

EAST Policies & Procedures

EAST Members' Meeting, October 14th, 2016
Matthew Revitt, EAST Shared Print Consultant

MOU Approval and Distribution

- MOU was approved by the Executive Committee on October 7th!
- MOU will be added to <http://www.eastlibraries.org/policies-mou> on Monday October 17th.
- Office hour sessions for answering questions regarding MOU on October 19th and 25th.
- MOU will be set to Voting Members on Monday October 31st.
- Deadline for submitting signed copy is January 31st 2017.

Transition from planning stage to implementation

- Existing policies recommended by the original EAST planning project.
- Building upon the work of Maine Shared Collections, Connect NY, and the Western Regional Storage Trust (WEST).

Policy Subgroup

- Policy Subgroup tasked with making policy and procedure recommendations:
 - **Helen Anderson**, University of Rochester
 - **Deb Bucher**, Vassar College
 - **Katie Donahue**, Colby College
 - **Lorri Huddy**, CTW Consortium
 - **Susan Raidy-Klein**, UMass Dartmouth
 - **Matthew Sheehy**, Brandeis University
 - **Steve Smith**, Boston University
- Led by **Lizanne Payne** and then **Matthew Revitt**, with support from the EAST Project Team: **Anna Perricci** and **Susan Stearns**.

Executive Committee

- EAST Executive Committee responsible for reviewing Policy group recommendations and approving policies:
 - **Laura Wood**, Tufts University
 - **Tara Lynn Fulton**, University of New Hampshire
 - **William Wakeling**, Northeastern University
 - **Patrick Carr**, University of Connecticut
 - **Susan Raidy-Klein**, University of Massachusetts-Dartmouth
 - **Gail Scanlon**, Phillips Exeter Academy
 - **Clement Guthro**, Colby College
 - **Terry Simpkins**, Middlebury College
 - **Susan Stearns**, EAST Project Director [ex officio]
 - Also, former member: **Chris Loring**, Smith College

Guiding principles for policies and procedures

- Clear and understandable, but not overly prescriptive
- Flexible enough to be applicable to future EAST activities
- Importance of trust in shared print agreements
- Expect the unexpected!

MOU Introduction

The Eastern Academic Scholars' Trust (EAST) is a shared print retention partnership of academic and research libraries across the eastern region of the United States.

The mission of EAST is 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. The continued need for access to print copies requires collaborative agreements among libraries to ensure that individual collection management decisions do not eliminate materials to the detriment of scholarly needs.

MOU Introduction, cont.

The MOU acts as the membership agreement for EAST and provides the mechanisms by which materials are designated for retention and made available to EAST members. Included in this document are references to three separate documents which, as they are more dynamic, are maintained on the [EAST website](http://www.eastlibraries.org) (www.eastlibraries.org).

Section 1. Participation

1.1 Members: Membership in EAST is open to academic and research libraries in the eastern region of the United States that wish to participate in stewarding shared collections, for regional retention and loan. The eligibility of EAST membership will be determined by the EAST Executive Committee.

1.2 Membership Term: In order to promote stability of the program, members agree to join EAST for an initial 3-year term. Thereafter EAST membership is renewed annually on a 12-month term.

Section 1. Participation, cont.

1.3 Retention Partners: EAST members that agree to hold designated items for 15 years from the year of commitment are known by EAST as Retention Partners. Retention Partners can choose to participate as a Monograph Retention Partner and/or a Journal/Serial Retention Partner.

1.4 Supporting Partners: Members that have not elected to make retention commitments, but are willing to participate in EAST in return for the right to borrow from EAST collections are known by EAST as Supporting Partners.

Section 1. Participation, cont.

1.5 Membership Rights and Responsibilities: All EAST members have the right to borrow materials from other EAST member libraries, participate in the governance of EAST and have a voice in the future of EAST. Each EAST member library is responsible for appointing a Voting Member to participate in the approval of major EAST policies and processes. EAST members are also responsible for lending to other EAST member libraries per agreed upon policies. Additional rights and responsibilities of EAST are outlined in the Members' Rights and Responsibilities document on the EAST website (www.eastlibraries.org).

Section 2. Governance

2.1 Executive Committee: The Executive Committee (EC) provides the primary governance for EAST. Specific details on governance are included in the EAST General Governance Policies.

2.2 Operations Committee: A standing EAST Operations Committee will oversee issues related to policy and procedure development, the selection of materials for retention, as well as issues related to disclosure of retention commitments, and access and delivery of retained materials. Policy recommendations developed by the Operations Committee will be submitted to the Executive Committee for approval.

Section 2. Governance, cont.

2.3 Working Groups: EAST working groups will be appointed by the Executive Committee and/or Operations Committee as needed.

2.4 Administrative Host: The Administrative Host is the organization providing program management and member support as well as acting as the fiscal agency for EAST, including procurement of and management of outside grant funding. The [Boston Library Consortium](#) (BLC) serves as the Administrative Host for EAST. EAST is managed as an independent project, separate from other programs, services and activities of the BLC. There is no requirement for EAST members to join the BLC or for BLC members to join EAST.

2.5 Project Team: EAST is staffed by a Project Team whose members may vary over time. The Project Team's responsibilities include providing project management and general administrative support.

Section 3: Duration of retention period

Retention Partners agree to hold the designated items for 15 years from the year of commitment. 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 (see Section 9.2).

Section 4. Selection and identification of retained materials

4.1 Selection: The EAST shared print collection consists of monographs, serials and journals. Materials will be identified for inclusion through collection analysis or by other methods and a related decision-making process. The EAST Executive Committee may periodically identify new categories of materials for retention as determined by the membership.

Section 4. Selection and identification of retained materials, cont.

4.2 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.

4.3 Validation: The Executive Committee may recommend validation requirements for metadata, inventory confirmation, or physical condition for retained volumes, but any such requirements would not be automatically applied retroactively without Retention Partner consent.

Section 4. Selection and identification of retained materials, cont.

4.4. Disclosure: 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 in ways that are consistent with emerging national or international standards. Specific details will be developed and approved by the Executive Committee as part of the EAST Major Operating Policies and Procedures.

4.5 Discovery: Discovery of EAST retention commitments will be made via local, regional, and international catalogs.

Section 5. Ownership and maintenance of retained materials

5.1 Ownership: Retention Partners will maintain ownership of the materials for which they agree to retain. Retention Partners agree not to sell, discard, donate, or otherwise relinquish ownership or control of any of the retained materials prior to the end of the Retention Period, except to transfer materials to another EAST Retention Partner or with permission of the Executive Committee. Materials so relocated become the property of the Retention Partner (if allowed by state laws and regulations).

5.2 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.

Section 5. Ownership and maintenance of retained materials, cont.

5.3 Original Form: Retention Partners agree to maintain all of the retained materials in their original, print artifactual form whenever possible.

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

Section 6. Access to retained materials

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

6.2 Lending: The 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 that choose to opt out of free lending may be charged to borrow from any other EAST member at the lending member's discretion.

Section 6. Access to retained materials, cont.

6.3 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.

Section 7. Major Operating Policies and Procedures

The EAST Executive Committee will review and approve EAST major operating policies and procedures and will have authority to revise those policies and procedures from time to time as needed. EAST major operating policies and procedures are available on the [EAST website \(www.eastlibraries.org\)](http://www.eastlibraries.org).

Section 8. Financial Obligations

8.1 Financial Support to the EAST Program: Members shall provide financial support to EAST through membership fees and/or other cost sharing formula as approved by 2/3 of EAST membership.

8.2 Absorbed Costs: Retention Partners agree to be responsible for all costs and expenses associated with maintaining retained materials.

Section 9. Withdrawal

9.1 Withdrawal of EAST Member: If an EAST member decides to withdraw from EAST, that member is required to provide a written notice to the EAST Executive Committee at least twelve (12) months prior to the date of their membership renewal (See Section 1.2). The EAST member must continue to pay any required participation fees during the 12-month notice period. A waiver of the one-year term may be granted by the Executive Committee in certain instances, such as a disaster, financial exigency, or institutional mandate.

Section 9. Withdrawal, cont.

9.2 Retention Partner Withdrawal: In the case of a Retention Partner that withdraws from EAST and/or can no longer retain materials, the Retention Partner shall work with EAST members through the Operations Committee on retention reallocation options.

Section 10. Modification/Amendment of the MOU

This agreement will be reviewed by the Executive Committee at least annually on a twelve (12) month cycle. The review shall occur at least 60 days prior to renewal of commitment (July 1). Any proposed amendments or modifications must first be approved by 2/3 of the Executive Committee and then by a simple majority of the EAST membership.

MOU signatory pages

- EAST requires each member to sign the MOU, both Retention and Supporting Partners.
- The EAST leadership team will work with members on addressing local requirements for signing the MOU.

Operating Policies and Procedures

- Major operating policies and procedures documents
- Statement on Revoking Retention Commitments Determined to be Out of Scope. For example, outdated and superseded editions of textbooks and guides.
- Operating Procedure for Replacing Lost or Damaged Items with Retention Commitments

Thanks!

Any Questions?

Matthew Revitt

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