

Request for a No-Cost Extension – Grant 21500712

The Boston Library Consortium is requesting a no-cost extension of Grant No. 21500712 for the Eastern Academic Scholars' Trust (EAST) project through June 30, 2018 from the current end date of June 30, 2017. This additional time will allow EAST to complete work originally planned for Year 2 of the grant, accelerate work with a second cohort of EAST member libraries (Cohort 2), as well as undertake further validation sampling with a new group of libraries that are joining EAST as Cohort 2.

Major Tasks Completed Since the Interim Report

As documented in the Interim Report submitted to The Foundation in September 2016, EAST has completed the majority of the work on four of the original six goals of the project:

1. Analyze monograph holdings of EAST retention partners in the first cohort and finalize a model for retention.
2. Design, test, and analyze a sample-based validation study to determine the statistical likelihood that a retained title actually exists on the shelves of retention partners.
3. Secure retention commitments from the retention partners and develop the means to share information about those commitments among all members.
4. Finalize and execute the Memorandum of Understanding among all members.

Since the Interim Report was submitted, we have completed further work in reference to #3 by creating the EAST retentions database - <https://east-retention-db.appspot.com/> -- providing access for EAST member libraries (as well as others) to the 6+ million holdings retained across the EAST Retention Partners. Our original proposal to The Foundation envisioned that access to the EAST retention commitments would be done via OCLC WorldCat as well as via local and union catalogs maintained by the EAST member libraries. And, while the work needed to update the local and union catalogs was completed per the Interim Report, OCLC does not yet have a tool that allows registration of EAST retention commitments in WorldCat. This, combined with the fact that the GreenGlass database maintained by OCLC Sustainable Collection Services (SCS) is static and cannot support any changes or transfers of retention commitments, led us to develop the retentions database. We have also developed a tool so that as EAST libraries inform us of replacements or transfers of their current retention commitments, we are able to record these changes on behalf of the members. This will ensure that once WorldCat can support EAST registration, we will have up-to-date information on the EAST retention commitments that we can register.

Since the Interim Report, we have also finalized the Memoranda of Understanding for the current Cohort 1 members, having received 47 fully executed MOU's from the EAST Retention and Supporting Partners. One original member, Haverford College, made the decision not to renew membership for 2018. Once the final retention model was finalized, Haverford was one of a few EAST members concerned that the requirement to commit to retain at least 30% of their circulating print monograph collection, per the equitable retention and allocation model, would place an undue burden on them (they anticipated weeding in the upcoming years that would conflict with that commitment). The EAST Executive Committee felt strongly that the policy of equitable allocation of retention commitments

needed to apply to all EAST members. While the other libraries who had originally expressed concern agreed to meet the required allocation level, Haverford continued to indicate it was unable to commit to that high a level of commitment to retention and choose to leave EAST at the end of FY17.

Major Work Planned for FY2018

We committed to two additional major tasks in the proposal to The Foundation:

5. Plan for future EAST membership, including incremental collection analysis of future cohorts and ongoing validation sampling.
6. Begin to explore reciprocal agreements with other regional and national shared print programs to create a broader network of mutual benefits and services.

While significant work has already been undertaken in both of these areas and will continue over the remaining months of FY17, the work described below and funded by the requested no-cost extension, will allow EAST to go beyond the specific tasks envisioned in the original proposal. As indicated below, we will bring on Cohort 2, a second group of EAST member libraries, complete the necessary collection analysis, and expand the retention commitments for EAST. We will further the validation work completed with Cohort 1 by replicating the Validation Sample Study #1 with Cohort 2, and further explore how best to collaborate with the growing number of other shared print programs taking shape across the country.

Cohort 2

We have made good progress on #5 (planning for future EAST membership) and have, in fact, accelerated our outreach to Cohort 2 and will be bringing on 10-15 new EAST members by April 1st. Following concentrated outreach to libraries in the fall of 2016, we distributed a Commitment Letter to over 60 libraries that had expressed some level of interest in participating in EAST as part of Cohort 2. As of March 1, 2017 we have received firm commitments from 11-12 libraries including Bucknell, Hofstra, Syracuse University, Villanova, Florida State University, and the University of Pittsburgh. A complete list of these libraries with estimated collection size is provided in the Appendix. These libraries expand the geographic reach of EAST well beyond the Northeast and include libraries in North and South Carolina as well as Florida. This initial group of Cohort 2 libraries has an estimated collective collection of between 9M and 13M holdings. Assuming comparable rates of uniqueness with Cohort 1 [12.6% mean, 20.6% median], these Cohort 2 libraries would add from 1,300,000 to 2,700,000 new retention commitments to EAST.

The Cohort 2 collection analysis will be done with OCLC SCS. Once the membership in Cohort 2 is finalized, we will contract with SCS as we did for Cohort 1. The collection analysis costs are being funded by a blend of monies set aside from the Davis Educational Foundation grant, Cohort 1 surplus, and contributions from the Cohort 2 libraries.

(NOTE: With the commitments of NYU and the University of Pittsburgh, EAST re-examined the collection analysis subsidy pricing. The original pricing tiers, which had been established during the Planning Grant, anticipated that the largest EAST collections would be only somewhat larger than 1M holdings. These tiers worked well with Cohort 1 where even the largest collections numbered just under 1.5M. However, with Cohort 2, two of the libraries have significantly larger collections (more than 3M)

and, with the current tiers, would have received inordinately larger subsidies in comparison to the libraries with smaller collections. As a result, the EAST Executive Committee agreed to expand the existing pricing tiers to insure more equitable subsidy from EAST. These changes affected only the two libraries with the largest collections – University of Pittsburgh and New York University. One of the two libraries– the University of Pittsburgh – was easily contacted and has re-committed at the higher cost for the collection analysis. The EAST team has discussed the issue with NYU and is awaiting their decision.)

Validation Sampling – Further Analysis Completed on Cohort 1 Data

The Validation Sample Study (VSS #1) that the 40 EAST libraries undertook in 2016 provided not only data that validated the confidence stakeholders could have in making and relying on retention commitments, it also provided a rich data set for further analyses.

In the fall of 2016 and into the winter of 2017, we worked with our Statistical Consultant, Dr. Grant Ritter of Brandeis University, to take a deeper dive into the data set from VSS #1 in order to model the likelihood of a retained item being missing or in poor condition. Of the 240,000 items sampled in VSS#1, 92, 575 received retention commitments, providing a large enough sample of the ‘collective collection’ to do statistically valid predictive modeling across the full set of EAST retained titles.

By extrapolating back to the full database of EAST retentions, Dr. Ritter identified just over 7,800 items that had a significantly higher likelihood of being missing based on the availability metric of their owning library AND for which a second copy, not already retained, exists at another EAST member library.

A similar extrapolation is being done to determine the number of items that may be in poor condition based on age and the average condition rating of the owning libraries for which surplus copies, not already retained, exist at another EAST member library. Initial analysis indicates this will be a much higher number.

Once the full set of items for which some mitigation may be possible, we expect to undertake two actions based on these further analyses of the VSS#1 data:

- Provide the current Cohort 1 libraries with lists of titles in their local collections which could, should they be allocated for retention, mitigate the risk of currently retained titles in other EAST libraries being either missing or in poor condition. Some libraries may choose to increase their retention commitments to EAST by adding these holdings and, at the very least, we hope they will ensure these items are not de-acquisitioned.
- Retain the information on these titles and work with SCS to determine if we can integrate them into the Cohort 2 collection analysis and retain additional copies in Cohort 2 libraries when available.

Validation Sampling – Cohort 2

By escalating the timing of Cohort 2, we now have an opportunity to further the validation sampling that began with Cohort 1. A major component of this no-cost extension request is utilizing the surplus from Year 1 in combination with funds originally allocated to Year 2 to replicate the Validation Sample Study with a second group of libraries. We expect to work with our Statistical Consultant as we did for the original study. We will utilize the original methodology and collection tool, but do have plans for some

improvements to the training materials based on feedback from the first sample study. By replicating the first sample study, we will both further our understanding of the metrics of trustworthiness required of shared print, and add to the growing data set that EAST may be able to exploit further in the future, either on its own or in combination with other programs that replicate our approach. We hope, during Year 3, to publish these results for use by the entire community.

Collaboration and Cooperation across Shared Print Programs

In addition to funding further validation sampling, we wish to utilize the no-cost extension to begin to tackle some of the larger big picture strategy questions that our focus on the daily work of the first two years of EAST has not made possible. These include further work on ways in which EAST can best collaborate and coordinate with other shared print initiatives, particularly the HathiTrust Shared Print Program. We have worked already with Lizanne Payne, Shared Print Program Office at HathiTrust on ensuring that the six EAST member libraries that have agreed to participate in Phase 1 of the HathiTrust Program will be able to extend their existing EAST Retention Commitment (which overlap with the HathiTrust digital content) without additional work being undertaken by the libraries. We expect that as HathiTrust's Program expands we will work to deepen the cooperation, possibly including collaborative collection development.

We also expect, with the time afforded by the no-cost extension, to focus more time on looking to the longer-term future of EAST addressing questions such as:

- Is EAST a model for emulation in other regions or should it continue to grow organically to become a major national player?
- Should we begin to develop robust case studies and other resources that make it clear how programs such as EAST provide long-term value to their members?
- As other programs have struggled with an effective longer-term sustainability model, how can EAST learn from the experiences of these other programs and ensure the most stable model for its future?

While not explicitly referenced in the original proposal to The Foundation for funding, over 50% of the current EAST Retention Partners are also interested in supporting retention of serials and journals as well as the current monograph retention commitments. We have established a Serials and Journals Working Group to begin to investigate the best approach to retention for EAST. After discussions with both OCLC Sustainable Collections Services (SCS) and the Center for Research Libraries (CRL) on utilizing collection analysis services from them in support of this work, we are in the process of finalizing an agreement with CRL. While the collection analysis tools available today for serials and journals do not provide the depth or breadth of those available for monographic analysis, we do see value in utilizing the database spreadsheets and other reports that CRL can make available and the EAST Executive Committee has approved an expenditure from membership monies for this work. We expect to work with the Working Group over the next six months to 12 months develop an approach to serials and journals retention for recommendation to the Executive Committee for approval. This work may affect EAST's future growth and ongoing sustainability model. In particular, we anticipate that as the "Thinking Bigger" (or Rosemont) Group concludes its initial work and opens up opportunities for others to join,

EAST may have opportunities to work with this large and impressive group of libraries already engaged in serials and journals retention work. And, our decision to work with CRL on the initial collection analysis work furthers our collaboration and cooperation with other shared print initiatives, many of which are today focused on serials and journals. While print monographs remain EAST's primary mission, also working in the serials and journals arena is of interest to at least half of EAST's current Retention Partners as a way to extend that mission.

We also recognize that the landscape and ecosystem for shared print is significantly more evolved than when we submitted the original grant proposal to The Foundation. Not only has HathiTrust entered the scene as a major player, but the Ivy Plus libraries are beginning to investigate collaborative collection initiatives and some of the smaller regional programs already in place, such as MI-SPI in Michigan, are beginning to expand and undertake a second round of collection analysis. Conversations with ReCAP offer opportunities for further collaboration as well, particularly as the technical infrastructure tools they are developing take shape. And, based on conversations with other larger libraries in the region, it is clear they are watching these multiple projects evolve and have legitimate concerns about whether the resulting landscape will be coordinated or potentially at odds, with projects that each have different priorities, rules, and conditions.

EAST is well positioned to learn from the work of these other players and determine ways in which it can best participate in this evolving landscape. During Year 3 and utilizing the funding from the no-cost extension, we will continue our conversations with the other national players as well as regional larger libraries and plan to convene a summit meeting, likely in the Spring of 2018, to further our understandings and inform both EAST's future evolution and its role as part of a collaborative and coordinated national picture.

Our intention with this summit is to invite participants from the major monograph shared print programs across North America including HathiTrust, the MI-SPI and ALI/PALNI programs in Michigan and Indiana, VIVA in Virginia, the recently launched program by SCELIC in California, anticipated work by PALCI in Pennsylvania, older programs such as MSCC in Maine and ConnectNY (both of which include existing EAST member libraries), possibly representatives from COPPUL in Canada, and the Collections Group of the Ivy Plus libraries, who are just beginning to investigate retention and whose membership represents the largest libraries in the region. We may also choose to involve vendors/developers who have been involved in the creation of collection analysis and other tools so important to the retention process such as SCS, OCLC and the Colorado State Gold Rush service.

Our primary goal for this summit is to focus on whether or not these existing retention programs should be more closely aligned and, if so, in what ways. For example, current programs have somewhat differing retention models, retention periods and policies. Should and can we agree to more consistency? Collection analysis continues to be the major expense associated with monograph shared print. Can we begin to work together to reduce the cost of the existing services or agree ways in which lower cost services could be at least "adequate" for further projects, particularly as existing programs look to undertake second or third rounds of analysis? No real work has been done to date to look at cross-analyses of the existing retention commitments. Might there be opportunities for these groups to work together to seek funding for such a project and, if so, what goals would it have? Validation

sampling has been an important contribution of the EAST project. What, if anything, can EAST contribute to current and future projects based on its work to reduce and mitigate the risk of retained items being unavailable for lending? As more and more projects of varying sizes evolve across the country and beyond, are we at the point we can begin to agree to optimal retention metrics that will both maximize protection of the scholarly record and insure access?

We recognize that libraries do not wish to duplicate membership in multiple organizations unless there are distinct advantages in each. So looking at ways to both differentiate efforts as well as dovetail where possible is increasingly important as the current regional and national models evolve. How can the lessons learned in one group help inform the work of others and avoid reinventing the wheel or duplicating less than ideal practices? A full report of the summit will be provided to The Foundation.