

Building a Shared Collection for the Northeast

New England Library Association Conference

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Shared Collection Librarian, University of Maine



BOSTON LIBRARY CONSORTIUM



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Setting the Scene

- Lack of storage space and mandates to free up space for other services e.g. learning commons
- Increasing availability of both electronic & digitized content
- Low usage levels for legacy print collections
- Perceived widespread duplication of content
- Fears about the inadvertent loss of content as libraries undertake necessary weeding and deselection programs



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Shared Print 101

- Holding libraries commit to retain designated materials for a specified time period (10-25 years) so that partner libraries may rely on their continued availability & consider withdrawing locally
- Agree to retention rules following an analysis of the group's collective collection, looking at overlap, usage, and uniqueness
- Retained material either shared in a centralized storage facility or distributed across the collections of partner libraries – accessible to partners



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Shared Print 101 cont.

- Retention commitments are recorded in ILSs
- Programs have a Memorandum of Understanding & operational policies and procedures e.g. for lending
- Almost exclusively academic and research libraries (exception Maine)
- Both monographs and serials & journals e.g. Western Regional Storage Trust (WEST)
- Sustainability beyond grant support



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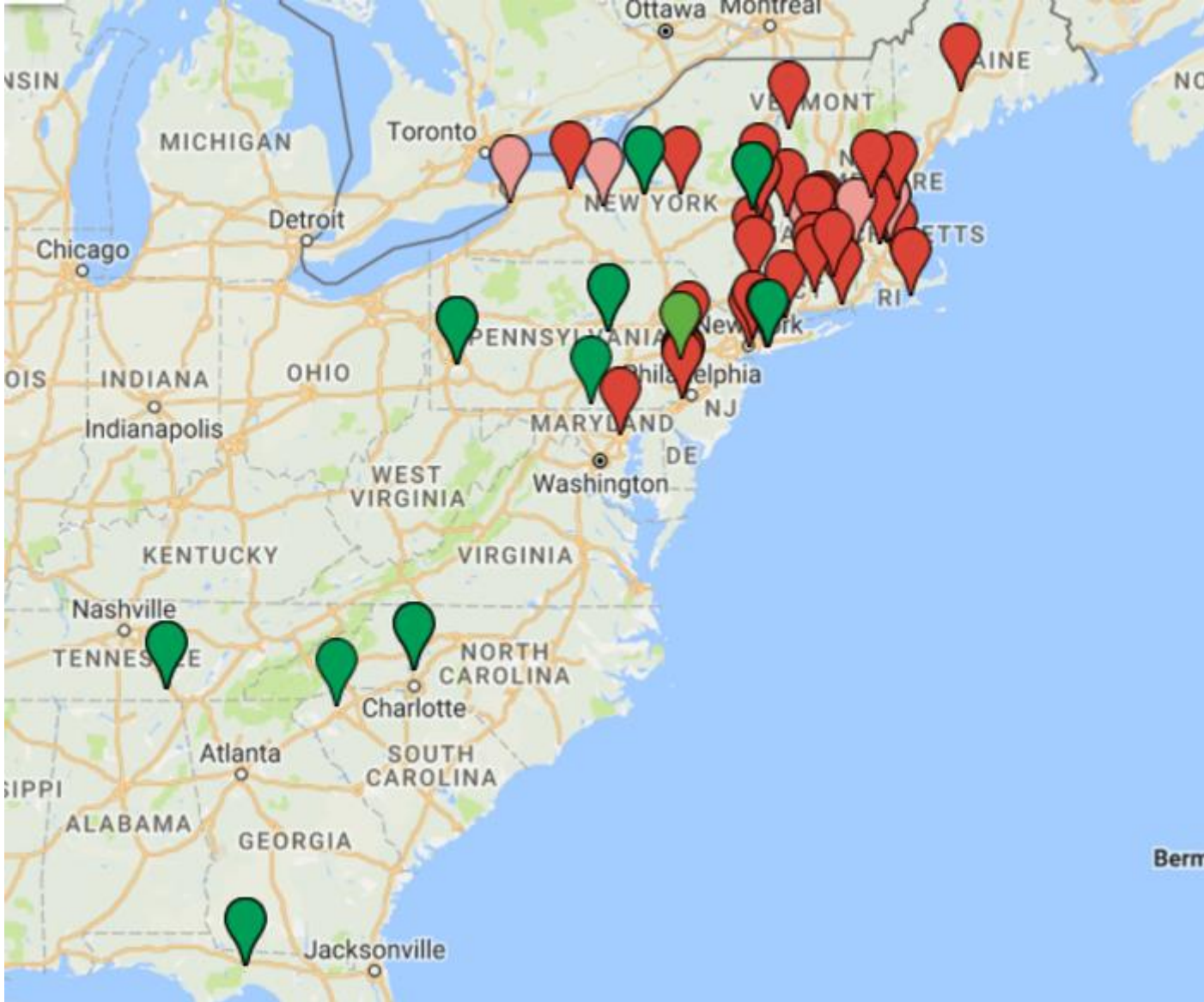
Any Questions?

State Approaches to Shared Print - Maine Shared Collections

- Maine Shared Collection Cooperative (MSCC) was formed in 2010 with the support of an IMLS grant
- Unique mixture of academic and public libraries
- Analyzed 3 million bib records and 3.5 million item records to identify both retention & withdrawal candidates
- Resulting retention model led to 1.4 million titles receiving a MSCC retention
- Building upon a history of collaboration and trust supported by a state-wide ILL and resource sharing infrastructure
- MSCC growing by recruiting new (smaller) libraries.

Introducing EAST

- Building upon work of state projects the Eastern Academic Scholars' Trust (EAST) is the first regional monograph shared print project
- Ensure access to the scholarly records of **print monographs**, print journals, and serials through multi-library collaborative arrangements that ensure copies of even infrequently used material are retained in sufficient number to be readily available.
- Committing to retain items for 15 year retention period
- Challenges included crossing state and consortial lines -- no shared infrastructure or history of trust



60 member institutions in 11 states from Maine to Florida!

Program Goals

- Analyze 20 million plus monographs in order to propose commitments to be made by retention partners
- Design, test and analyze a sample-based validation study
- Secure retention commitments
- Finalize EAST policies and business model
- Plan for future of EAST
- Explore relationships with other regional and national shared print programs

Any Questions?

Validation Sample Study – The Why?

- Verify that retained titles will be available and usable by scholars and researchers
- Build trust in commitments, particularly if local institutions want to consider deselecting titles committed for retention elsewhere
- Mellon were very keen on validation study, particularly as no other programs to date had undertaken such a study
- Not feasible to carry out full validation -- EAST worked with statistical consultant on methodology for sample study



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Goals of Validation Sample Study

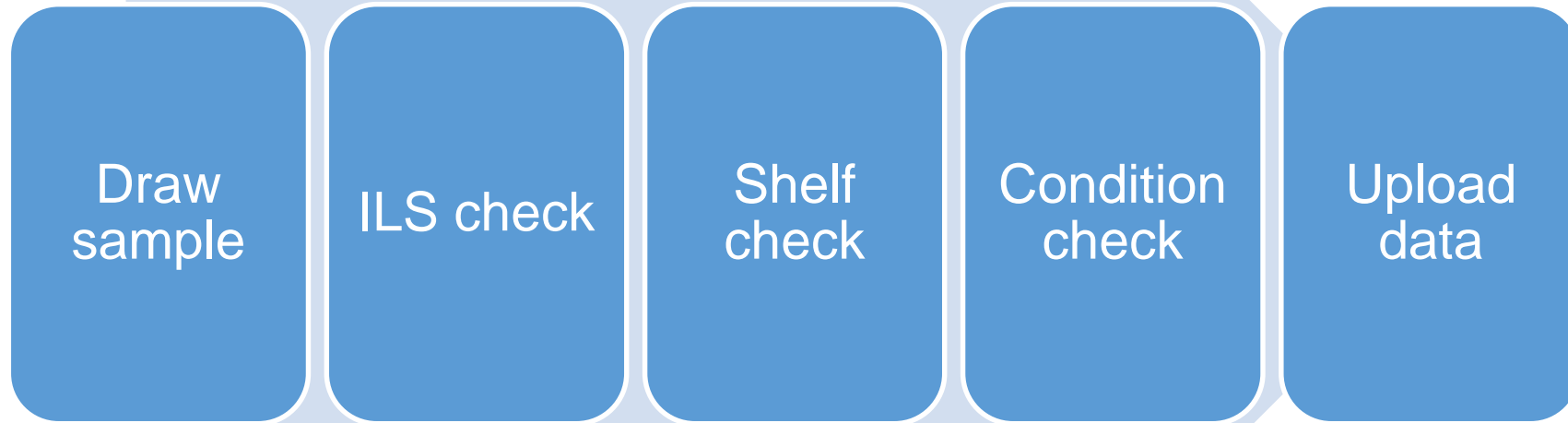
1. Determine missing rates
2. Determine factors impacting “missingness”
3. Cursory condition evaluation
4. Determine factors correlated with poor condition
5. Decide on whether the retention model or allocations should be modified based on results



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Our Validation Methodology



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EAST Validation Data Collection Tool

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.	bcf
<input type="text" value="31796004562050"/>	Present <input type="radio"/> Not On Shelf <input type="radio"/>	Condition: (?) ✓ Select Excellent Acceptable/Good Poor
AC75 .R67	[Articles] / por Joaquin Roy.	
<input type="text" value="31796101408595"/>	Present <input type="radio"/> Not On Shelf <input type="radio"/>	Condition: (?) Select

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



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Validation Conclusions – Likelihood of Being Missing

- 97% availability, with an average 3% missing rate
- Missing rates at most participating libraries were very low. Only two libraries had rates greater than 7.4%, and no library had a rate greater than 10%
- There was no correlation between factors such as aggregate circulation, age, or LC class and the likelihood of being missing
- The only factor that correlated with “Missingness” was the owning library itself
- No factor appeared important enough to suggest a modification to the current EAST retention plan – overall confidence in commitments

Validation Conclusions – Likelihood of Being in Poor Condition

- Poor condition rates at some participating libraries were large enough to merit attention. A quarter of the libraries had rates greater than 15% and two libraries had rates greater than 25%
- Certain factors affecting likelihood of being in poor condition are large enough to recommend changes to retention plans
- Retention plan might keep extra copies of older monographs, monographs frequently circulated, and monographs in subject areas such as art



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Deeper Dive into the Validation Data

- Statistical analysis to model likelihood of item being missing or in poor condition
- Identified 7,800 items with statistically higher likelihood of being missing
- Identified 72,700 items with statistically higher likelihood of being in poor condition – over half are pre-1900 imprints
- Total represents less than .01% of collective collection
- Assigned retention to additional copies



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Any Questions?

Collection Analysis – The Why?

- Collection analysis was key in determining the specific scholarly content EAST committed for retention
- Compared holdings data across the libraries and considered what that tells us about the collective collection and the factors that should impact retention decisions
- Vital to have the collection data presented in ways that could be easily interpreted and compared across the group



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Guiding Principles of EAST's Collection Analysis

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



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Collection Analysis Working Group

Late 2015, formed a Collection Analysis Working Group tasked with agreeing retention rules in two month window!

Help is on hand....

Collection Analysis with GreenGlass

- Contracted with vendor OCLC Sustainable Collection Service (SCS) and their online analytics tool GreenGlass
- Analysis costs heavily subsidized by grant funds
- Each library provided SCS with bib and item data for the analysis
- Circulating print monograph titles only
- SCS normalized & compiled data, compared holdings in the EAST group and externally with OCLC WorldCat, HathiTrust, and regional groups of libraries



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Eye Catching Data

Title holdings in EAST

16,573,071

Title sets in EAST

4,749,042

Title sets held by one library in
EAST group

50% (2,359,033 title sets)

*Title sets with > 10 aggregate
uses*

20% (939,819 title sets)

*Title sets represented in
HathiTrust*

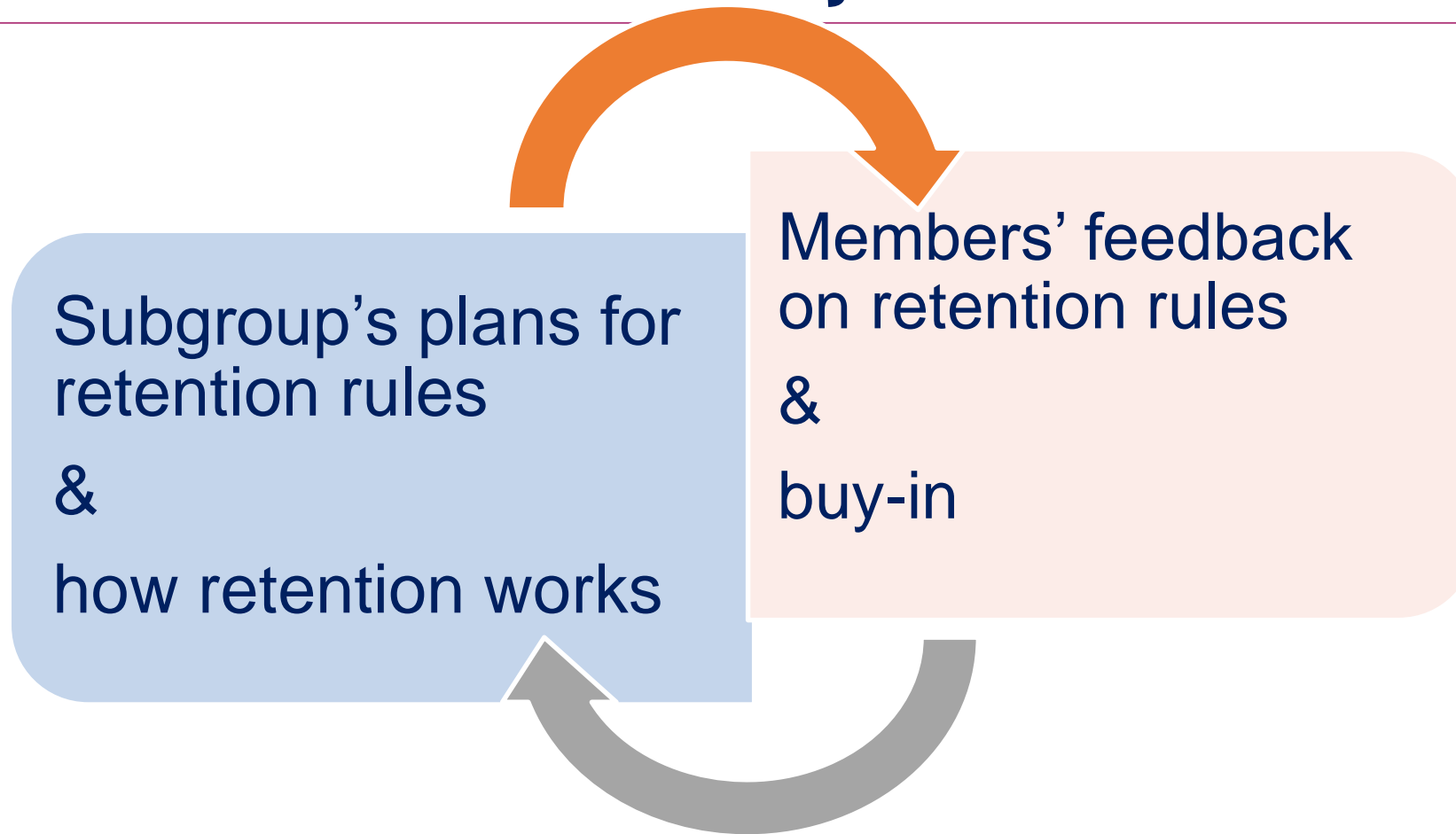
39% (1,865,115 title sets)



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Two-way Communications through the Surveys



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Approved Retention Model

- Retain one holding of every title
- Retain all holdings of scarcely held titles
- Retain up to 5 holdings of frequently used titles

Excluded titles published post 2011 and “ephemera”

Lessons Learned

- Our aggressive timeline was successfully executed largely because of good communication, periodically collecting/taking feedback & needing to keep things moving fast
- SCS was an ideal partner: responsive, met every deadline & GreenGlass is an outstanding tool
- Getting the initial data extracts correct saves problems in the long run



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Any Questions?

Allocation of Retention Commitments – The Why?

- Process of allocating titles to libraries for retention
- Extremely complicated process - SCS's support vital
- Rubber hits the road with allocation, are libraries willing to step up and take on their “fair share” of commitments?

Results of Allocation

Most libraries commitments 30% of their in-scope collection

Approving Retention Commitments

- GreenGlass was reloaded with retention proposals
- Libraries were given 1 month to approve or reject commitments
- Libraries asked to consider the needs of the EAST group not just their own local collection needs
- Most common reason for rejection were items were damaged or missing & out of scope materials and locations (30K in total)

The Numbers Are In

EAST collectively committed to retain
approximately **6 million titles!**



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Lessons Learned

- EAST partners committed to project and stepped up when asked
- Again, SCS was an ideal partner
- Arbitrary nature of allocation can be frustrating, but adding in too many factors can introduce errors
- Sacrifice one partner for the good of the program



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Any Questions?

Tree Falls in a Forest



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Recording & Disclosing Retention Commitments – The Why?

- To protect retained titles from being inadvertently withdrawn
- Facilitate weeding of items committed to retain at other libraries
- Allow libraries to identify replacement copies for lost or damaged items at other EAST libraries



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Recording Retention Commitments Locally

In local ILSs use **MARC 583** subfields a, c, d, f, u:

583 1b

|a committed to retain

|c 20160630

|d 20310630

|f EAST

|u <http://eastlibraries.org/retained-materials>

Local decision whether record commitments at item or bib level




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Display in OPAC

Libraries are encouraged to display commitments in the OPAC

Author	Davis, Jerome D		
Title	High-cost oil and gas resources / Jerome D. Davis		
Publication Info.	London : Croom Helm, [1981] ©1981		
 CBB Request			
Location	Call No.	Status	
Colby Storage Facility Bookstacks	HD9581.N642 D38	Available	EAST ; Retrieve using "CBB Request"



 Send via Email

Description	266 pages : maps ; 22 cm
Bibliography	Includes bibliographical references and index
Subject	Offshore gas industry -- North Sea Offshore oil industry -- North Sea
ISBN	0856645885 : £16.95

Colbv. Bates



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Recording Commitment in OCLC

- No EAST retentions are currently recorded in OCLC WorldCat. Waiting for OCLC to implement new retention commitment registration service!
- Still unclear on discovery piece
- Currently EAST members relying on GreenGlass data & EAST Retention Commitments Database



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EAST Retentions

SEARCH:

Number of EAST Retention Copies:

HathiTrust:

Retained by (optional):

- | | | | |
|---|--|--|--|
| <input type="checkbox"/> Any (default) | <input type="checkbox"/> Connecticut College | <input type="checkbox"/> Phillips Exeter Academy | <input type="checkbox"/> UMass Boston |
| <input type="checkbox"/> Adelphi | <input type="checkbox"/> Elms College | <input type="checkbox"/> Saint Anselm College | <input type="checkbox"/> UMass Dartmouth |
| <input type="checkbox"/> Amherst College | <input type="checkbox"/> Fairfield University | <input type="checkbox"/> Siena College | <input type="checkbox"/> UMass Lowell |
| <input type="checkbox"/> Bard | <input type="checkbox"/> Five College Repository (FCLRC) | <input type="checkbox"/> Skidmore College | <input type="checkbox"/> University of New Hampshire |
| <input type="checkbox"/> Boston College | <input type="checkbox"/> Hamilton College | <input type="checkbox"/> Smith College | <input type="checkbox"/> University of Rochester |
| <input type="checkbox"/> Boston University | <input type="checkbox"/> Hampshire College | <input type="checkbox"/> Swarthmore College | <input type="checkbox"/> Vassar College |
| <input type="checkbox"/> Brandeis University | <input type="checkbox"/> Lafayette College | <input type="checkbox"/> Trinity College | <input type="checkbox"/> Wellesley College |
| <input type="checkbox"/> Bridgewater State University | <input type="checkbox"/> Loyola Notre Dame | <input type="checkbox"/> Union College | <input type="checkbox"/> Wesleyan University |
| <input type="checkbox"/> Bryn Mawr College | <input type="checkbox"/> Middlebury College | <input type="checkbox"/> University of Connecticut | <input type="checkbox"/> Williams College |
| <input type="checkbox"/> Colby College | <input type="checkbox"/> Mount Holyoke College | <input type="checkbox"/> UMass Amherst | <input type="checkbox"/> Yeshiva University |



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Any Questions?

Importance of Access

- Guaranteed borrowing rights to retained items, key component of any shared print program
- In order to rely on commitments need to access the retained items from other libraries



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Borrowing and Lending Retained Items

- Retained titles are held as a light archive within Retention Partner's local circulating collections
- Challenging decision for EAST was whether to make free lending mandatory?
- Comprise reached that while no-charge lending of items is strongly encouraged, EAST member libraries may use their own institutional policies to fulfill requests from other EAST libraries
- No restrictions on lending retained items outside of EAST



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ILL Best Practices

- Formed a ILL Working Group who developed a set of Best Practices with principles and procedures regarding lending between EAST members
- Established a OCLC Group Access Capability & RAPID Pod to facilitate lending between EAST libraries
- Added EAST policies to the OCLC Policies Directory
- Future work, looking at the impact of EAST commitments on lending

Any Questions?



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What Keeps EAST Working?

- Governance
- Grant funds
- Member input
- Policies & Procedures

EAST Project Team



Susan Stearns
Executive Director



Mei Mendez
Project Manager



Matthew Revitt
Shared Print Consultant

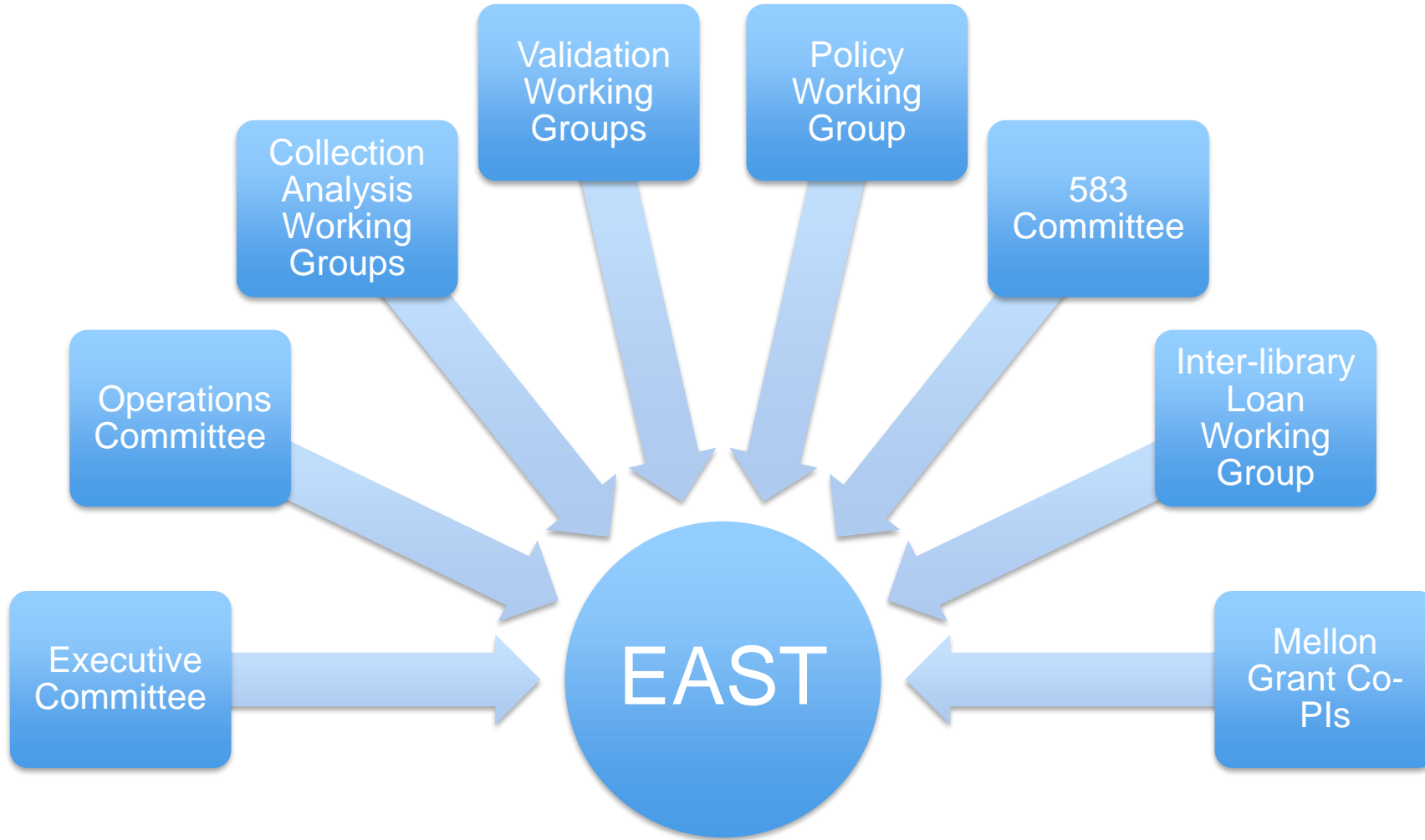


Sara Amato
Data Librarian



Governance

- PIs on Mellon grant: Tara Fulton (UNH) & Patrick Carr (UConn)
- Executive Committee (primary governance)
- Operations Committee
- Various working groups



Member Support

Member Support

- Membership fees also contributed towards the costs of collection analysis and project management (vital for ongoing sustainability)
- Member feedback vital in shaping direction of EAST -- webinars and annual member meeting



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Grant Funds

Thanks to generous grant funds from the Andrew W. Mellon Foundation & Davis Educational Foundation EAST was made possible

Policies & Procedures

- Memorandum of Understanding
- Operational policies & procedures e.g. replacing lost or damaged items
- FAQ & more...posted on EAST website
<https://eastlibraries.org/>



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Any Questions?

Growing EAST with a Cohort 2

- 13 libraries joining EAST as a Cohort 2, includes large institutions New York University & Pittsburg University & expands EAST as far south as Florida and west as Tennessee
- Currently in the early stages of collection analysis & validation sample study
- Benefits for EAST: additional retention commitments, further withdrawals, expanding lending network & additional financial support

Future of EAST

- Currently working on implementing retention rules for serial and journal titles
- In April 2018, convening a Summit on collaboration and cooperation across shared print monograph programs in North America
- Cohort 3? expand geographical region even further? include public libraries?



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Thank you.

Q & A

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