

**Note:** The following is the narrative text of the Final Report on the EAST program. It excludes the financial narrative as well as the appendices referenced in the text.



**Final Report to the Andrew W. Mellon Foundation for  
February 1, 2017 through June 30, 2018  
Grant: 21500712**

**September 25, 2018**

**I. Goals and Objectives**

In June of 2015, the Andrew W. Mellon Foundation (the Foundation) awarded a two year grant to the Boston Library Consortium (BLC) to support implementation of the Eastern Academic Scholars' Trust (EAST) project, a regional collaboration of academic and research libraries in the Northeast to define and manage retention agreements for scholarly print publications. The grant was extended to a third year through June 30, 2018 in March of 2017. This Final Report summarizes the work of EAST from its inception in July of 2016 and, therefore, repeats some of the information provided in both the Interim Report from September of 2016 and the No-Cost Extension from March, 2017.

EAST was preceded by a planning process in 2012-2014, supported by the Foundation through an Officer's Grant to Five Colleges, Incorporated, during which academic libraries across New England, New York, and Pennsylvania participated in needs assessment and planning to recommend governance, policies and a business model for EAST.

As of June 30, 2018 EAST has completed all of the six major goals outlined in the proposal to the Foundation:

1. **Analyze** monograph holdings of EAST retention partners in the first cohort, identify overlaps, survey circulation activity within EAST, and develop comparisons to holdings elsewhere, in order to propose the commitments to be made by Retention Partners and establish the set of titles needing validation. Current Status: The Collection Analysis for the first EAST Cohort of 40 monograph Retention Partners was completed in 2016 with a final retention model for EAST approved by the Executive Committee ( See #3 below for how the model is being applied to the EAST collective collection). In 2017, 13 libraries joined EAST as a Cohort 2, 12 of which participated in a second collection analysis supported by set aside funding from membership dues as well as monies from the original grant from the Davis Educational Foundation. The set of titles needing validation was completed as part of the Validation Sample Studies described below.
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. Current Status: Validation Sample Study #1 was completed in April of 2016 with all 40 of the EAST Cohort 1 libraries participating. The study results indicated that, on average, 97% of the sampled holdings could be accounted for in their local libraries and, of those on the shelf, just

under 90% were in average or better condition. This validation sample study was replicated in the late fall/early winter of 2017 for the 12 Cohort 2 Retention Partners. The study results indicated a slightly higher percentage of sampled holdings could be accounted for with comparable results for the condition of the materials.

3. Secure **retention commitments** from retention partners, and develop the means to share information about those commitments among all members. Current Status: Working with the collection analysis vendor, OCLC Sustainable Collection Services®, EAST has confirmed retention commitments for over 6 million holdings across the 40 EAST Retention Partners in Cohort 1 and an additional 3.2 million holdings for the 12 EAST Retention Partners in Cohort 2 for a total of over 9.2 million titles retained at least until June 30, 2031. All of the Retention Partners have confirmed their commitments and have recorded them in their local catalogs.
4. Finalize and execute a **Memorandum of Understanding (MOU)** among EAST members that incorporates EAST policies and business model. Current Status: All 60 of the EAST member libraries have completed the MOU which was approved by the EAST Executive Committee. It can be found, along with the other EAST major operating policies and procedures on the EAST website at [www.eastlibraries.org](http://www.eastlibraries.org).
5. **Plan for future EAST membership**, including incremental collection analysis of future cohorts, and ongoing validation sampling. Current Status: EAST added 13 Cohort 2 libraries in 2017, 12 of which are Retention Partners. Using set-aside funding from both the Davis Educational Foundation grant and EAST membership dues, EAST was able to subsidize the collection analysis for these libraries and complete retention commitments for an additional 3.2 million monographs. Working with the EAST Statistical Consultant, the 12 Retention Partners replicated the Validation Sample Study that had been completed by Cohort 1 and was reimbursed by funding from the Foundation grant. As with Cohort 1, the results of the validation demonstrated a high likelihood that retained materials will be available and accessible for research and teaching. As further described below, EAST also developed a Future Scenario focused on developing priorities for our work over the next 12-24 months.
6. Begin to **explore reciprocal agreements** with other regional and national shared print programs to create a broader network of mutual benefits and services. Current Status: In April of 2018, EAST sponsored a Summit on Monograph Shared Print attended by over 30 representatives of major programs in North America. The Summit spawned six Working Groups, each focused on a key priority identified during the meetings. The Working Groups began meeting in the summer and an update was provided to the Print Archive Network (PAN) Forum at the American Library Association Annual Conference in June. EAST is now planning a follow up meeting for early December 2018 at which the Working Groups will report back progress and make further recommendations on how best to foster collaboration and cooperation in support of advancing the growth and success of shared print monograph programs. Further details on the Summit and the Working Groups can be found here <https://sites.google.com/a/blc.org/summit/home>.

## II. Accomplishments

### A. The Monograph Collection Analysis and Retention Model

EAST formally launched the work of the 40 Cohort 1 Retention Partners (of the original 48 EAST member libraries, 8 were Supporting Partners and not involved in collection analysis or retention commitments) in

late June, 2015. The 12 Cohort 2 libraries began their collection analysis work in the summer of 2017 following a virtual kickoff with this more geographically disparate group. In both cases, EAST worked with OCLC Sustainable Collection Services® (SCS), which had previously been selected by EAST to perform the analysis based on their expertise and experience in working with shared print initiatives. Details of the libraries participating in the collection analysis and the associated costs are provided in the Appendices as are timelines for the Cohorts 1 and 2 monograph collection analysis work.

The collection analysis included analyzing monograph holdings and circulation usage information provided by the libraries. Once the extracts from the libraries were available, each library was provided access to its instance of GreenGlass®, the online tool from SCS that EAST used to perform the analysis and develop the retention modeling.

For both Cohorts, a Monograph Working Group, appointed by the EAST Executive Committee, worked with the EAST Project Team and SCS representatives to review the EAST collective collection and, using the model builder in GreenGlass, developed various modeling scenarios for retention.

The table below compares the EAST collective collections for Cohorts 1 and 2:

<b>Characteristic</b>	<b>Cohort 1</b>	<b>Cohort 2</b>
Libraries participating in the collection analysis	40	12
Total number of titles	4,749,042	4,470,032
Total number of holdings	16,573,071	8,985,044
Percentage of titles held by only one library in the Cohort	50%	62%
Percentage of titles with 10 or more aggregate uses across the Cohort	20%	18%

In setting up the database in GreenGlass, the EAST Project Team worked with SCS to identify a number of comparator groups which would allow the EAST holdings to be compared to holdings from these groups (except for HathiTrust, all were based on holdings as represented in OCLC WorldCat®). The comparator groups for Cohort 1 were:

- U.S. holdings
- Regional large academic libraries not in EAST
- Regional college libraries not in EAST
- Maine Shared Collections
- ConnectNY shared collection
- BLC libraries
- HathiTrust.

For Cohort 2, we modified the comparator groups somewhat to exclude EAST libraries and added the EAST Retained Titles as a comparator group as well as the Ivy Plus libraries. Both the Maine Shared Collections and ConnectNY shared collection were eliminated for comparison for Cohort 2.

For the three months following the availability of the data in GreenGlass, the EAST Monograph Working Group, Project Team and SCS analyzed the group dataset, focusing particularly on uniqueness and scarcity within EAST, overlap both within EAST and between EAST and other comparator collections and examining usage by EAST libraries. Using the model builder capabilities in GreenGlass, the Working Group developed a series of models for the retention of EAST titles. These models looked at ensuring that at least one copy of all EAST content (excluding ephemera and recently published material) was retained as well as additional copies of scarcely held and/or frequently used materials. For the Cohort 2 analysis, overlap with Cohort 1 retained titles was also taken into consideration and, based on results from the Cohort 1 validation sample study (described below), the Cohort 2 libraries also decided to retain additional copies of titles published before 1900 as these were deemed to be more likely to be in poor condition and, hence, not available outside of their local collections.

As Cohort 1 was large and not all of the libraries were represented on the Working Group, after each of the model cycles, a survey was distributed to all of the Cohort 1 libraries seeking feedback on the model and suggestions for its improvement. For Cohort 2, the Working Group included representation across the participating libraries and signoff of the retention model scenarios could be determine within the Working Group. The final model agreed to for Cohort 1 and signed off by the Executive Committee was:

- retain all copies of titles scarcely held across the libraries: in order to protect unique and rare materials. Scarcity was defined in relation to holdings in EAST (5 or fewer), WorldCat (40 or fewer) as well as other comparator groups. This subjective definition was negotiated through the development of the retention model.
- retain up to 5 copies of titles that have been frequently used across the libraries: in order to ensure access to adequate copies for future users. Frequent usage was defined as more than 30 aggregate uses across the EAST members. This subjective definition was also negotiated through the development of the retention model.
- retain one copy of all other titles that are defined as in scope: in order to protect the remainder of the collective collection.

The Cohort 2 model also retained scarcely held and unique items but took into consideration titles already retained by Cohort 1; the model retained frequently used titles at a higher rate (again taking into consideration titles already retained by Cohort 1); and followed the Cohort 1 model by retaining one copy of all other titles defined as in scope and not already retained by Cohort 1. As described above, the Cohort 2 model also retained an additional copy of pre-1900 imprints in order to better ensure access to the older and, therefore, more likely in poor condition, titles.

Applying this model to the EAST dataset resulted in just over 6 million titles being retained by Cohort 1 and 3.2 million titles being retained by Cohort 2. For Cohort 1, the retention rate was about 30% of the each participating library's in-scope monograph collection, but a few of the Cohort 1 libraries graciously offered to retain at a higher rate. Due to the high uniqueness within two of the Cohort 2 libraries, the percentage retained across that cohort ranged from the high teens to just over 40%. These differences point to the challenge of focusing exclusively on equity in retention modeling as the unique characteristics of a given library's collection are more likely than any other component to greatly influence retention if the goal is to ensure that unique and scarcely held materials are retained.

## B. Validation Sample Studies 1 and 2

Due to its size, a full-scale validation of EAST titles to determine the likelihood that they could be accounted for by the libraries and therefore made available for lending was not possible. However, EAST worked closely with its Statistical Consultant, Professor Grant Ritter of Brandeis University, to design a sample validation methodology that would provide a probabilistic estimate of the likely existence of any item across the EAST Retention Partner libraries. (Note: this study excluded the Five Colleges Repository as it is a secured high density storage facility with tight inventory control.) In addition to basic verification of the item’s existence, the study included a cursory review of the item’s condition, both intended to increase the trust among the partner libraries that retained volumes will be available and usable.

EAST has been unique among large-scale shared print programs in performing any sort of validation. We are most appreciative of the support of The Foundation for this work and believe that it is truly ground breaking. In fact, the Cornell University Library will be replicating components of the study using the open source tools developed by EAST. And, as noted below, two members of the EAST Project Team recently submitted a paper detailing the studies and their results to a scholarly publication.

In order to ensure a 99% likelihood of an estimate within 1%, the sample size was a random selection of 6,000 titles for each of the 40 libraries in Cohort 1 for the first study and the 12 libraries in Cohort 2 for the second study. In both cases, the sample was drawn from the data extract provided to SCS. For Sample Study 1 that resulted in a total sample of 240,000 titles and for Sample Study 2, the sample size was 72,000 titles.

Using a data collection tool developed by the EAST Data Librarian, Sara Amato (and documented at <https://github.com/samato88/EastValidationTool>), each library was asked to check the items locally to determine an “availability metric” as well as to provide feedback on the condition of the item based on a 3-point scale. Each of the libraries was reimbursed with funds from the grant for the work they undertook to complete the validation sample study. In addition, The Foundation supported the work of the Statistical Consultant in developing the methodology and providing follow-up analysis of the study’s results.

Using the validation tool as well as documentation and training materials developed by the EAST Project Team, who worked closely with the Validation Working Group, Validation Sample Study 1 was completed by workers in the 40 libraries from late February through late April, 2016 and Validation Sample Study 2 was completed in the 12 Cohort 2 libraries between October and December of 2017.

The results of the study are provided below.

	<b>Sample Study 1</b>	<b>Sample Study 2</b>
Number of participating libraries	40	12

Sample size	240,000	72,000
Percentage of titles accounted for	97%	97.8%
Percentage of titles in circulation	2.3%	2.4%
Percentage of titles in average or excellent condition	90%	93%
Accuracy	≤1% with 99% likelihood	≤1% with 99% likelihood

With at least 97% of the monographs in the sample set accounted for, the EAST libraries were provided with increased confidence in the likelihood that retained titles would be available for lending across the membership. All libraries had estimated missing rates of under 10%, confirming that there is a 99% likelihood that all estimates are accurate to within 1%.

For items that were identified as on shelf, the validation study included a cursory review of the item’s condition based on a 3-point scale: excellent, average, or poor. Based on equal weights, the mean poor condition rate among titles was 10.7% for Cohort 1 and 7.1% for Cohort 2; the mean acceptable rate was 55.7% for Cohort 1 and 46.9% for Cohort 2; and the mean excellent condition rate was 33.6% for Cohort 1 and 42.2% for Cohort 2.

Following the data collection and initial statistical analysis for Cohort 1, the EAST Project Team requested that Professor Ritter conduct a further analysis of the 240,000 sample focusing on factors that may impact the likelihood of an item being missing or in poor condition. The sample was matched back to the full SCS data set to capture additional data elements such as aggregated circulation, publication data and class number. After further analysis, it was determined that the only statistically significant correlation identified was between the age of the title and its increased likelihood of being in poor condition. As a result of this further analysis, the Cohort 2 retention model took date of publication into account and retained additional copies of materials published before 1900.

The Statistical Consultant’s full reports are included in the Appendices.

**C. Retention Commitments**

As indicated above, the final retention models for EAST resulted in just over 9.2 million holdings being allocated to the 52 Retention Partners. For Cohort 1, a purely equitable allocation across the libraries would have resulted in each member retaining 36% of its circulating monographs. However, since 3 of the EAST libraries were willing to make significantly larger allocation commitments - the University of Massachusetts Amherst, the Five Colleges Depository, and Yeshiva University, the final allocations were between 29.2% and 30.5% across the remaining libraries. For Cohort 2, because two of the libraries – the University of Pittsburgh and New York University – had a significantly higher percentage of unique titles in their collections (45.6% for NYU and 43.3% for Pitt), there was more variation in the final allocation percentages, which ranged from the high teens to over 40% for those two libraries.

During the allocation process for Cohort 1, one library (Haverford College) decided to withdraw from

EAST as they were not comfortable making the retention commitment. The EAST Executive Committee emphasized the importance of equitable allocation across the membership, with a focus on ensuring retention of unique items and this is a principle that continued for Cohort 2.

#### **D. Policy Work**

In parallel with finalizing the EAST retention commitments for Cohort 1, a Policy Working Group worked with the EAST Project Team to finalize the EAST Major Operating Policies as well as agree to language for the formal Memorandum of Understanding. These policies were based on those agreed to during the EAST planning period and include the following topics:

- *Selection - what will be the criteria for selection of titles to be retained?*
- *Ownership and Location - who will own the retained materials and where will they reside?*
- *Retention - how long will libraries be required to commit to retain the titles?*
- *Validation - is any form of validation required as a part of retention?*
- *Access & Fulfillment - what are the policies for providing titles to users at other EAST libraries?*
- *Delivery - how will retained titles be delivered to other EAST libraries?*
- *Operating Procedures - while not expected to be included in detail in the Memorandum of Understanding, EAST will develop high level operating procedures relating to issues such as replacement of lost or missing titles.*
- *Disclosure - what are individual libraries and EAST as a group expected to do to ensure retained titles are disclosed in local, regional and national catalogs?*
- *Discovery - how will library staff and end users discover retained titles?*

By late May, 2016 the Policy Working Group had completed review of these policies and the Executive Committee approved them in its June meeting. The EAST Memorandum of Understanding (MOU) was approved by the Executive Committee in October of 2016 and all 60 EAST libraries have since executed the MOU. These Major Operating Policies as well as additional policy and procedural documents are available on the EAST website at <http://www.eastlibraries.org/policies-mou>.

To best ensure that the policies and operating procedures are reviewed and updated as needed, EAST established an Operations Committee (further described below) which meets approximately quarterly and addresses any issues relating to the operationalizing of the EAST policies and procedures. To date, the majority of the issues brought to this Committee have related to reallocation of retention commitments. One of the clear lessons from our work in that once a library's retention allocations have been made, there is often a review process put in place locally which surfaces titles that, while reflected in the library's catalog, cannot be located or materials that are clearly in too poor a condition to circulate, etc. These are then candidates for reallocation to another EAST Retention Partner if possible. EAST continues to update a Frequently Asked Questions about retention commitments (which is maintained on the EAST website) with specific examples and advice to the member libraries on practices for replacing or transferring retention commitments. To facilitate this, each EAST Retention Partner was asked to appoint an Operational Contact at their library who would act as the main point of contact for EAST related issues.

### **III. Staffing and Governance**

The EAST Project Team Staff includes:

- Project Manager - Mei Mendez (who replaced Anna Perricci)
- Data Librarian - Sara Amato
- Shared Print Consultant – Matthew Revitt (who replaced Lizanne Payne)
- Susan Stearns, Executive Director of the BLC and EAST Project Director.

From the onset, the Project Team was supported by the co-PI's on the Mellon Foundation grant: initially John Unsworth from Brandeis University and Laura Wood from Tufts University and later Tara Fulton from the University of New Hampshire and Patrick Carr from the University of Connecticut.

In the fall of 2016, the EAST membership elected an Executive Committee (EC). The EC represents the diversity of institutions across EAST with 6 elected members who serve a 2-3 year term and 3 ex officio members: the two co-PI's and the BLC Executive Director (non-voting except in the case of a tie). The EC provides the primary governance for EAST, approves EAST policies, determines membership fees and other shared membership costs, and provides oversight for the activities of the EAST Project Team. At its in-person meeting in July of 2018, the EC agreed to modifications in its composition that would replace the "consortia" representative with a Serials and Journals Retention Partner, ensure representation from a library belonging to the EAST host organization (currently the BLC), and accommodate either a representative elected at large or the PI or co-PI of any future grants received by EAST.

The original EC appointed two working groups to undertake the major work of EAST in the first year: a Monograph Working Group and a Validation Working Group. The Monograph Working Group was subsequently divided into a Collection Analysis Working Group and a Policy Working Group. As the Cohort 2 libraries came on board, a second Monograph Working Group was formed.

Once the EAST retention commitments were in place, the EC appointed an Inter-Library Loan Working Group that developed best practices for resource sharing across the EAST member libraries and, as described above, the EAST membership elected the standing Operations Committee.

Although not funded by the grant from the Foundation, EAST has also begun work to retain serials and journals (described further below) and a Serials and Journals Working Group was formed in 2017 to support this work.

Despite being only three years old, EAST is mature and has become both a conceptual and research-oriented leader in shared print.

### **IV. Other Accomplishments**

#### Registering EAST Retention Commitments

Shortly after EAST's initial implementation in 2015, members of the EAST Project Team met with representatives of OCLC to discuss plans for providing a registration service for shared print monographs



within WorldCat. The Team envisioned that once the retention titles were determined, we would work with the member libraries to both update their local catalogs reflecting retention commitments – which would best ensure that the local institution did not inadvertently withdraw a title which it had committed to retention – and to record these retention commitments in WorldCat – thereby facilitating a variety of reporting and analytics as well as allowing the commitments to be discovered beyond the local catalog.

During the initial meeting, we were led to believe that the service would be available in time for or shortly after the retention commitments for Cohort 1 were finalized and libraries had executed the formal EAST MOU in late 2016 or early 2017. Unfortunately, this did not come to pass and, due to remaining issues with the service as finally launched in June, 2018, EAST has yet to be able to record its over 9 million retention commitments in WorldCat.

That initial meeting also made clear that the business model that OCLC envisioned for the service would be untenable for EAST since at \$.05/record the cost would have been over \$300,000. After numerous meetings and discussions with OCLC over the ensuing months and years, both individually and in concert with colleagues involved in the HathiTrust Shared Print Program, OCLC modified their business model substantially and included the registration service as a component of the standard cataloging subscription cost. We are confident that the advocacy of the EAST Project Team, supported by the EC and membership, was instrumental in bringing about this important change to the model, one that will – once the software development is completed – ensure that EAST and other shared print programs can register their commitments in WorldCat and make them visible more widely.

Once it was clear that OCLC would not be delivering the registration service in a timely fashion, the EAST Data Librarian, Sara Amato, worked with SCS to create a standalone EAST retentions database - <https://east-retention-db.appspot.com/> - to allow EAST members to search for retentions across the EAST membership. The EAST Project Team also worked with OCLC to ensure that the EAST libraries using the WorldShare Management Service (WMS) could register their commitments in WorldCat, as this is the only way for them to be reflected in the local libraries' catalogs. This work was completed in the spring/summer of 2018.

To ensure consistency across the databases, EAST worked with SCS to update the GreenGlass database with the Cohort 2 commitments as well as the additional Cohort 1 commitments that grew out of our follow-up analyses of the validation data. And, since it was clear that EAST would not be in a position to register the retention commitments in WorldCat any time soon, we negotiated with SCS to ensure ongoing access to the GreenGlass databases for Cohorts 1 and 2 until such time as the commitments can be registered in WorldCat.

#### Serials and Journals Retention Work

While not directly supported with grant funds, EAST members had – since the original planning project – intended to engage in one or more projects to retain serials and journals. The EAST MOU and general operating policies and procedures were, in fact, written assuming that EAST retention commitments would eventually include monographs, serials, and journals. And, the EAST membership anticipated this as well, offering Retention Partners the option of committing to retain only monographs, only journals, or both.

In late 2016, as work on the monograph side for Cohort 1 was winding down and active recruitment for

Cohort 2 was underway, EAST undertook a survey of the Cohort 1 libraries to better understand the serials/journals landscape across the membership and solicit feedback on various approaches to serials and journals retention. We were particularly cognizant of the fact that there were no collection analysis and decision support tools comparable to the SCS GreenGlass service that could support our work.

This survey made it clear that libraries supported an approach to serials and journals retention that focused on risk assessment. As a result of this, the EAST Project Team began discussions with both SCS and, somewhat later, the Center for Research Libraries (CRL) on possible approaches to at least a basic set of collection analysis reports. SCS had undertaken a pilot project with Wayne State University and was actively investigating building out a decisions support tool for serials and journals (support for this was, unfortunately, not forthcoming from OCLC and SCS subsequently abandoned any plans) and we had learned that CRL had worked with the Big Ten Academic Alliance (BTAA) on a project somewhat similar to EAST and was interested in further developing their analysis capabilities in this arena.

In late 2016, CRL indicated their interest in working with EAST and providing reports in support of serials/journals collection analysis on a cost-recovery basis. Since many of the Cohort 1 Serials & Journals Retention Partners are CRL members, the cost to EAST for an initial pilot program with 21 (later 20 as one library choose to delay and join the second phase of the work) Cohort 1 libraries was deemed to be quite reasonable. After approval by the EC, in April of 2016 EAST contracted with CRL to provide serials collection analysis and cross-institution holdings comparisons. The costs of this analysis was borne by EAST membership dues.

After receiving extracts from the participating libraries, CRL provided an initial set of overlap reports to EAST in late October of 2016. An EAST Serials and Journals Working Group (WG) was formed and began review of the reports shortly thereafter. As this was one of the first such projects CRL had engaged in, the WG was asked to provide feedback and CRL updated the reports having put in place additional quality control checks in December.

Having realized the value that the visualizations of the EAST monograph data provided in support of collection analysis and retention modeling in working with the SCS GreenGlass product, the EAST Project Team made the decision to use the Tableau data visualization tool and Sara Amato, the EAST Data Librarian, created a set of Tableau visualizations that greatly assisted the WG in reviewing the Cohort 1 serials and journals title information.

Following a review of the data on scarcely held and widely held titles, the WG decided to focus the initial retention modeling on “medium-rare titles”. These were defined as titles held by 4-6 of the 20 participating libraries. Members of the WG agreed that libraries were quite unlikely to withdraw materials that were unique in their collections and, while there was agreement that EAST should undertake future modeling based on widely held titles, it was these “in between” titles that could be at highest risk of being lost from the collective collection. Additionally the number of titles in this category (approximately 6,000) was agreed to be a manageable amount of titles to consider in the analysis. Further refinements were made to the retention model to exclude material agreed to not be appropriate for retention in this phase of work including: government documents, monographic series, non-print format, newspapers, reference works, indexes, directories, almanacs, yearbooks, handbooks, and guides. JSTOR titles were also excluded because the WG felt that these titles were already being sufficiently preserved elsewhere.

Based on this a retention model that included retaining up to 3 copies of titles held by 4-6 of the libraries was agreed upon and approved by the WG and later the EC in the spring of 2017. This resulted in EAST committing just over 5,000 serials and journals titles to retention. CRL then provided the libraries with allocation lists based on which libraries held the most complete runs of a title. In addition, CRL provided information on related “family” titles that they held which the libraries could volunteer to also retain.

The final step in this initial phase of serials and journals work was to work with the libraries to update their local catalogs to reflect the EAST retention commitments and update the Print Archives and Preservation Registry (PAPR) database maintained by CRL. This work is ongoing as we have learned it is not a straightforward process and requires quite a bit of back-and-forth with the EAST Data Librarian. We hope that, as the metadata standards for reflecting shared print journals and serials evolves and there is closer collaboration between OCLC and CRL, this will become a simpler process.

#### The Rosemont Shared Print Alliance and Initial Phase 2 Serials and Journals Work

Throughout the EAST Project Team’s work on serials and journals, we were aware of the work of the Rosemont Shared Print Alliance, a collaboration of regional shared print serials and journals programs looking to coordinate efforts. In November of 2017, after some discussion between EAST and members of the Rosemont Operations Committee, EAST was formally asked to join Rosemont and did so, after approval by the EC, in January of 2018. Susan Stearns and Matthew Revitt represent EAST on the Rosemont Operations Committee and Simon Neame of the University of Massachusetts, Amherst and Peggy Seiden of Swarthmore College represent EAST on its EC.

One of the immediate benefits of joining Rosemont was the ability to take the holdings of other Rosemont members into consideration during the retention modeling for the EAST Phase 2 work on serials and journals retention. In early 2018, EAST confirmed with a group of an additional 10 EAST member libraries (9 of whom were Cohort 2 Retention Partners) to undertake a second phase of retention modeling for serials and journals, bringing the total number of EAST Serials and Journals Retention Partners to 31 (Note: This number excludes the US Coast Guard Academy, which is in the process of joining EAST as a Serials & Journals Retention Partner and will be formally added once their signed MOU is received). EAST worked with CRL on a new agreement that would allow integration of these Phase 2 libraries’ holdings into the EAST collective database and, in the summer of 2018, received back the initial spreadsheet reports from CRL.

#### Working with Tableau

As with the Cohort 1 work, the EAST Data Librarian, Sara Amato, created a suite of Tableau visualizations from the data to allow the current Serials and Journals Working Group (which now includes new members) to develop further models to retain journal titles. We expect to first supplement the existing 4- 6 “medium rare” titles model with holdings from the Cohort 2 libraries and then move to modeling for frequently held titles. This work will continue throughout 2018 and into 2019.

Below are some highlights of the combined EAST serials and journals collective collection taken from the Tableau visualizations. More examples are available here -

<https://public.tableau.com/profile/sara.amato#!/vizhome/EAST-C2-Journals/Titles>.

Cohort 1

68,413 Title Sets

132,632 Title Holdings

41,828 Unique to C1

Cohort 1 & Cohort 2 Combined

111,403 Title Sets (distinct OCLC #s)

231,974 Title Holdings

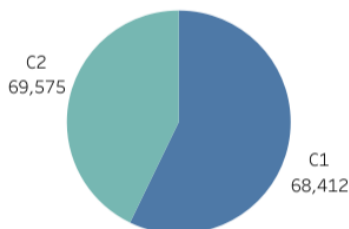
26,584 OCLCs Overlap between C1 &amp; C2

Cohort 2

69,575 Title Sets

99,342 Title Holdings

42,991 Unique to C2



Retained by C1: 5,063 Title Sets / 11,526 Title Holdings  
(Number may change slightly as retentions are recorded)

Retained by C1 overlap with C2: 311 Title Sets representing 478 Title Holdings

***Data from the EAST Serials and Journals Collective Collection as represented in Tableau***

EAST has been pleased to work with CRL on our serials and journals retention work and believe we have contributed not insignificantly to their understanding of how best to provide collection analysis tools that can support decision making for serials and journals shared print. The work that Sara Amato has done, with support of the other members of the Project Team and counsel of the Working Group, is already being looked at with interest by other serials and journals shared print programs and we hope to work with one or more of these to share Sara's handiwork in the coming months.

EAST Collaboration with Related Projects

In addition to the work of EAST in bringing together the major shared print monograph programs for the Summit meeting in April of 2018, members of the Project Team and EAST co-PI's have also been active in discussion with related projects. The first of these is the Book Traces project. In late 2017, the EAST Project Director was invited to join other representatives from the shared print community and scholars for meeting at the University of Virginia (UVA) focused on extending the work of Book Traces, which originated as a Council on Library and Information Resources funded initiative at UVA in 2014 with a focus on identifying library books, primarily 19<sup>th</sup> century imprints, that contain interventions such as marginalia that have scholarly value and record these interventions, primarily via photos on a crowd-sources site to encourage further scholarly engagement.

Following this meeting, EAST had conversations with staff from Book Traces discussing the possibility of a partnership that would leverage the data EAST collected during our validation studies as well as offer opportunities for EAST member libraries to consider replicating the Book Traces work in their local institutions, particularly as an effective way to engage faculty and student users with library collections. EAST sponsored a webinar with Book Traces staff for interested EAST member libraries, and although it is not clear that there exist large scale opportunities for collaboration, a number of EAST libraries have followed up with UVA staff to schedule onsite workshops.

One of the outcomes of the EAST Summit in April of 2018 was formation of a Working Group focused on research needed around risk. Over the late spring and early summer of this year, the Project Team began discussion with Ian Bogus, Executive Director of the Research Collections and Preservation Consortium (ReCAP), on possible ways in which EAST could support a research project focused on how the material condition of print titles in libraries may impact retention. Ian had previously worked with colleagues at the Library of Congress (LoC) in the Preservation and Testing division to define a project that would undertake a scientific study to explore key preservation issues around the condition of the national print collection. ReCAP and LOC had completed a pilot project to test their methodology and were ready to put together a formal proposal for grant funding to expand the work to a group of large research libraries.

A proposal to the Andrew W. Mellon Foundation to fund such a research project is currently being finalized. Based on the titles which had been determined to be candidates for the research (and are currently held by the 5 research libraries committed to participate), EAST identified member libraries which held a significant number. Preliminary conversations with these qualifying libraries indicate that at least two EAST member libraries will participate in the research. In addition, EAST Project Team staff will act in an advisory capacity on the study and will work with the EAST Statistical Consultant on further statistical analyses of the data generated by the research. It is hoped the work will help set strategies for identifying at risk materials as well as validate the use of non-invasive condition evaluation as a way to access library collections.

In the case of both of these projects, the dataset that EAST has amassed from the two validation sample studies as well as our EAST retentions database have proven valuable in identifying ways in which EAST and particularly its member libraries can further the goal of protecting and preserving the print scholarly record.

## **V. Future Plans**

In October of 2017, the EC began to consider how best to plan for the future of EAST following the conclusion of the grant funding, scheduled to end in June, 2018. Three scenarios were presented: a “hit pause” scenario which suggested pausing major growth of EAST for a year; a “full steam ahead” scenario that focused on growing the EAST membership in ways that would focus on expanding the corpus of retained items; and a “slow and steady” scenario that focused on planning for growth in the membership only after the Cohort 2 work on both the monograph and serials side was completed. After some discussion, the EC agreed to combined components of the “full steam” ahead scenario – particularly in terms of serials and journals retention – with the “slow and steady” scenario. And, it emphasized the

importance of waiting to see what might come out of the Summit planned for April of 2018, as it recognized this could – and probably should – influence EAST’s plans for the future.

After a couple of revisions, the EAST document “A Refined Scenario for the Future of EAST: Steady Ahead and Gathering Steam” was agreed to by the EC. As part of the EAST member update webinar in May, the Project Team and EC representatives reviewed the scenario with the membership and made it available on the EAST website for comment through mid-July. A copy of the scenario is provided in the Appendices.

The EAST EC met in person in July of 2018 to review the future scenario and approve the operating budget for EAST for FY19. The final approved scenario focuses in five major areas:

1. **Minimizing the focus on expanding membership in a Cohort 3 for monograph retention** - while the EC may choose to admit new members who apply to join EAST, only after a Task Force of the EC has reviewed membership options – and looked at ways to reduce the costs associated with collection analysis (which for Cohorts 1 and 2 was significantly subsidized by grant funding) – will a specific plan for growing Retention Partners be put in place. This decision was based on the fact that the frontline staff of EAST libraries felt additional time is needed to determine the impact of retention commitments on inter-library loan as well as on withdrawal opportunities, so the appetite for growth in FY19 was not there. However, the leadership of EAST recognized the importance of not losing momentum for shared print, so providing mechanisms for interested libraries to join EAST continues to be a topic of active discussion. (Note: Shortly after the July EC meeting, the US Coast Guard Academy Library applied to join EAST as a Serials and Journals Retention Partner. Since the Phase 2 work with CRL was just beginning, and the Coast Guard titles could easily be added, the EC agreed to their application and we are awaiting their signed MOU to formally join EAST.)
2. **Full steam ahead on serials and journals retention** – the Phase 2 work is just beginning and we envision the current work with CRL can allow EAST to develop multiple retention models for serials and journals over the next year or more. This work is more laborious due to the lack of robust decision support tools as well as the diversity and inconsistency of metadata from local ILS databases, but recognizing the significant withdrawals that EAST libraries have already done on the serials and journals side, we believe it is important to move ahead as quickly as is feasible with this work. And, having joined Rosemont, EAST sees opportunities to collaborate more closely with its program partners to further grow retention commitments to serials and journals titles. Finally, the healthy reserve that EAST has built up from membership monies over the last 3 years has allowed it to finance collection analysis work with CRL without further contributions from the members, a benefit for all of EAST.
3. **Further operational work** – as the EAST member libraries begin to truly operationalize EAST retention commitments in their daily work, new issues are identified that have implications for the EAST policies and procedures. Over the next few months EAST will review these documents and work with the Operations Committee to ensure they serve the membership effectively. EAST is also interested in investigating ways to collect statistics on inter-library loan across the EAST lending network to better understand any impact shared print has on resource sharing in libraries.
4. **Outreach and communication** – another theme that has come out of both internal EAST discussions and the initial work following the EAST Summit relates to the growing importance of ensuring effective outreach and communication across the multiplicity of stakeholder audiences that are impacted by shared print. To date, the EAST website and the majority of our outreach has focused on the library community. Over the course of the next 12-18 months, we hope to work with the EC and an outside

consultant to develop and implement a communications and outreach plan that more directly addresses concerns of academic faculty and administrations as well as those of the institutional member libraries. In doing so, we expect to build on the work currently being undertaken by the Summit's Working Group on Communications.

5. **Collaboration with other shared print programs** – Building on the work of the April Summit and the Working Groups that grew out of those meetings, EAST is planning on sponsoring a follow-up meeting in early December 2018 to continue the conversation and further the goal of facilitating collaboration and cooperation across and among current monograph shared print programs. We plan to use the funds remaining from The Foundation's grant (see below for details) to cover the costs of the meeting and are in the process of finalizing a budget to be submitted to the Foundation for approval.

## VI. Challenges

The challenges faced by the EAST project are primarily attributable to its defining characteristics: the diversity of the membership and the complexity and scale of the project's scope and the rapid pace of the project plan. And, while the robust collection analysis and decision support tools for monographs allowed EAST to move quickly on the monograph retention side, the lack of comparable tools for serials and journals is slowing down our work in that arena. The absence of a fully functioning and open platform for registration and discovery of retention commitments has also proven to be a challenge and required EAST to allocate significantly more resource to creating interim solutions than was originally anticipated.

Diversity created challenges across the major goals of EAST:

- **On the collection analysis side**, the decision to accommodate a variety of different "categories" of participants increased the load on SCS and required ongoing communication and management of expectations by the EAST Project Team. These categories included those libraries with existing commitments as part of other retention programs (Maine Shared Collections and ConnectNY), those with recently completed or in progress analyses with SCS as well as libraries who would be undertaking a new analysis. However, EAST's decision to be flexible in this area (and the support SCS provided) ensured the largest number of libraries could participate and ultimately increased the retention commitments made. It also made it easy for EAST to collaborate with HathiTrust as they embarked on their first phase of shared print by offering to work with the participating EAST libraries to allow them to commit to HathiTrust titles already committed to EAST. We expect that as shared print programs continue to collaborate, this practice will be more common.
- **On the validation side**, the variety of integrated library systems and catalog environments meant coordination of training materials across many platforms. Early formation of the EAST Working Groups ameliorated this issue by providing direct access to technical expertise at member libraries. This, and a commitment on the part of the EAST Project Team to develop supporting materials, ensured that validation sample study #1 could proceed on schedule with only minor issues. This work also served us well with Cohort 2 as we were able to move quickly to work with the libraries to generate their extracts for SCS. This and all of the documentation associated with EAST is available as part of the Member Documentation section of the website and available to other programs to use as appropriate - <https://eastlibraries.org/member-resources>.

- **On the retention side**, once the final retention model was approved, there were a few EAST Retention Partners in Cohort 1 who objected to the percentage of their collections that the model would require them to retain. While committed to the EAST mission overall, these libraries felt particular local pressure to withdraw holdings and were concerned that they would be asked to retain materials for EAST that would not necessarily be of local interest. After further discussions, only one of these libraries continued in its objection and choose to become a Supporting Partner (later deciding to leave EAST entirely).

Recognizing that the goals of EAST and the goals of the individual local library are not always aligned was to be an important consideration as we undertook the work with Cohort 2. And, this issue was magnified with the second cohort since two of the libraries – University of Pittsburgh and New York University – had collections with significant unique materials (over 40% for each). As part of the collection analysis work, EAST reached out directly to these two libraries to ensure they understood the implications of committing a larger proportion of their collection than would be asked of the other Cohort 2 libraries. Since they are both committed to the EAST mission, neither had an issue with this.

However, the EAST experience points to a challenge faced by any large scale shared print program, particularly one with a diverse group of libraries that is committed to protecting the scholarly record: the tension between the library's (and possibly the institution's) need to recover space through withdrawals and the mission of shared print focused on preserving and protecting the scholarly record. This, too, may be a topic for further discussion as programs being to collaborate and collection analyses can be done across programs.

The complexity and scale of the EAST project also introduced challenges. Foremost among these was the need to manage many moving parts with tight schedules. Vigilant project management of time lines, anticipation and management of risks, and a willingness to address issues quickly and personally all contributed to minimizing impact.

The variety of stakeholders across the EAST membership with varying levels of familiarity with the background and history of the project and differing perspectives on retention also introduced challenges. This was magnified as work began with Cohort 2 since few of these libraries had been involved in the original planning for EAST and were less familiar with some of the basic tenets of shared print.

EAST's commitment to its core goals and particularly the support of the Executive Committee in focusing on these goals has been instrumental in addressing the challenges that have resulted. EAST has been flexible in policy and decision-making when such flexibility does not impact the retention goals of the project but unbending – particularly in policy issues – when it does. Regular communication to the EAST membership with quarterly update webinars and opportunities through surveys and membership votes have provided further opportunities to reinforce policy and other decisions. Ensuring that EAST resources are readily available to the membership through the EAST website has also facilitated communication. That said, we – like other shared print initiatives – recognize that we are very good at talking to our library colleagues about the value of shared print and



much less effective in providing compelling narratives focused on the priorities of other stakeholders, particularly faculty members. As part of the EAST Summit held in April, a Working Group on Communications was tasked with focusing on this issue and working with the shared print community to improve our ability to speak compellingly to other stakeholder groups. We look forward to incorporating the results of their work into future EAST outreach.

As we began to work with the libraries to ensure that EAST retention commitments were disclosed in appropriate national/international catalogs and discoverable therein, we were also faced with the fact that OCLC WorldCat, which is used by libraries as the most definitive national catalog, did not support disclosure and discovery. EAST worked closely and tirelessly to provide advice and counsel to OCLC on the requirements for disclosure and while a registration service was made available in June of 2018, because it lacks certain features that EAST has deemed critical (and we have concerns over the scalability of the service today), EAST has decided not to disclose its retention commitments in WorldCat until a more robust and full function services is available. This delay on OCLC's part in providing a critical component to EAST has been a set-back and as a result the EAST Project Team has taken on additional work to provide documentation to the EAST member libraries so that we can ensure that the retention commitments are at least disclosed appropriately locally. And, as described above, we developed the EAST Retentions Database which, although envisioned as a short-term solution, continues to provide value to the program and its members.

As the above demonstrates, one of the overarching challenges for shared print in general – not just specific to EAST – is the need for the library community to more effectively communicate the value of shared print and advocate for it with those who provide products and services to the community. EAST sees this advocacy as an important component of the value it provides to its members: providing a collective voice that makes clear how existing products and services that are offered to libraries take shared print into consideration.

Finally, EAST has had to deal with the challenge of staffing changes: Lizanne Payne, the original Shared Print Consultant departed to join HathiTrust and was replaced by Matthew Revitt; Anna Perrucci left as Project Manager to be replaced by Mei Mendez; and both of the original co-PI's on the grant left before its conclusion: John Unsworth to be replaced by Tara Fulton and Laura Wood to be replaced by Patrick Carr. While each of these created a minor disruption, those joining EAST on both the staffing and governance side had experience of the project at least from the outside and were eager and able to contribute quickly.

## **VII. Presentations and Publications**

The EAST Project Team as well as individual EAST members have been involved in a number of important areas of outreach since EAST's inception in 2015. The major articles and presentations are listed below.

### Articles:

- Stearns, Susan (2016) "[EAST by Northeast](#)," *Collaborative Librarianship*: Vol. 8: Iss. 1, Article 4.

- Stearns, Susan and Anna Perricci (2016). "[Curating Collective Collections -- Protecting the Scholarly Record: Shared Print at Scale](#)," *Against the Grain*: Vol. 28: Iss. 1.
- Amato, Sara and Susan Stearns "'[Documenting the stewardship of libraries: The Eastern Academic Scholars' Trust Validation Sample Studies](#)'" submitted for publication in *Collaborative Librarianship*, September, 2018.

#### Presentations:

##### 2018

- Revitt, Matthew. "[Governance Models for Shared Print Collections](#)." ALCTS , 17 January 2018. Webinar Presentation.
- Stearns, Susan. "[Shared Print Monograph Summit: An Update](#)." PAN Forum at ALA Annual Conference, 22 June 2018, New Orleans, LA. Presentation.
- Stearns, Susan. "[Tableau Data Visualizations and Collection Analysis for Shared Print](#)." PAN Forum at ALA Annual Conference, 22 June 2018, New Orleans, LA. Presentation.

##### 2017

- Stearns, Susan. "[EAST: 40 Libraries Collaborate to Retain and Share More than 6 Million Monographs](#)." ACRL Conference, 24 March 2017, Baltimore, MD. Poster presentation.
- Amato, Sara. "[Shared Print Initiative Validation Study Using Google App Script](#)." Online Northwest Conference, 31 March 2017, Portland, OR. Lightning Talk.
- Stearns, Susan. "Eastern Academic Scholars' Trust," [Models for Shared Print Monograph Retention](#), ALCTS Exchange, 9 May 2017. Webinar Presentation.
- Stearns, Susan. "[Whose book is this \(and does it matter\)? How shared print programs are redefining our understanding of local collections](#)." ACRL - NEC, 12 May 2017, Burlington, VT. Conference Presentation.
- Stearns, Susan. "[Validation Sampling as Part of a Shared Print Program: EAST](#)." PAN Forum at ALA Annual Conference, 23 June 2017, Chicago, IL. Presentation.
- Stearns, Susan. "[Collection Analysis and the Eastern Academic Scholars' Trust \(EAST\)](#)." ALA Annual Conference, 26 June 2017, Chicago, IL. Conference Presentation.
- Revitt, Matthew. "[Building a Shared Collection for the Northeast](#)." New England Library Association Conference, 12 October 2017, Burlington, VT. Conference Presentation.
- Stearns, Susan, and Mei Mendez. "[From Descriptive Analysis to Prescriptive Analytics: Visualization and Validation in Shared Print](#)." Charleston Conference, 8 November 2017, Charleston, SC. Conference Presentation.

##### 2016

- Perricci, Anna. "[Update on the Eastern Academic Scholars' Trust \(EAST\)](#)." PAN Forum at ALA Midwinter, 8 January 2016, Boston, MA. Presentation.
- Perricci, Anna. "[Building a Shared Print Network in New England and Beyond](#)." NETSL Annual Spring Conference, 8 April 2016, Worcester, MA. Conference Presentation.
- Perricci, Anna. "[Dismantling Silos to Build Robust Shared Print Projects](#)." ACRL -NEC, 13 May 2016, Manchester, NH. Conference Presentation.
- Stearns, Susan and Matthew Revitt. "[Update on EAST](#)." PAN Forum at ALA Annual, 24 June 2016, Orlando, FL. Presentation.

- Perricci, Anna. "[Retention Modeling for the Eastern Academic Scholars' Trust.](#)" Charleston Conference, 4 November 2016, Charleston, SC. Shotgun Session.
- Amato, Sara. "[Shared Print Initiative Validation Study.](#)" LITA Forum, 18 November 2016, Fort Worth, TX. Lightning Talk.

2015

- Stearns, Susan. "[Retaining and Preserving the Scholarly Record: An Update on the Eastern Academic Scholars' Trust.](#)" NETSL Annual Spring Conference, 10 April 2015, Worcester, MA. Conference Presentation.

In addition, EAST member libraries have begun to discuss the project on their campuses, both informally with administrators and faculty and through more formal outreach such as the article in "Tufts Now" by Taylor McNeil, explaining the project and the role of co-PI Laura Wood: "Libraries United" in "Tufts Now" - <http://now.tufts.edu/articles/libraries-united>.