

## **A Summary of the proposed Northeast Regional Library Shared Print Management Program as of May 2014**

The Northeast Regional Library Shared Print project is a collaborative effort to establish a program of shared responsibility among libraries for preserving copies of infrequently used printed works that are nonetheless essential to serving scholarly and cultural values. With support from The Andrew W. Mellon Foundation, planners representing dozens of institutions in New England, New York, and Pennsylvania have outlined some principles and policies to guide development of the program in the future.

This document describes the current recommendations from working groups that will be considered more fully at a joint meeting of interested participants at the University of Massachusetts Amherst on July 17, 2014. A final plan will be prepared in Fall 2014. Please note that the policies described here are working proposals and have not been formally approved.

**Suggested Program Name:** Eastern Academic Scholars' Trust (EAST).

### **Program Goals**

- Share stewardship of library print holdings to ensure preservation of the scholarly record while recognizing that some individual institutions may need to take steps to alleviate space pressures;
- Provide access and delivery to meet the needs of scholars, teachers and their students; and
- Provide information to support libraries' needs for separate contracted offsite shelving for local collections.

### **EAST Shared Collection**

**The EAST Shared Collection will consist of those materials that are identified through a collaborative decision process and for which the holding libraries are willing to make commitments for retention and access on behalf of the program partners.**

### Selection of Materials

The EAST shared collection program will cover both monographs and journals.

Monographs will be identified for inclusion through collection analysis and a related decision-making process. While detailed criteria will be developed later during the collection analysis phase, the program is expected to include both widely-held and rarely-held monographs, single-volume monographs and monographic series, and circulating and non-circulating monographs (as long as they can be shared with other participants in some form).

For journals, at least initially, EAST will explore approaches such as library-volunteered or publisher-based titles based on expressions of interest at the July meeting. Eventually EAST planners hope to implement a more comprehensive collection analysis of journal holdings among participants.

The program will not include government documents (i.e., as acquired under the federal government depository program).

### Location, ownership, retention, and validation

The EAST program will be a distributed collection with volumes maintained at the owning libraries, either in traditional campus shelving locations or in library storage facilities. Participating libraries will maintain ownership of their own materials but will commit to retain the designated holdings for a specified time period and to share them with other partners.

A retention commitment offers assurances to faculty members and other stakeholders that there will be access to these holdings, while recognizing that long-term preservation comes with a cost. Monograph and journal holders will agree to retain the committed volumes for a minimum of 15 years. It is understood that under other local or regional agreements libraries make commitments to retain these items for longer periods of time. When they exist, at least two copies will be retained among the libraries participating in the program (more than two copies may be retained if judged appropriate depending on the number of participants and copies, geographic distribution of retaining libraries, and future collection analysis decisions). The governing body will revisit the retention commitments at least every five years, and again two years before the end of the initial agreement, to determine if circumstances warrant extending or reducing the commitment periods for certain kinds of materials.

The EAST program will not specifically require validation of metadata or physical condition at this time. However, procedures to add validation and condition information will be defined for any libraries that wish to do so. The owning library will be expected to follow established procedures for replacing damaged or lost volumes that have retention commitments.

### Access, Discovery, and Delivery

EAST materials will be held as an accessible light archive with volumes available for circulation (with certain limitations for unique or rare volumes, as appropriate). There is no intention to establish a dark archive at this time.

EAST holdings will be discoverable in ways that are consistent with emerging national standards, using existing structures and systems for discovery, e.g., OCLC WorldCAT and CRL's PAPER registry.

The preferred means of providing these materials to requesters will be through scanning and digital delivery, but it is understood that physical delivery will also be required, especially for monographs. Journal volumes that are loaned will be restricted to in-library use at the borrowing library. Members will commit to delivery within a reasonable period of time via the established resource-sharing mechanism appropriate to each request.

Members will agree to fulfill requests for EAST materials through ILL at no charge to other EAST members.

### **EAST Clearinghouse for Contracted Offsite Shelving**

Several libraries expressed a need for access to offsite shelving for library materials, but do not have the resources to build facilities for their own uses. In many cases, a library needs space for a fairly small quantity and/or for a temporary period of time. Other libraries need longer-term or even permanent offsite shelving options.

In order to help libraries identify suitable offsite shelving partners or vendors and plan for moving some materials offsite, EAST will create an "Offsite Shelving Information Clearinghouse" consisting of the following sections:

1. factors to consider when planning for contracted offsite shelving;
2. characteristics of potential offsite shelving providers;
3. a list or database of regional (or national) commercial and non-commercial offsite shelving providers; and
4. links to other resources related to offsite shelving.

Library holdings transferred to offsite shelving as a result of this EAST service are not required to be designated for the EAST Shared Collection; that is, EAST partners may use this service for non-shared holdings.

## **Partnership, Governance, and Administration**

Partnership in EAST is open to academic and research libraries in the East/Northeast United States who are committed to the long-term preservation and access of print collections. There will be two partnership levels:

- **Retention Partners:** Libraries willing to steward parts of their print collections over the long term. They may be willing to accept and ingest materials from other libraries as well.
- **Supporting Partners:** Libraries that are willing to participate in EAST by supporting Retention Partners in their commitment to long-term stewardship of print collections in return for guaranteed access to those collections.

Partners will execute an MOU that defines the collaborative program and specifies the terms and conditions of membership, including provisions defining commitments (retention, access, delivery), business model (costs to be covered, cost-sharing method), membership and governance (withdrawal of individual members and termination of the entire agreement, governing and administrative bodies, decision process).

EAST will be governed by an Executive Committee whose membership balances the need for representation and access with the need for organizational effectiveness. The Executive Committee will be comprised of a number of members approximately equal to 10% of the number of partner libraries, but no fewer than 5 members and no more than 12 members, representing a mix of public and private, two-year and four-year institutions. About 60% of the members should be from Retention Partners.

An existing consortium or institution will serve as the administrator of the EAST program. The administrator will provide several services for EAST (to be specified in an MOU) such as acting as employer to EAST staff members (who perform program management and communications), receiving and managing grants, handling all financial transactions, and supporting a website and other communications. EAST planners will seek interested organizations later in the process.

## **Business Model and Cost-Sharing**

EAST planners anticipate two major categories of costs to be shared among partners:

- Project management and administration (ongoing); and
- Collection analysis (periodic).

Note: Although there were planning discussions about the possibility of compensating Retention Partners for holding materials on behalf of EAST, the current recommendation is not to provide such compensation in order to minimize costs of the program.

Partner libraries will cover their own local costs to participate, which may include data preparation for collection analysis, use of space for holding volumes, lending and borrowing, and de-selection.

EAST will seek grant funding to support a portion of the program's costs at least for the start-up period.

*Program management costs and cost-sharing*

Program management costs are expected to include:

- Staff members (program manager (0.5 to 1 FTE), collection analyst or systems librarian (0.5 to 1 FTE));
- Administrative support (fees or staff support by the administrator for accounting, billing, payroll, etc.);
- Meeting expenses and travel costs for program participants; and
- Website for the program and the information clearinghouse, other communications costs.

Our ballpark budget estimate for program management: \$200,000 - \$300,000 annually.

Partners will share the costs of ongoing project management according to a formula to be developed and approved by the Executive Committee. EAST planners currently recommend that the formula be based primarily on each library's materials budget.

*Collection analysis costs and cost-sharing:*

The periodic collection analyses will involve an additional costs that are likely to vary based on the number and characteristics of the holdings of the participating libraries. A separate collection analysis budget and cost-sharing agreement will be prepared for each period when collection analysis will be performed.

Ballpark budget: \$75,000 or more depending on participants, as needed (periodic, every few years).

Partners will share the costs of collection analysis by a formula to be determined.

**Timetable**

EAST planners envision the following timetable to complete planning and begin implementation of the EAST program.

<b>Target Date</b>	<b>Complete Planning Project (supported by original Mellon grant)</b>	<b>Begin Implementation Project</b>
June 2014	Identify initial cohort (8 to 10 libraries)  Gather information about collection analysis vendors and costs  Develop pro forma budget and fee structure	Initiate discussions with potential implementation funders
July	In-person meeting: Present program recommendations, alternate models, and draft budget/fees; seek participants  Determine administrative home (administrator)	
August		
September	Secure expressions of interest to participate (not formal commitments)	Finalize budget and fee structure  Appoint initial Executive Committee
October	Complete final planning report	Submit implementation grant proposal to funder(s) (based on final planning report)
November		
December		
January 2015	Submit final planning report to the Mellon Foundation (January or earlier)	Secure implementation grant funding (awarded)  Initiate services by administrative home organization  Hire project staff (project manager, possibly collection analyst)  Develop MOU document

February		Develop MOU document  Execute MOUs with partners  Execute contract with collection analysis vendor
March		Execute MOUs with partners  Gather local holdings and circulation data from participants
April		Gather local holdings and circulation data from participants
May		Conduct collection analysis
June		Conduct collection analysis
July		Conduct collection analysis  Finalize collection decisions
		[Many other implementation activities not yet described]

DRAFT