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Controlled Digital Lending, Equitable Access to Knowledge and Future Library Services

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Title: Controlled Digital Lending, Equitable Access to Knowledge and Future Library Services

Abstract: Controlled Digital Lending (CDL) became a popular term in the United States of America (USA) libraries as a result of a white paper authored by Kyle K. Courtney (Harvard University) and David Hansen (Duke University). (Citation?) The white paper gave the legal groundwork to explore the copyright aspect of CDL: Fair Use, First Sale Doctrine and Supreme Court rulings. The white paper also provided guidelines for Library professionals implementing this new technology to fulfill their users' needs. Inspired by the recent CDL guidelines developed by Courtney and Hansen (2018) two librarians from the University of Florida (UF), and Florida Gulf Coast University (FGCU) started a conversation about how to develop strategies to make CDL work possible at each institution. The authors share their stories of piloting and initiating a CDL program to ensure students have reliable, affordable access to course materials they need to be successful. Additionally, the authors discuss the emerging trends of CDL in the USA, and the development of the CDL platforms, policies and implementation plans. Most importantly, the implementation of these programs presents challenges, lessons learned, and plans to sustain the program in the future.

Key words: Controlled Digital Lending, Emerging Technologies, Equitable Access, Collaborations

Introduction

The University of Florida is one of the largest land grant research public universities in United States of America. The 2022 US NEWS & WORLD REPORT ranks UF #5 among public universities in America. The university comprises 16 colleges and 150 institutions, offers 200 graduates' degrees, 100 undergraduate degrees and 30 certificates. The student-faculty ratio is: 20:1, more than nine hundred million was invested in research in 2021, which is five times the national average. University libraries' course reserves unit in access and resource sharing department provided print and electronic course reserves service to support teaching and learning.

Florida Gulf Coast University is a mid-size regional university located in Fort Myers Florida. We have over 15,000 students. Our student population is over 40% first generation. Our university is celebrating our 25th Anniversary this year. We have a beautiful campus and library, and we were born with a larger e-resource collection than a print collection. We are referred to as FGCU here in Florida university system.

In summer 2020, two libraries in the state of Florida (University of Florida, Florida Gulf Coast University) started a conversation about how to develop strategies to make CDL work possible at each institution. Although their environments and resources were vastly different, both institutions were successful and benefitted from their shared knowledge and friendship.

Controlled Digital Lending is not a new concept, it has about 10 years of history. In 2011, the basic principles of CDL were articulated by Michelle Wu, a Law professor, in her paper "Building a Collaborative Digital Collection: A Necessary Evolution in Libraries." CDL is an emerging modern methodology that makes libraries' print collections more easily available for

lending in digital formats. CDL enables a library to circulate a digitized title in place of a physical one in a controlled manner. The following two infographics demonstrate the concept.

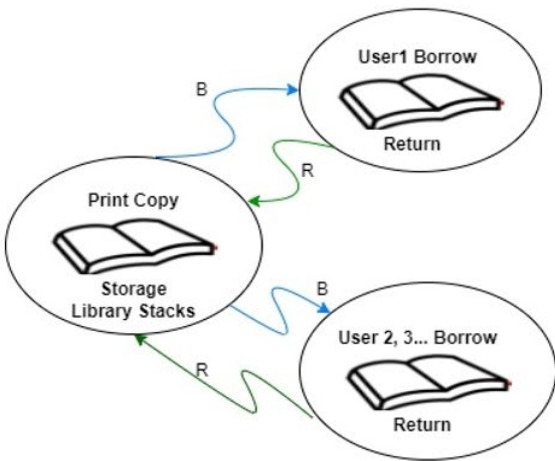


Figure 1

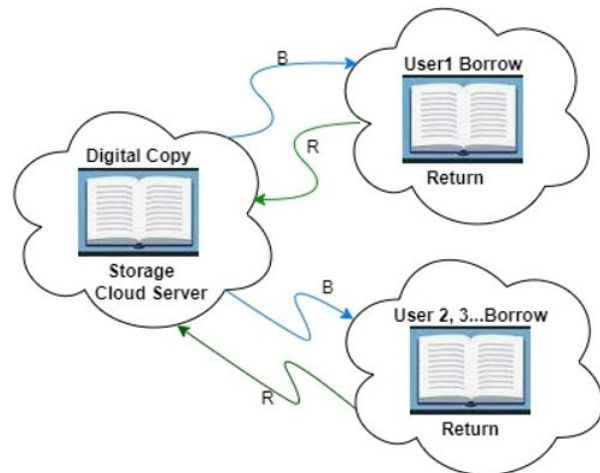


Figure 2

Figure 1 shows the traditional libraries' circulation model for their physical collections, which we are very familiar with, and libraries have been practicing for decades. For example, libraries typically purchase a print copy and then process and store the book in a physical location. User one comes to the library and borrows the book, after the user finishes reading, the user returns the book to the library either by in person visit or by mail. Then, library staff will put the book back to stacks. The next user follows the same cycle to borrow and return the book.

Figure 2 shows the CDL circulation model. The libraries digitize their legitimately acquired copy, lock down the physical copy, upload the digital file to a cloud server and make the file accessible to the user in a controlled environment. User1 borrows the book, and after the user finishes reading, the book is automatically returned to the cloud server, and the next user can borrow the book in minutes.

For many years, the center of library service has been to provide information resources to meet today's user's needs. Library users have the right to access libraries' collections regardless of their geographic location, health status, disabilities, or any unusual circumstances. CDL shifts lending to a new format that opens access possibilities for readers with disabilities, physical access limitations, research efficiency needs, or other needs for digitally accessible content. This methodology will help libraries remove access barriers to libraries' physical collections in the event of exceptional circumstances such as epidemiology outbreaks when the library is unable to circulate course reserves material, or when libraries are closed for other reasons. This approach will also benefit individuals who are distance learners, or are engaged in field studies, as well as patrons with disabilities.

Controlled Digital Lending Development Roadmap in the United States of America

The Controlled Digital Lending white paper published in September 2018 by the Harvard University Copyright Librarian and David Hansen at Duke University draws attention to the United States of America information society. Since then, librarians and information provision professionals began the CDL discussions. Presentations, talks and reports about CDL have been given at various conferences, committee meetings and forums prior to the pandemic. Information professionals expressed their curiosity and interest in this new methodology and would like to further exploration. This early-stage conversation helped information professionals build foundational knowledge of this new technology. CDL became a hot topic during the COVID-19 epidemiology outbreak. When libraries were locked down worldwide at the beginning of the pandemic, libraries were challenged to find ways to continue to provide their stakeholders with access to their physical collections. Libraries reacted immediately by developing new services important to sustaining the campus mission during the pandemic use CDL became one of the tools libraries used to put forward effort to make libraries' resources accessible "anytime, anywhere" during this difficulty time. Some library staff define CDL as a lifeline to support teaching and learning and make educational materials affordable. Figure 2 shows the evolving movement of CDL.

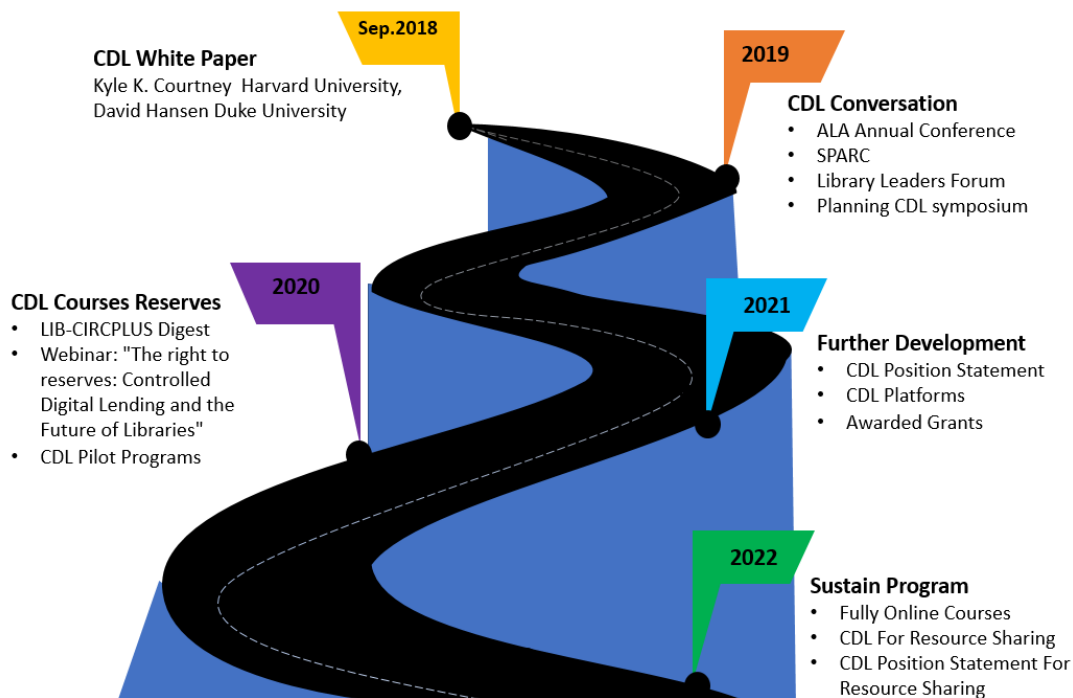


Figure 2 Controlled Digital Lending Development Roadmap

Controlled Digital Lending for Course Reserves at University of Florida

These are some steps to consider while developing a Controlled Digital Lending Program. First, seek policy and your institution's legal support and document your goals and risk threshold,

work with your copyright librarian, submit proposal to your university office of General Counsel. Second, identify a platform based on your local best practice, there are many options now. Some institutions pattern with Internet Achieve, join Internet Achieve open library program, other institutions use their current ILS system, for example, ALMA digital. Others are Occam's Reader, Image Access & DLSG, designer of KIC, BSCAN ILL and Opus digitization systems, and the Digital Stacks Ecosystem with transformative and extensive Controlled Digital Lending. etc. It is also possible to build an institution level CDL platform based on each institution and libraries' Information Technology infrastructure which is our approach here at University of Florida. Last and very importantly, we must continue to test, modify, and fine tune the workflow and procedure as well as staff roles.

CDL PLATFORM-PHASE I

Figure 3 shows a cost-free phase I hybrid controlled digital lending platform we developed within a month during the pandemic. Libraries use this platform to circulate print course reserves textbooks to meet faculty and students' immediate needs.

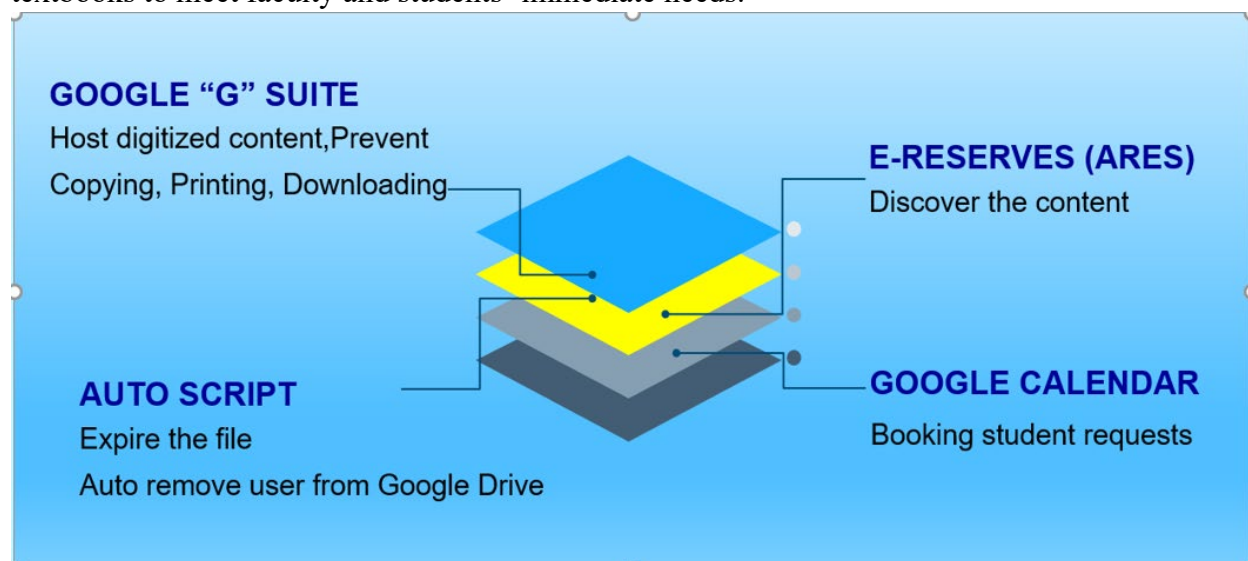


Figure 3 A hybrid Controlled Digital Lending Platform

The hybrid CDL platform requires staff intervention and a mediated workflow. Figure 4 details the mediated workflow.

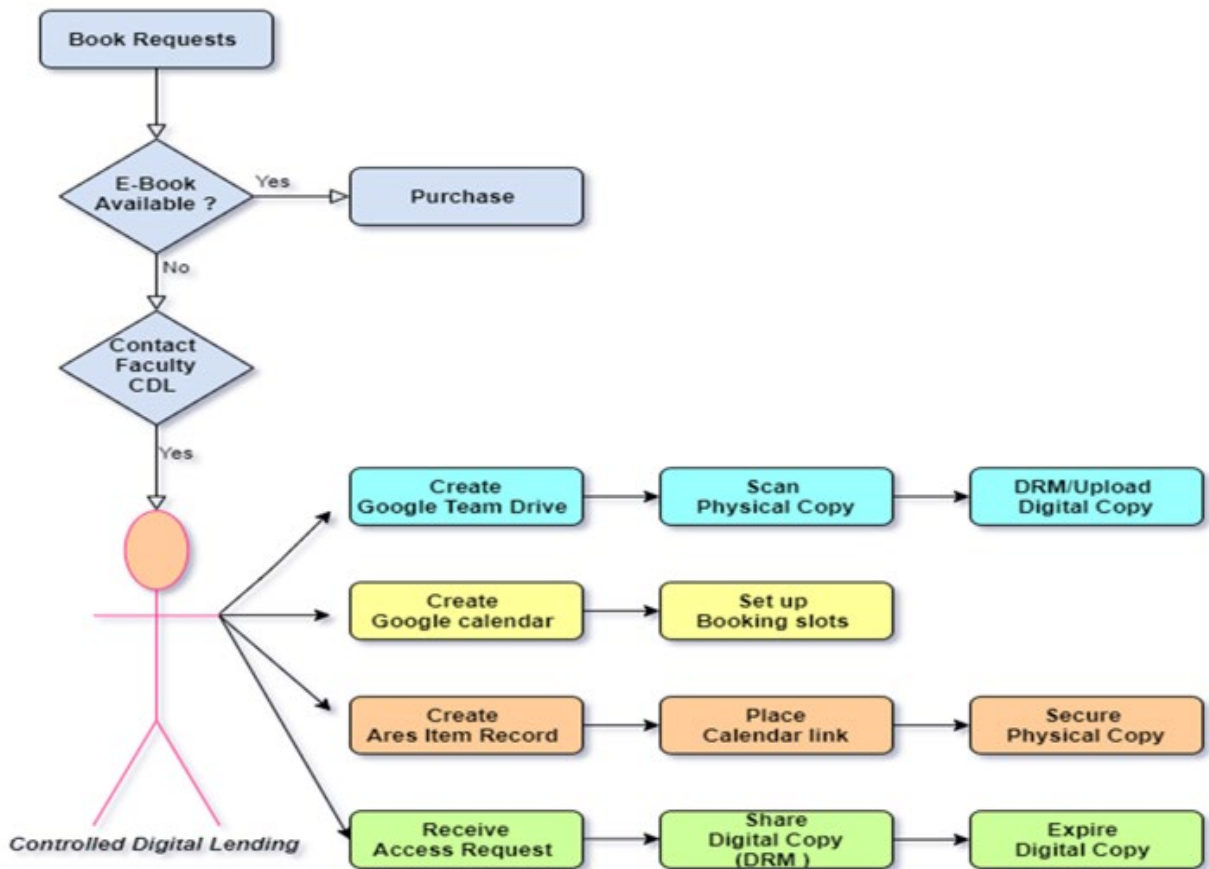


Figure 4 Mediated Controlled Digital Lending workflow

Controlled Digital Lending Platform Phase II

While we launched a hybrid CDL platform within a month in the middle of the pandemic, we continued to improve our platform. In collaborating with the campus and library information technology department, we implemented Fordham University’s CDL Google Drive Apps to automate the workflow. (See Figure 5).

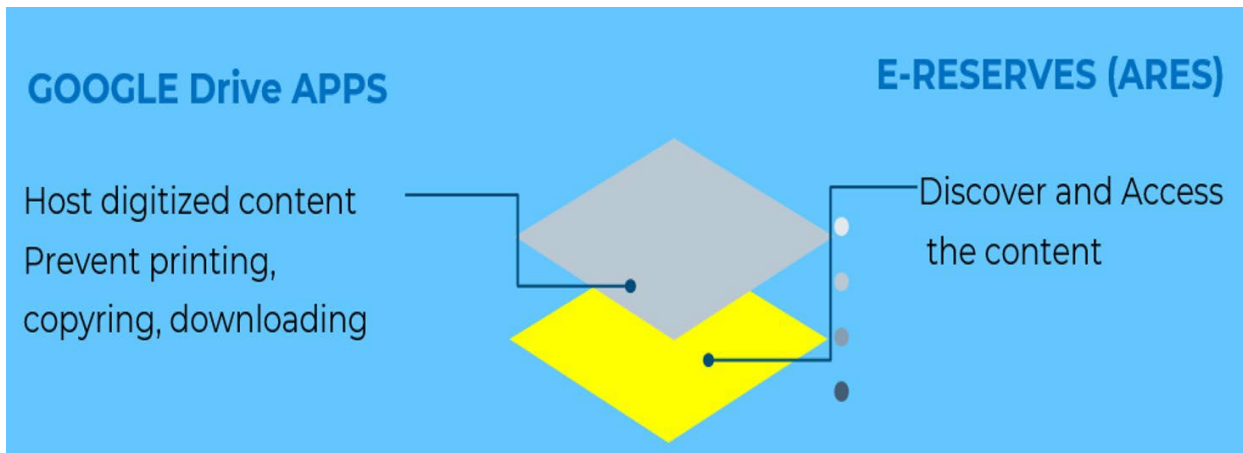


Figure 5 Google Drive APPS Controlled Digital Lending Platform

This unmediated workflow (See Figure 6) eliminated the student booking request process as well as staff intervention for circulating digital copies. The unmediated workflow saved staff time and improved user experience.

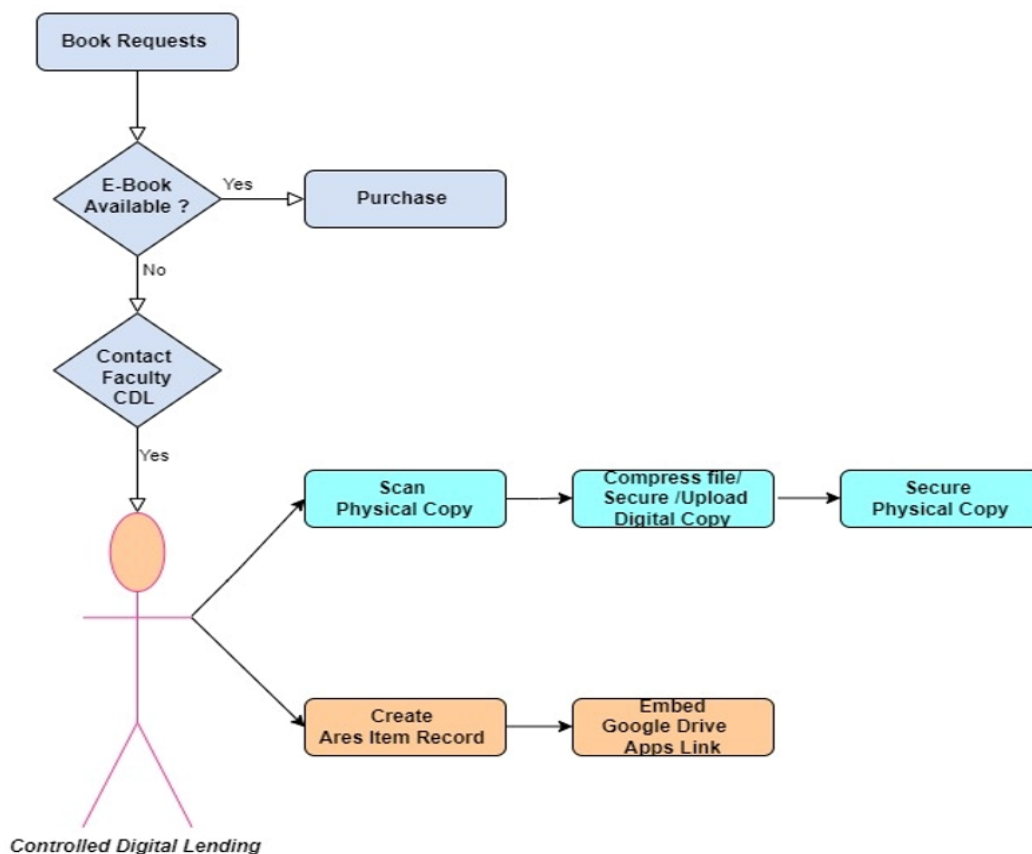


Figure 6 Unmediated Controlled Digital Lending Workflow

Challenges, Opportunities and Lessons Learned at University of Florida

The global pandemic created barriers for library information seekers, challenged information professionals to provide resources to users that have relied on it for many decades. In the meanwhile, the pandemic also presented an opportunity for library information professionals to reassess and remodel their current service and explore ways to initiate new services to fulfill their community's needs.

Through piloting a Controlled Digital Lending program, we gained a foundational understanding of CDL and its principles. Through developing a home grown CDL platform, staff improved their competence in using up-to-date technology, obtained new skills and developed their creative thinking and communication skills while also building resilience when faced with challenges. We also established good relationships with our peer institutions that have the same passion for this modern technology. We fostered and engaged in discussion, shared ideas, and found solutions. We supported and helped each other with this new initiative. Together, we made CDL a reality. We also built healthy relationships with campus and libraries' departments as we worked together to sustain the campus mission. Staff members were encouraged by the positive feedback, kudos and appreciation notes from faculty and students. Our staff felt rewarded from this pilot program and will continue to learn more about this innovative technology in the future.

Controlled Digital Lending Program at Florida Gulf Coast University Library

From the Beginning

- Access to Textbooks/Course Reserves
- CDL Internet Archive Webinar Presentation
- Created a workflow
- Included multiple stakeholders
- Best practice

Here at Florida Gulf Coast University Library, we knew we needed to continue access to our textbooks for our students to be able to complete the semester. We closed six weeks before the end of our spring semester. Our student population is nearly 50% first generation and financially dependent on access to our print textbook collection. We had heard of controlled digital lending and needed to understand how it functioned. Fortunately, the Internet Archive was offering presentations and webinars on how this existing technology worked. We worked with our statewide colleagues like University of Florida and Florida A & M. We signed up and attended their sessions as often as we could. Our workflows needed reviewing in order for us to adopt a form of this type of lending. There were stakeholders we needed to include in order for us to succeed in making our textbook collection accessible. Best practice for copyright and fair use needed to be followed too.

Textbook History

- Provost provided funding for our Affordable pilot program

- Circulation of textbooks - statistics showed high usage
- Goal: we needed to continue making course reserves/textbooks accessible

Our provost had just funded the library with a \$100,000 budget to purchase print textbooks for course reserves. Textbooks became one of our most circulated collections that year. So, our goal was to keep access to these as easy as possible during this challenging time.

Access to Textbook/Course Reserves

- Continuing access to textbooks
- Training window was short period of time
- Creating a new workflow
- Including multiple stakeholders
- Marketing our new services

In order for us to keep access to the textbook collection to our students, we needed to train our staff, create a new workflow, involve our stakeholders, and market our new “request a chapter” service. This involved quick changes to our in-person workflow. We were fortunate to have access to Microsoft Teams, and all our staff had access to computers at home. We met online each day to discuss and document our new workflow and who would be scanning and who would edit to prepare the chapter to send to our students. We were always thankful for our staff and marketing staff who helped keep our user up to date. This new workflow help support one another during a difficult and stressful time. It was so important for all of us to remain in contact to keep morale up.

Interlibrary Loan Model & Hybrid CDL

- ILL model was a foundation
- Best practices followed
- Using familiar software and programs
- Limiting the circulation of reserves – CDL

We were already familiar with our ILL model, and we worked this structure into our new service model. We had limited access to up to date software and equipment, our scanners were flatbed models, but we had two staff members inside the building and a few student assistants who could scan and prep the textbooks our students needed access to in order to complete the semester. The cross training, we had done in the past few years came in handy, everyone was familiar with ILL workflows for scanning and filling requests. Copyright and Fair Use practices were familiar to everyone, so we were up to date on what we were permitted to do and how to make it work. The process was labor intensive, but this was only for a short time period until the spring semester ended and we could learn more efficient methods in Controlled Digital Lending. *Implementing Our Plan into Action*

- Training – we utilized Microsoft Teams
- Scanning began of approved titles
- Remote staff edited
- Over 2,000 chapters scanned using One Drive

Our department worked with our assessment person in identifying the most popular used textbooks. We utilized our Microsoft Teams application to meetup as often as needed so we could fine tune our workflow. Our remote staff did an excellent job of editing the scanned chapter requests, and we made sure to not lend multiple chapters from the same textbook at the same time. This was the labor-intensive part of our workflow. We had to make due during the last few weeks of the semester, that we doing everything we could to help our students finish the challenging and unprecedented semester in their college experience. We amazed ourselves, we successfully scanned over 2,000-chapter requests in the time period our library was physically closed to the public. Since we were physically closed, we were not circulating our print textbooks.

Challenges and Opportunities

- Collaboration: Getting there together
- Be creative and reach out
- Keep trying and doing, never give up
- Clear communications and documentation
- Stay current on CDL trends

The challenges and opportunities during this early time period with COVID closures, we learned to reach out to our local and statewide committees to collaborate and share how they were making print material accessible to their students and faculty. This was so important to learn with and from one another. We were creative when making our new workflows, and knew our students depended on us to continue making textbooks and print material accessible. We were fortunate here at Florida Gulf Coast, we had started delivering books and library materials to our residence halls the prior year. The infrastructure was in place to continue to deliver and meet the needs of our students and faculty. Making sure to communicate to all who were on campus was so important, and our social media was one of the tools we had in place. Our department had been in the practice to update training documentation regularly since we had new student assistants always coming on board. One of the most important ways we kept up with CDL was to attend as many webinars and presentations that the Internet Archive offered. We learned so much from them, and they shared information about other libraries who had implemented CDL in their library that we could contact.

What We Learned & Results for Future

- We were able to reach more students who were unable to purchase textbooks

- Applied for and received CARES IMLS Grant from the Florida State Library for 2 scanners, 1 KIC, and 1 BookEye
- Lock Lizard software
- More knowledge gained about CDL, Internet Archive, Open Library

This time period taught us how important it was to continue learning new trends and methods that kept us all connected. Thankfully we had workflows in place that we were able to switch gears and continue to provide our users with what they needed, and that was access to textbooks and printed material. We were proactive in searching for grants to help us purchase updated equipment. And finally, we were always so thankful and grateful for the old and new partnerships we gained during such a trying time for everyone

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