

# Models for Shared Print Monograph Retention

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**#ALCTSx17**



# Dramatis Personae



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# Today's Specials

- Overview: Shared Print Monographs Retention (Lugg)
- Michigan Shared Print Initiative (Grudzien)
- Eastern Academic Scholars' Trust (Stearns)
- Progress to Date (Lugg)
- Q&A

# [POLL]

1. Are you familiar with shared print initiatives such as MI-SPI, EAST, or others?

- Yes
- No
- Not sure

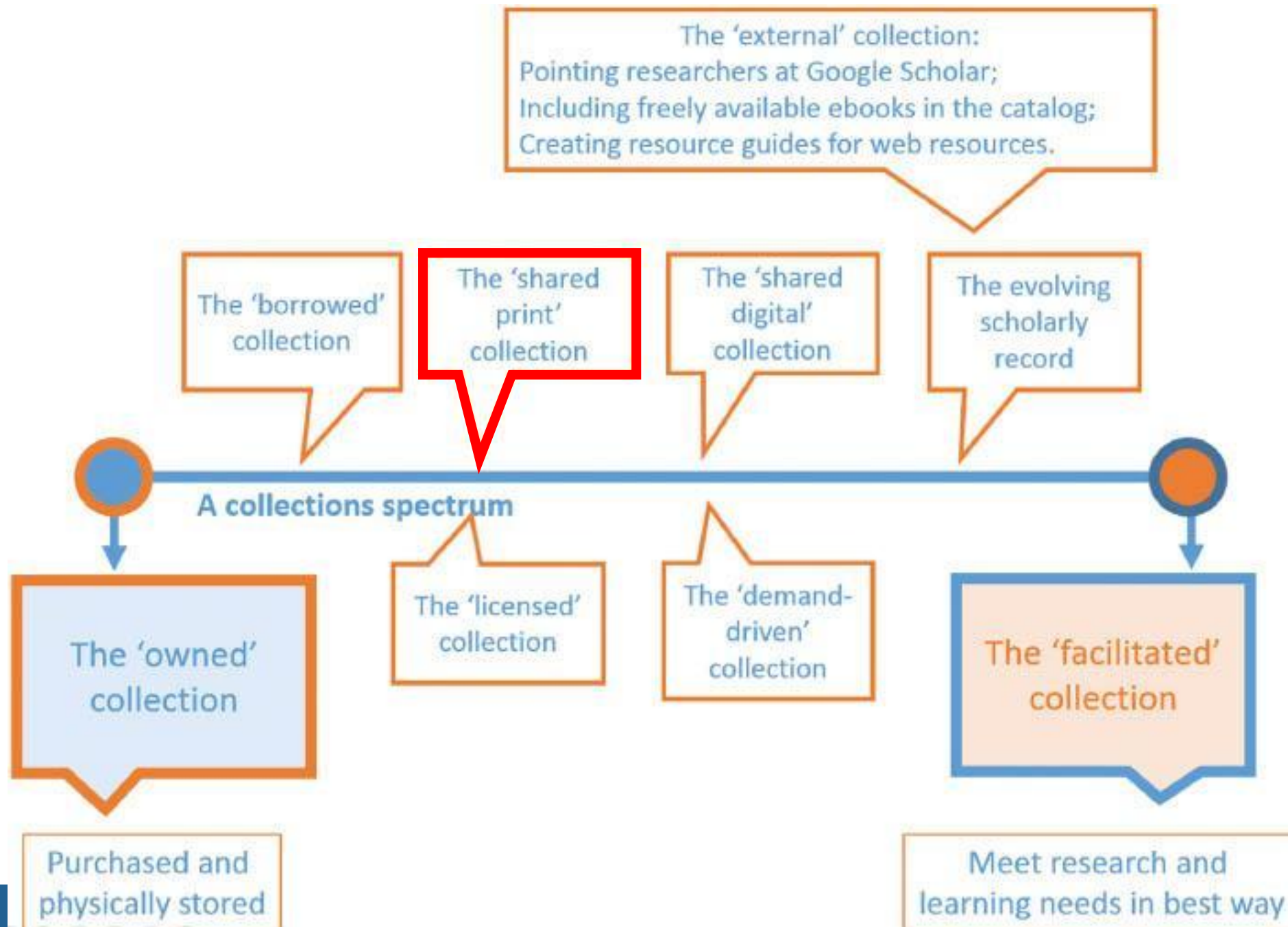
2. Does your library participate in a shared retention plan for monographs?

- Yes
- No
- Not sure

# OVERVIEW: SHARED PRINT MONOGRAPHS RETENTION

# The Facilitated Collection (Lorcan Dempsey)

Increasingly, **the library does not assemble collections for local use**, but facilitates access to a coordinated mix of local, external and collaborative services assembled around user needs and available on the **network**.



# Shared Print

## Collection Directions: Some Reflections on the Future of Library Collections and Collecting

Lorcan Dempsey

Vice President, Research, and Chief Strategist

Constance Malpas

Research Scientist

Brian Lavoie

Research Scientist

Published in: *portal: Libraries and the Academy*  
Volume 14, Number 3, July 2014 (pages 393-423)



“Shared print management schemes represent a **cost-effective alternative to institution-scale solutions**, redistributing the costs of library stewardship across a broader pool of participants.”



# Shared Print: Protecting the Scholarly Record

- Establish a safety net: ensure that all titles are secure
- Group-wide agreement on retention models
- Group-wide commitment to retention rules & duration
- Secure scarcely-held titles within the group
- Secure sufficient holdings of each titles to satisfy likely user demand
- Share responsibility for retention proportionately
- Deselection ***only*** after retention commitments established

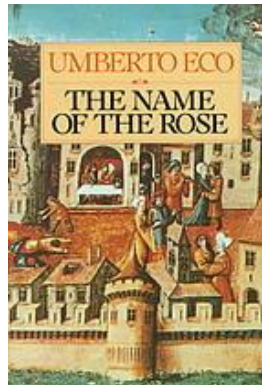
# Shared Print Initiatives (Monographs)

- Michigan Shared Print Initiative (MI-SPI)
- Maine Shared Collections Cooperative (MSCC)
- Tri-University Group (TUG)
- Connect New York Shared Print Archiving
- Washington Research Library Consortium (WRLC)
- Virtual Library of Virginia (VIVA)
- Academic Libraries of Indiana (ALI)
- Central Iowa Collaborative Collection Initiative (CI-CCI)
- Eastern Academic Scholars' Trust (EAST)
- COPPUL Shared Print Archive Network
- SCELIC Shared Print
- HathiTrust Print Monographs Archive

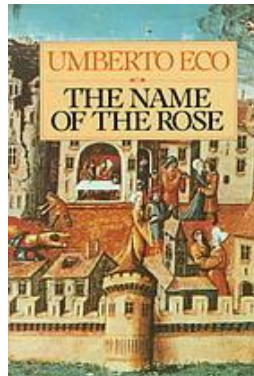
# Monographs Retention

- Commitment to retain for specified period (usually 10-15 years)
- Responsibility shared across a designated group (state, region)
- Typically a form Memorandum of Understanding in place
  - Ownership
  - Sharing
  - Duration/Review
  - Problems: Lost/Missing, Responsibility to replace, transfer of commitments
- Shared print in place or central collection facility
- Inspired by journal retention programs such as WEST, CRL
- Key Questions: how many copies to retain, and on what basis?

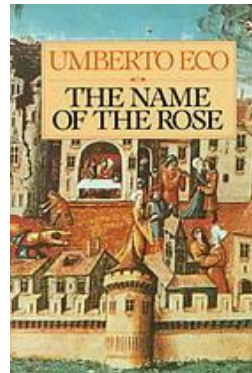
# Title Set



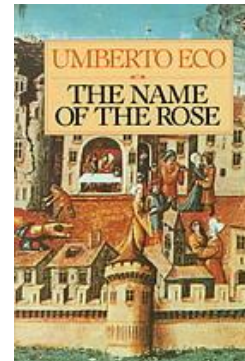
USC



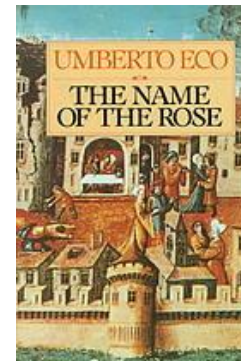
Pepperdine



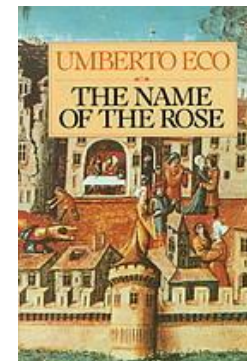
Occidental



Claremont



St Mary's



USD

# Title Holding

# Building Blocks for Retention Models

- Holdings tallies
  - Within the group
  - Within the US
  - Within the various comparator groups
- Year of publication
- Aggregate uses (within the group)
- Last charge year (within the group)
- Last item add year (within the group)
- HathiTrust – In Copyright or Public Domain

# Common Patterns in Retention Models

- To **retain at least one title-holding of every title** currently owned. AND to retain additional title-holdings for specific categories.
- To **agree on a definition of scarcely held titles and retain ALL such title-holdings**. AND to set specific retention thresholds for other categories of material.
- To **identify categories of titles that will NOT be allocated for retention** by group members.
- To agree that titles NOT allocated for retention are 'safe to weed'.

# Central Iowa Collaborative Collections Initiative (CI-CCI): 5 libraries

Retain 1 title-holding for all titles currently owned.

Allowed libraries to weed second, third, fourth, and fifth holdings **if published before 1991 and had zero recorded uses since 2005.**

*This decision identified approximately 50% of the shared collection for retention.*

# Academic Libraries of Indiana (36 libraries)

Retain ALL title-holdings that are:

- held by fewer than 4 libraries within the state of Indiana

OR

- held by fewer than 20 libraries in the US

OR

- **NOT held by** at least one of the three big research libraries in the state (**IU Bloomington, Purdue or Notre Dame**).

*This decision identified 33% of the shared collection for retention.*



# Virtual Library of Virginia – 1<sup>st</sup> Pass (8 libraries)

## 1. Retain all title-holdings that are scarcely held:

- unique within the state of Virginia

AND

- held by fewer than 10 libraries in the US

*This decision identified 1% of the shared collection for retention.*

# Virtual Library of Virginia – 2<sup>ND</sup> Pass (8 libraries)

## 2. Retain titles that are widely held

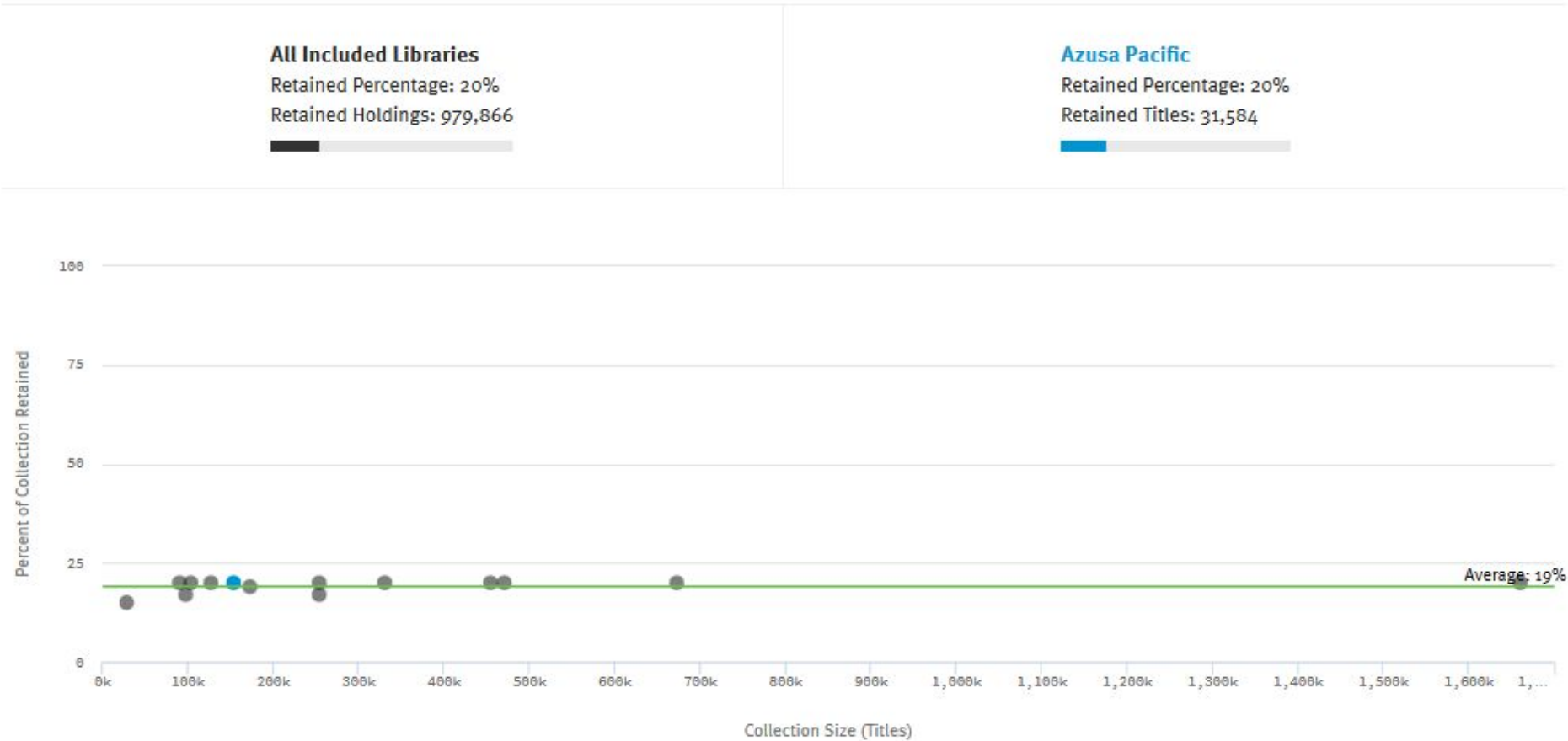
- one title-holding of every title currently owned

AND

- two-title holdings of every title that had **one or more recorded uses within the group**

*This decision identified 36% of the shared collection for retention.*

# SCELC – Trial Model: “Erica’s Adjusted Hybrid”



## Estimated Retention Results

LIBRARY	TOTAL TITLES	RETAINED TITLES	RETAINED PERCENTAGE
Azusa Pacific	154,269	31,584	20%

Criteria
LIBRARIES
Includes 14 of 14 Libraries
RETAIN 2
SCELC holdings MORE THAN 5
Publication year BEFORE 2006
RETAIN 1
SCELC holdings FEWER THAN 3
Other SCELC holdings FEWER THAN 5 (SAME EDITION)
Publication year BEFORE 2006
Aggregate uses MORE THAN 0

# Michigan Shared Print Initiative



# **MI-SPI**

## **The Michigan Shared Print Initiative**

A collaborative project to retain copies of circulating print monographs duplicated among 11 state-supported universities



# MI-SPI Partners

- Central Michigan University
- Eastern Michigan University
- Ferris State University
- Grand Valley State University
- Michigan Technological University
- Northern Michigan University
- Oakland University
- Saginaw Valley State University
- University of Michigan--Dearborn
- Wayne State University
- Western Michigan University



# MI-SPI Facilitators

- Midwest Collaborative for Library Services (MCLS)

MCLS is coordinating the MI-SPI project with SCS for all the participating libraries

- Sustainable Collection Services

SCS has the tools to effectively analyze collective print monograph collections—specifically GreenGlass and GreenGlass for Groups (G3)



# MI-SPI Round One

## 2011-12

- 7 state-supported university libraries
- Several with urgent need for collection reduction
- A few with newer facilities interested in collection analysis data





# MI-SPI Round One

## Process:

- Data extracted from each partner's ILS
- SCS normalized & analyzed for duplication, age, use
- Focused on identifying items for withdrawal
- Retention--a secondary consideration



# MI-SPI Round One

- MI-SPI partners & SCS discussed scenarios in early 2012
- Agreed to retain 2 copies for
  - Titles published &/or purchased before 2005 matched at edition level
  - 3 or fewer recorded uses since 1999
  - Titles held by 3 or more libraries

Unique titles—list provided to each partner for evaluation/decision



# MI-SPI Round One

- First set of retention assignments fell short of weeding goals for 2 partners
- 2 other partners had no space concerns & offered to take additional assignments; general agreement that these additions would be addressed in next iteration of the collective collection
- SCS recalculated and reassigned.



# MI-SPI      Round One

Library	Retention Count	Withdrawal Count
CMU	204,686	37,438
EMU	172,423	67,221
GVSU	45,497	49,654
MTU	24,899	48,655
SVSU	30,094	53,724
WSU	86,633	165,858
WMU	172,004	111,607



# MI-SPI Round Two

## 2015-16

- 9 libraries participated in the refresh
  - 5 original partners
  - 4 new partners
- 2 original partners opted out of data refresh; retention assignments maintained



# MI-SPI Round Two

- Data extracted from 9 active partners' ILS
- SCS normalized & analyzed for duplication, age, use
  - Collective collection was created anew
  - More complex situation—retentions of opted-out partners
  - 3 new comparator groups added—ALI (IN), UM, MSU
  - Emphasis shifted to identifying what to keep rather than what to weed



# MI-SPI Round Two

- Maintained the same retention parameters with a twist
- 2 copies retained by the 9 refresh partners
  - Titles published &/or purchased before 2005 matched at edition level
- 3 or fewer recorded uses since 1999
- Titles held by 3 or more libraries and there are no retention assignments for EMU/WMU
- 1 copy is retained by the 9 partners if the titles is also retained by EMU/WMU



# MI-SPI Round Two

- Unique titles: retain all (any edition) within the 9 partners
  - MI-SPI holdings are less than 3
  - US holdings are less than 50 (WorldCat)
  - UM & MSU do not have

MI-SPI is evolving—many aspects to investigate

- Expanding collective collection into more current publications
- Replacing exact editions or opting for the newest edition
- Validating retention holdings



Eastern Academic Scholars' Trust  
(EAST)

# Eastern Academic Scholars' Trust - EAST



# The EAST Collective Collection

title holdings

**16,573,071**

title sets

**4,749,042**

title sets held by one library in the group

**50%**

2,359,033 title sets

*title sets with > 10 aggregate uses*

**20%**

*939,819 title sets*

*title sets represented in HathiTrust*

**39%**

1,865,115 title sets

# Collection analysis process

- Working Group formed
- Had early access to GreenGlass to begin modeling
- Each model submitted to the full EAST membership for comment and review via a formal survey
- Results integrated into later model(s)
- 3 rounds and final model agreed and approved

# Our retention model – 3 major components

## **1. Retain all holdings of scarcely held titles**

- Fewer than 5 holdings within EAST
- Fewer than 40 holdings in WorldCat
- Fewer than 5 holdings in Large Regional Academic libraries [a comparator group]
- No copy already held by a ConnectNY partner

# Our retention model – 3 major components

1. Retain all holdings of scarcely held titles
2. **Retain up to 5 holdings of frequently used titles**
  - With aggregates uses of more than 30

# Our retention model – 3 major components

1. Retain all holdings of scarcely held titles
2. Retain up to 5 holdings of frequently used titles
3. **Retain one holding of every title**
  - The “everything else” criteria
  - **EXCEPT:** Titles <2011 and ephemera

# The result

- Model showed @36% of EAST libraries' local collections to be allocated for retention
- Four libraries volunteered to allocate at higher rate
- Final rate was 28-30% for each library



[POLL]

Are you familiar with the concept of “validation” when used in the context of shared print programs?

- Yes
- No
- Not sure

# Validation sample study

- Focused on validating “presence” with minimal condition checking
- Sample of 6,000 items/library
- Tool developed by Data Librarian to facilitate data collection



EAST

EASTERN ACADEMIC  
SCHOLARS' TRUST

# Data collection for validation sampling

**CHECK SHELVES**

Check the shelves to verify the presence of an item.

12 Items In Process (Clear)

[Fix Data Entry Error](#)

Enter Your Initials:

Location:

How many?

AC75 .A7 2	[Articles] por German Arciniegas.	bcb
<input type="text" value="31796004562050"/>	Present <input type="radio"/> Not On Shelf <input type="radio"/>	Condition: (?) <div><input checked="" type="checkbox"/> Select Excellent Acceptable/Good Poor</div>
AC75 .R67	[Articles] / por Joaquin Roy.	
<input type="text" value="31796101408595"/>	Present <input type="radio"/> Not On Shelf <input type="radio"/>	Condition: (?) <div><input type="text" value="Select"/></div>

<https://github.com/samato88/EastValidationTool>

# Results

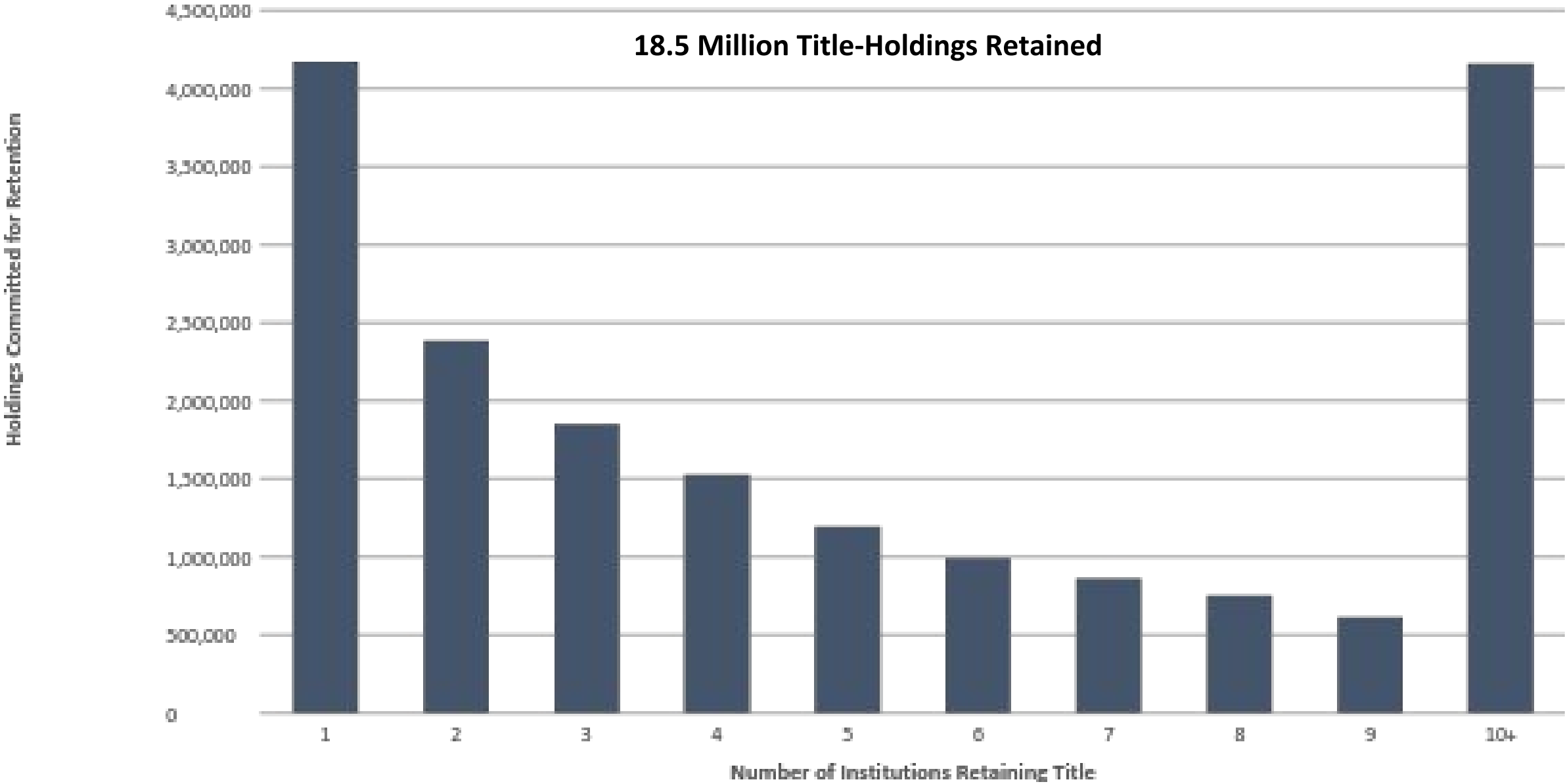
- 97% of the items were accounted for
- 90% in average or excellent condition, 10% poor
- Follow-up analysis of the data from the study resulted in additional retentions being requested of libraries of just under 78,000 items (.01%)

PROGRESS TO DATE

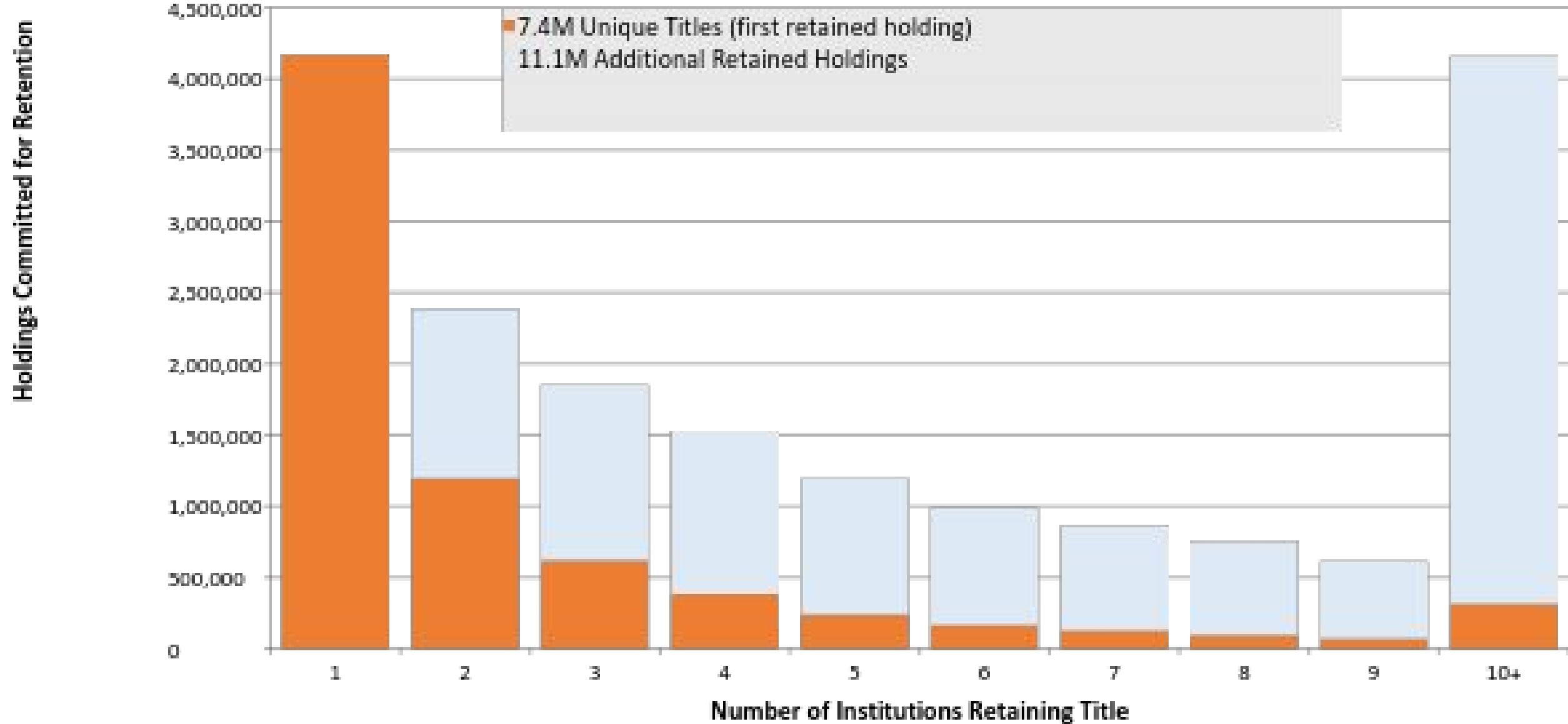
# Shared Print Retentions at a Glance

- 9 Group Projects
- 129 institutions with committed print retentions
- 7.4 million distinct editions retained
- 18.5 million title-holdings retained
- In 13 U.S. states and 5 Canadian provinces

# Shared Print Retentions Title-Holdings

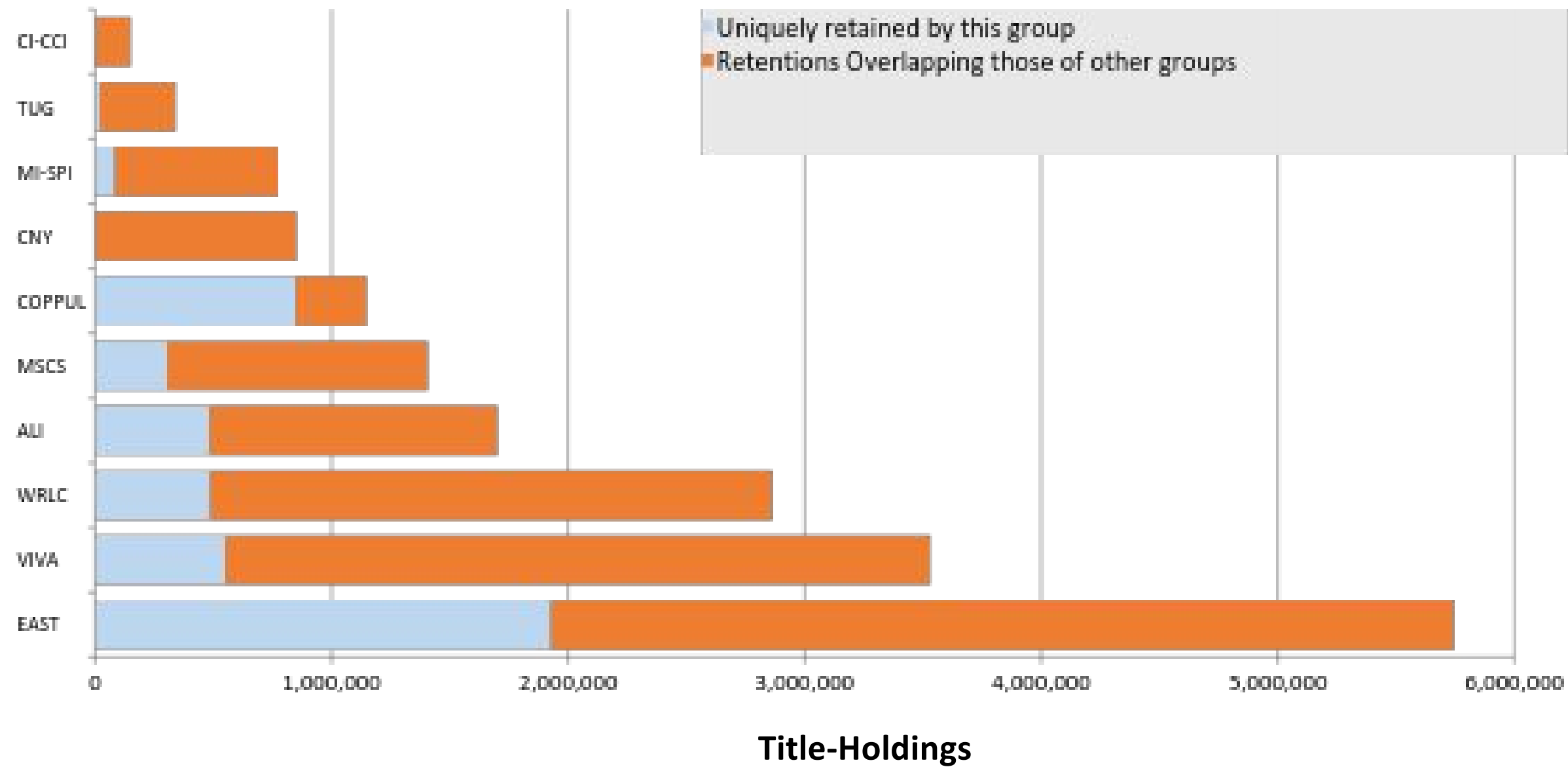


# Retentions in Title-Holdings

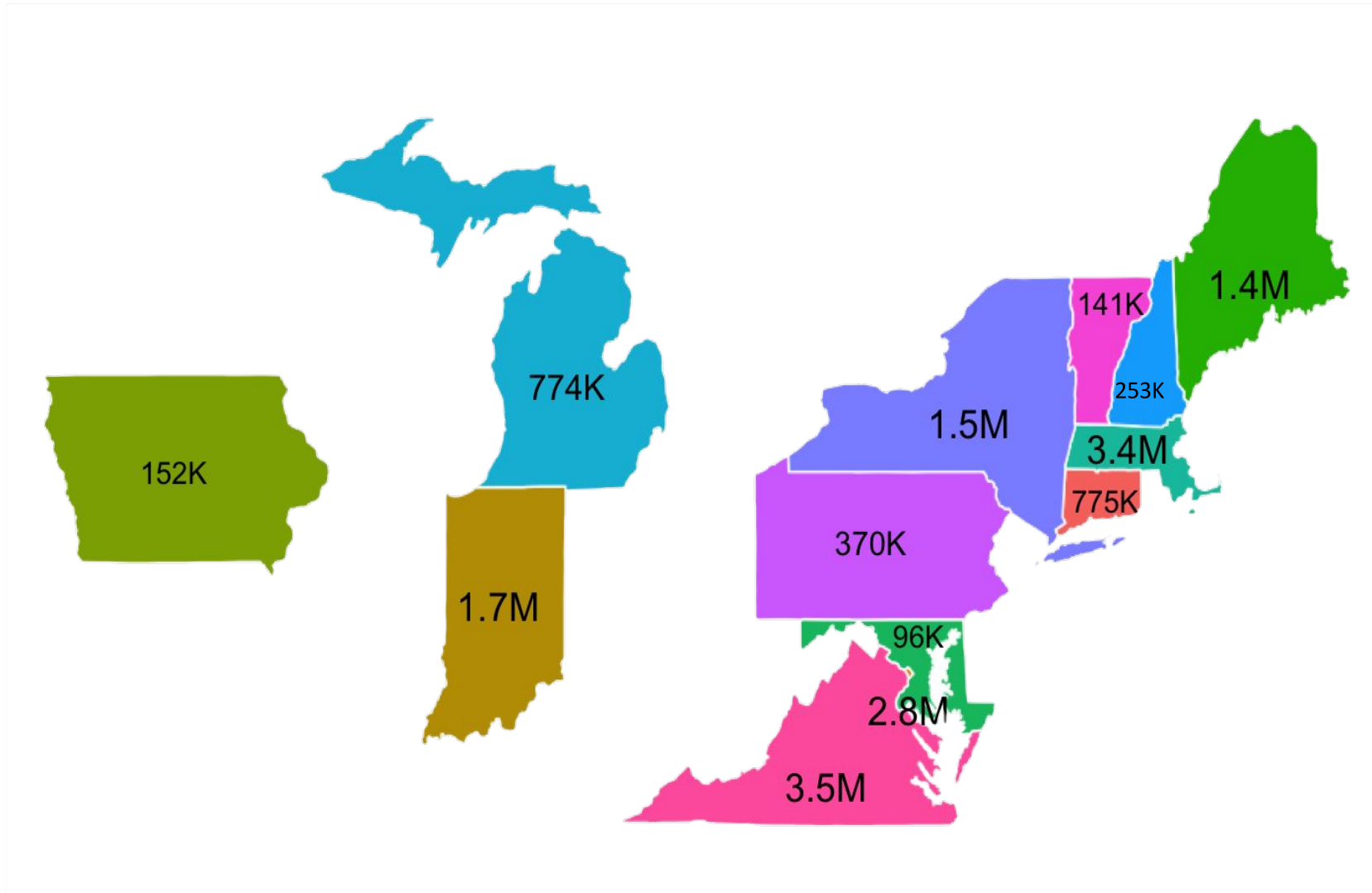




# Shared Print Retentions by Group



# U.S. Shared Print Retentions by State



## Canadian Shared Print Retentions

376K

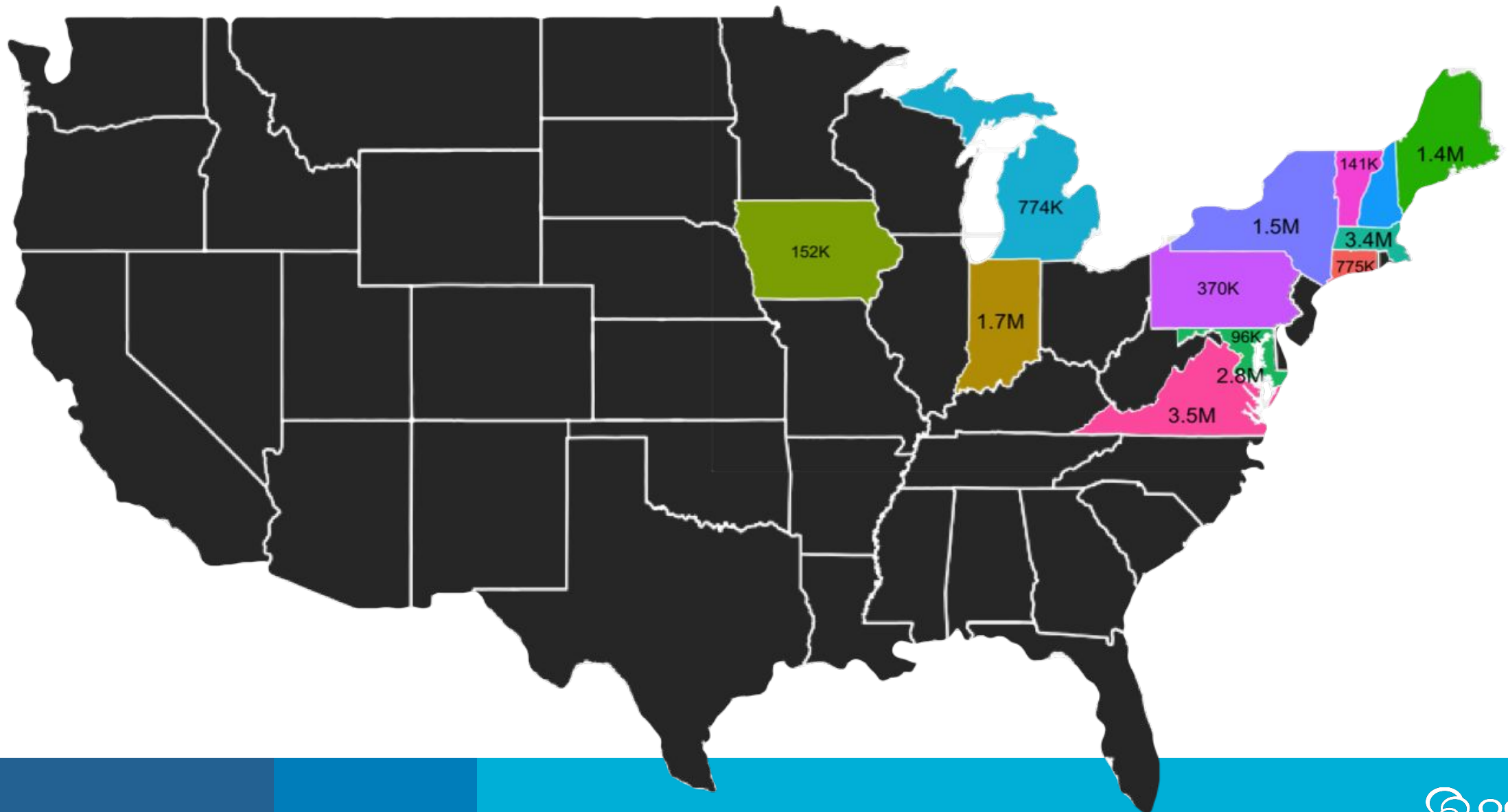
356K

Canada  
206K

208K

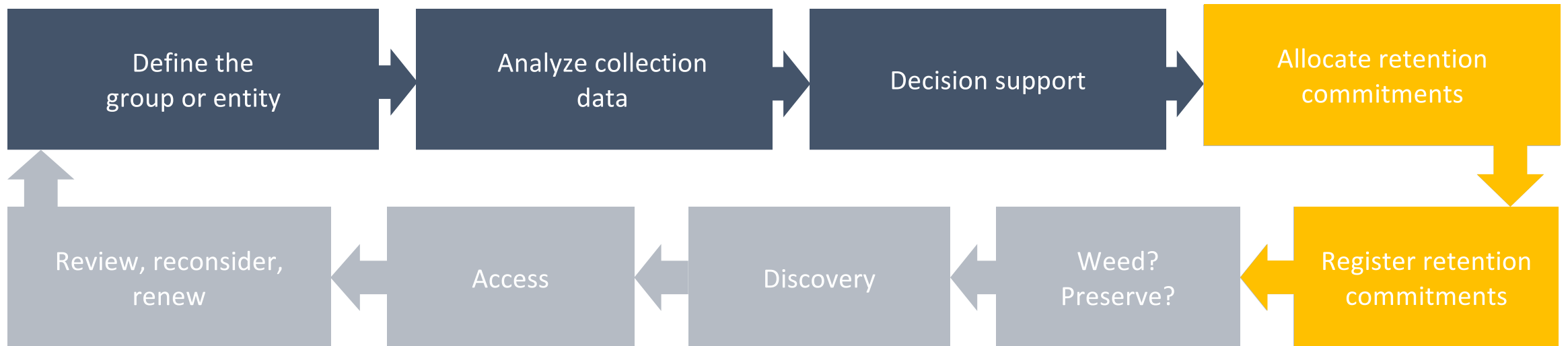
340K

# Which States Will be Next?



# SHARED PRINT LIFECYCLE

SHARED PRINT REGISTRATION



# Batch Registration of Retention Commitments

- Imminent release at OCLC
  - Software development underway
  - Pilot groups in May/June 2017
  - Fully available Summer/Fall 2017
- Goals:
  - make the committed collective collection visible
  - Improve subsequent rounds of analysis
  - Operationalize the collective collection via discovery & resource sharing

# Thank You!



Rick Lugg

Executive Director, OCLC Sustainable Collection Services

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<https://www.oclc.org/en/sustainable-collections.html>



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Institution ID	Institution Name	In Scope Title-Holdings	Allocated Title-Holdings	% of in-scope title-holdings allocated for retention	In-Scope Items	Allocated Items	% of in-scope items allocated for retention	Notes
4907	Amherst College	606,537	177,820	29.3%	694,324	196,095	28.2%	
4908	Boston College	1,045,648	308,552	29.5%	1,178,565	336,676	28.6%	
4909	Boston University	632,331	185,245	29.3%	760,726	208,602	27.4%	
4910	Brandeis University	789,877	241,060	30.5%	863,762	261,749	30.3%	
4911	Bridgewater	224,720	65,938	29.3%	240,017	68,588	28.6%	
4912	Bryn Mawr College	457,798	139,176	30.4%	520,494	153,896	29.6%	
4913	Colby	153,361	44,811	29.2%	161,995	46,446	28.7%	
4914	Connecticut College	380,220	111,702	29.4%	416,293	119,745	28.8%	
4915	Elms College	50,299	15,051	29.9%	54,443	16,291	29.9%	
4916	Fairfield University	264,153	78,569	29.7%	282,981	81,995	29.0%	
4917	Hampshire College	112,608	33,625	29.9%	120,824	34,781	28.8%	
4920	Lafayette College	342,882	104,076	30.4%	369,269	107,300	29.1%	
4921	Middlebury College	477,782	141,171	29.5%	534,145	150,273	28.1%	Locations "mdr" and "mds" omitted.
4922	Mount Holyoke College	518,950	154,906	29.8%	583,599	165,576	28.4%	
4923	Phillips Exeter Academy	109,165	32,772	30.0%	117,077	33,776	28.8%	
4924	Saint Anselm College	161,599	49,204	30.4%	176,764	52,130	29.5%	
4925	Siena College	239,389	72,114	30.1%	259,680	75,809	29.2%	
4926	Smith College	771,872	229,416	29.7%	874,547	255,766	29.2%	
4927	Swarthmore College	417,332	127,323	30.5%	464,360	136,691	29.4%	
4928	Trinity College	400,087	119,370	29.8%	444,193	126,297	28.4%	
4929	Tufts University	649,526	195,551	30.1%	735,422	213,269	29.0%	
4930	UConn	912,776	267,620	29.3%	1,080,730	293,713	27.2%	Locations "'tn stx" and "tn stxf" omitted.
4934	UMass Amherst	1,397,202	1,251,696	89.6%	1,549,614	1,329,076	85.8%	Retention target is 90% of in-scope titles.
4935	UMass Boston	350,106	102,242	29.2%	402,952	111,478	27.7%	
4936	UMass Dartmouth	159,707	46,675	29.2%	172,809	48,767	28.2%	
4937	UMass Lowell	206,805	62,687	30.3%	223,939	66,498	29.7%	
4938	UNH	577,303	171,625	29.7%	631,866	182,054	28.8%	
4939	Rochester	1,181,051	348,253	29.5%	1,327,829	382,826	28.8%	
4940	Wellesley College	513,720	150,611	29.3%	584,977	163,095	27.9%	
4941	Wesleyan University	718,335	211,102	29.4%	780,308	221,736	28.4%	
4942	Williams College	520,939	154,750	29.7%	570,743	162,528	28.5%	
4943	Yeshiva University	281,093	166,331	59.2%	369,215	209,167	56.7%	Retention target is 60% of in-scope titles.
4944	Skidmore	264,185	78,370	29.7%	282,247	81,321	28.8%	
5033	Five Colleges, Incorporated	47,275	43,336	91.7%	61,620	50,090	81.3%	Retention target is 100% of in-scope titles.
5743	Loyola Notre Dame	320,768	96,046	29.9%	347,492	101,051	29.1%	
	Totals	16,257,401	5,778,796	35.5%	18,239,821	6,245,151	34.2%	