



## Eastern Academic Scholars' Trust

### Major Operating Policies

**October 25, 2016**

The policies established below are intended to define major operational elements of the EAST shared print collection and establish a common understanding among EAST members. The policies were developed with the mission of EAST in mind, to ensure scholars, including faculty and students in the eastern region of the United States, have access to the scholarly record of print monographs, print journals, and serials through multi-library collaborative arrangements that ensure copies of even infrequently used materials are retained in sufficient number to be readily available. Most of these policies, along with other terms and conditions, have been incorporated into the EAST Memorandum of Understanding (MOU) (<http://eastlibraries.org/policies-mou>). These policies will be supplemented with more detailed operating procedures as needed (e.g. protocols for repair or replacement of lost or damaged materials, conditions under which retention commitments can be changed).

This major operating policies document was approved by the EAST Executive Committee on June 20, 2016. This revised version was approved on October 25, 2016. The Operations Committee (OC) has responsibility for operationalizing processes associated with these policies. Any issues with the policies should be addressed to the EAST Project Manager who will work with the OC as appropriate to address the issue.

It's expected that EAST policies will evolve over time and that modifications or amendments will be required. The EAST Executive Committee has the authority to revise policies and procedures from time to time as needed.

#### **Selection of materials**

The EAST shared print collections consists of monographs, serials and journals.

- Monographs will be identified for inclusion through collection analysis or by other methods and a related decision-making process. The shared collection will include both widely-held and rarely-held monographs that can be shared with other participants in some form. Retention Partners are required to retain only one copy of titles they have been allocated a commitment to retain.
- Serials and Journals: EAST will explore approaches to identify serials and journals for retention such as library-volunteered or publisher-based titles. In later phases, EAST

planners may implement a more comprehensive collection analysis of serials and journal holdings among participants.

The EAST Executive Committee may periodically identify new categories of materials for retention as determined by the membership.

### **Allocation**

In keeping with its mission to retain scholarly content, EAST will establish base expectations for participation in retention. Each Retention Partner is expected to retain holdings at an equitable rate as determined by the collection analysis or other agreed upon methodology.

### **Ownership**

Retention Partners will maintain ownership of the materials for which they agree to retain.

### **Location**

The EAST shared print collection will be a distributed collection with volumes maintained at the Retention Partner libraries, either in traditional campus shelving locations or in library storage facilities at the library's discretion.

### **Retention**

Retention Partners agree to hold the designated items for 15 years from the year of commitment. EAST Retention Partners that are also ConnectNY retention libraries agree to extend their existing 10-year ConnectNY commitments through June 30, 2031.

The EAST Executive Committee will revisit the retention period at least once every five years to determine if circumstances warrant extending or reducing the commitment periods for certain kinds of materials. EAST retention commitments survive membership in EAST. The MOU will establish provisions to handle cases where a Retention Partner withdraws from EAST or can no longer retain some or all of its committed holdings.

### **Validation**

The EAST program does not require full validation of metadata (inventory confirmation) or physical condition for retained volumes.

### **Lost or damaged materials**

Retention Partners are expected to follow EAST procedures available on the EAST website ([www.eastlibraries.org](http://www.eastlibraries.org)) for replacing lost or damaged volumes and make every reasonable effort to ensure the volumes are replaced within the EAST collection.

## **Revoking Retention Commitments Determined to be Out of Scope**

Retention Partners that identify categories of materials they determine are neither in the retention interests of the local collection nor the EAST collective collection shall contact the EAST Operations Committee (<https://eastlibraries.org/operations-committee>) about revising the institutional commitments.

Titles allocated for EAST retention should meet the retention rules (see cohort 1 2016 retention model, <http://eastlibraries.org/process>) recommended by EAST member libraries and approved by the EAST Executive Committee. Retention Partners are given the opportunity to review their retention commitment proposals before agreeing to their final allocation. However, due to the scale of titles allocated for retention it is not practical to review at the title level which means items that were out of scope ([http://eastlibraries.org/sites/default/files/BLC\\_Uploads/ScopeDef\\_Cohort1\\_20161020.pdf](http://eastlibraries.org/sites/default/files/BLC_Uploads/ScopeDef_Cohort1_20161020.pdf)) for EAST may have unintentionally been assigned for retention (for example, outdated and superseded editions of textbooks and guides).

## **Access**

EAST materials will be held as an accessible light archive with volumes available for circulation to other EAST libraries.

## **Fulfillment and delivery**

EAST members strongly support a practice of free lending across the member libraries. EAST members may use their own institutional policies to fulfill requests for EAST holdings. Libraries may opt out of this policy. Libraries that choose to opt out of free lending may be charged to borrow from any other EAST member at the lending member's discretion.

## **Delivery modes**

Members agree to deliver physical volumes upon request using existing ILL or consortial delivery methods.

Members may require in-library use at the borrowing library for certain items (e.g. based on condition, rarity).

Where possible, delivery will be made through scanning and digital delivery, e.g. for an individual chapter or article in the case of journals.

Members will commit to deliver and return materials expeditiously via the established resource-sharing mechanism appropriate to each request.

## **Interlibrary Loan Code**

EAST members are expected to adhere to the principles of the Interlibrary Loan Code for the United States (2016).

<http://www.ala.org/rusa/guidelines/interlibrary>

### **Operating policies and procedures**

The EAST Executive Committee will review and approve detailed operating policies and procedures, such as protocols for replacement or repair of retained titles that are damaged, and will have authority to revise those policies and procedures from time to time as needed. Such policies or changes will be based on recommendations from the Operations Committee and/or working groups. The MOU will describe this principle but will not include the specific operating policies or procedures, to facilitate future modifications that may be necessary based on operating experience.

### **Disclosure**

EAST Retention Partners will record EAST retention commitments in their local catalogs in an effort to prevent withdrawal of these volumes. Retention Partners will also disclose EAST retention commitments in regional and national/international systems (e.g., OCLC WorldCat) in ways that are consistent with emerging national or international standards. Specific details will be developed and approved by the Executive Committee as operating policies and procedures outside the MOU.

### **Discovery**

Discovery of EAST holdings will be made via local, regional, and international catalogs (e.g., OCLC WorldCat) as recommended. There is no requirement or current plan for an EAST discovery catalog.