
<tr>
<td>1876-1899</td>
<td>19,392</td>
<td></td>
</tr>
<tr>
<td>1900-1920</td>
<td>26,646</td>
<td></td>
</tr>
<tr>
<td>1921-1938</td>
<td>40,977</td>
<td></td>
</tr>
<tr>
<td>TOTAL</td>
<td>98,483</td>
<td>Not accounting for duplicate or lost volumes</td>
</tr>
</tbody>
</table>

The project’s has seven specific objectives. By successfully completing them the project will:

- Identify by title the monographs held off-site that are older than 1938, which is when Howard-Tilton Memorial Library was first opened in the campus building now known as Jones Hall, and thus define these as the Tulane’s legacy collections.
- Determine which legacy collection books cataloged long ago are still held and which ones are lost
- Suppress records for the lost books in the library catalog
- Tag all physically identified legacy collection books with bar codes for subsequent tracking
- Identify which legacy collection books are damaged though age or use and in need of conservation measures
- Eventually relocate the legacy collection books to the new 6th floor rare and unique books area to be constructed at the Howard-Tilton books building.

3. Staffing

The scale of this project is larger than could be accomplished as an additional project to be taken on by the library’s existing technical services staff. Therefore, the project will need to be performed by an experienced library service provider.

The library has extensive experience with one such service provider, which since 2008 has provided similar cataloging and materials processing at the library’s Recovery Center. The Recovery Center is a program assisted by federal funds that is based in a corner of the library’s off-site facility and which has successfully handled more than 1 million items from restoration, donations, and initial replacement purchases planned as a means to rebuild collections damaged or lost to Hurricane Katrina.
The Recovery Center is staffed by the LAC Group, which is based in Los Angeles, CA. The company employs some 200 librarians, library technicians, researchers, archivists, and catalogers who are resident at client sites throughout the United States. LA is project driven, and our staffing roster expands or contracts to meet the needs of our projects and assignments. Its clients include academic and public libraries, hospitals, law firms, government agencies, corporations, and professional associations.

LAC Group, founded in 1986, has many years of experience in successfully managing long term projects, including four years successfully handling the large and complex projects undertaken at Tulane’s Recovery Center. The company specializes in project analyses and implementation of project solutions. With staff currently residing at the Recovery Center and set to wrap up the final remaining recovery project there in late fall 2012, the company is uniquely positioned to take on the Tulane University Legacy Collection Analysis.

The pool of library service providers is very small with few beside LAC Group capable of handling a project of this scale and scope. Also, with staff and equipment already on site LAC Group would not have the logistical start-up costs that others would need to add to the project. Therefore attached to this project outline is the LAC Group contact proposal for the Phase I portion of the project, which the library and the company worked out through planning discussions.

4. Project Design

Phase I: Identification, Tagging, and Cataloging

In this phase, lists of records in the library online catalog identifying the pre-1938 titles would be extracted using location codes and other parameters as needed. Then project staff members will physically go through the off-site collection to physically identify which volumes in collection matched the titles on the list. Titles on the list but not physically identified in this process will be noted and as part of the projects steps will be taken to suppress records for the lost books in the library catalog.

Books matching the titles on the legacy collection list will be flagged to eventually be moved to the new 6th floor Rare Books area, slated to be constructed atop the present Howard-Tilton Memorial Library building beginning summer 2012; staff will set the circulation status for these books as non-circulating. All books physically identified will be barcoded and their holdings records accurately updated in the online catalog.

Staff will physically compare each book identified in the project to a checklist designed to rate the physically condition of the item. Books meeting the checklist standard for high priority conservation or repair will be flagged appropriately or separated to distinct shelving location and their holdings and circulation status appropriated modified.

Phase II: Relocation of Materials
In this phase the legacy collection books identified and tagged in Phase I will be moved to the new 6th floor rare and unique books area to be constructed at the Howard-Tilton building. The timing of this phase will necessarily have to wait until the Howard-Tilton building addition is finished and ready to be occupied. Work in Phase I would be handled by a qualified library service provider such as LAC Group. Because of the often delicate or brittle condition of the books involved, the relocation of the legacy collection books to the library’s new 6th floor will need to be a separate process and carried out by a qualified library mover with experience and background in this type of work. Phase II is envisioned as a separate exercise to be coordinated with the general moving materials into the new building addition for its intended purposes and as part of the final completion of the overall construction project.

**Phase III: Report and Action Plan**

Near the end of the project, staff will begin a compilation of summary data for the project that will quantify all aspects of the materials handled including numbers of books identified, found to be lost, barcoded, otherwise flagged, or separated out for conservation treatment. Next the staff project director and the Project Steering Committee will complete a final report that will include summary of project data and results along with any action plans that may be required.

**Project Organization**

**Key Personnel Resources**

**Principal Investigator:** Andy Corrigan, Associate Dean of Libraries, Howard-Tilton Memorial Library, Tulane University

**Co-Principal Investigator:** Donna Cappelle Cook, Director, Technical Services, Howard-Tilton Memorial Library, Tulane University

**Project Director:** The project director would be the project leader assigned by the service provider (LAC Group). He or she will oversee the work of the project as outlined in this proposal. The work will include hiring, training, and supervising members of the project staff. The director will be expected to also participate in the work of the project, especially in running the Phase II comparative collection analyses but also in the item by item Phase I aspects of the projects as well. The director will report to the co-administrators of the projects and serve as a member of the Project Steering Committee.

**Project Staff:** Project staff will essentially be charged with the facilitating the Phase I work of the projects especially the item by item physical identification and tagging of the books off site. Staff members would be employees of the library service provider. Staffing levels would be informed by recent experience with several of its Recovery Center projects and monthly counts of units handled to perform similar tasks.

**Project Steering Committee.** The Steering Committee will meet regularly and in person to provide general oversight for the implementation of the project and the preparation and interpretation of project results. The Steering Committee will consist of the Principal Investigator, Co-Principal Investigator, Project Director, and a representative from the library’s chief bibliographer’s group. Other
key parties will be consulted as required. Progress will be reported on a steady monthly basis to the library large Collections Group and to its Administrative team that included the Dean of Libraries and Academic Information Resources.

Project Time Line

The total timeframe of the project is projected to be two years.

Project Costs

The total cost of the phase I operations described above, to be handled by the contracted library service provider, will be $374,185.84. (See LAC Group proposal)

Since the project term is two years, the cost would be divided over the term at $184,328 for the first year and $189,857.84. LAC Group is prepared to begin the project immediately. Moving costs may be included in the overall construction costs as part of the generally cost of moving materials into the new building addition for its intended purposes.

Project Deliverables

Project deliverables will include:

5. Identification by title of the monographs held off-site that are older than 1938, which is when Howard-Tilton Memorial Library was first opened in the campus building now known as Jones Hall, and thus define these as the Tulane’s legacy collections.
6. Determination of which legacy collection books cataloged long ago are still held and which ones are lost
7. Suppression of records for the lost books in the library
8. Tagging of all physically identified legacy collection books with bar codes for subsequent tracking
9. Identification of which legacy collection books are damaged though age or use and in need of conservation measures
10. Eventual (Phase II) relocation of the legacy collection books to the new 6th floor rare and unique books area to be constructed at the Howard-Tilton books building

Final Report

A final report with completed summaries of project data and results will be completed by the Project Steering Committee and the staff project director, marking the completion of the project.