

Models for Shared Print Monograph Retention

May 9, 2017

[#ALCTSx17](#)



Dramatis Personae



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Today's Specials

- Overview: Shared Print Monographs Retention (Lugg)
- Michigan Shared Print Initiative (Grudzien)
- Eastern Academic Scholars' Trust (Stearns)
- Progress to Date (Lugg)
- Q&A

[POLL]

1. Are you familiar with shared print initiatives such as MI-SPI, EAST, or others?

- Yes
- No
- Not sure

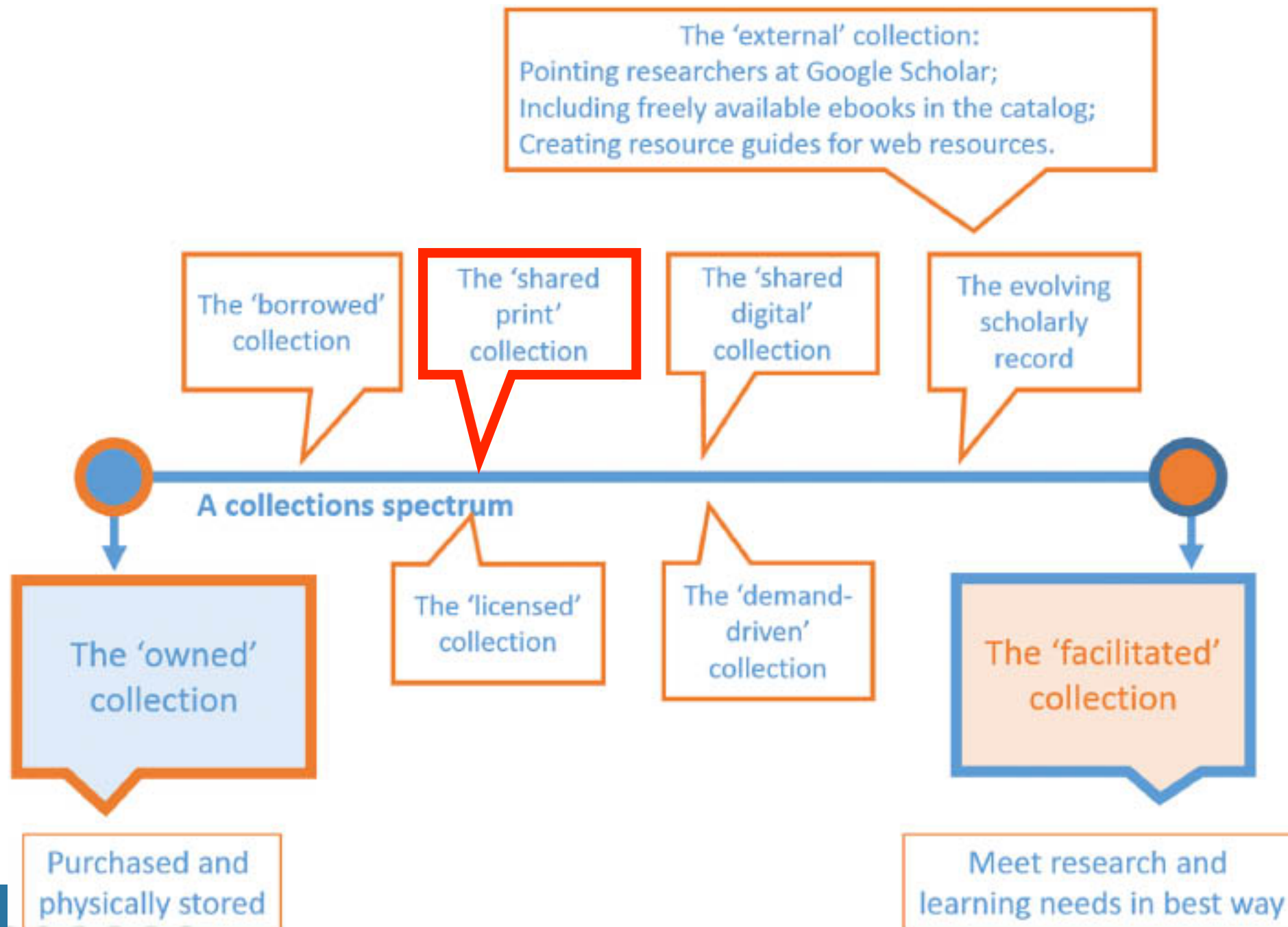
2. Does your library participate in a shared retention plan for monographs?

- Yes
- No
- Not sure

OVERVIEW: SHARED PRINT MONOGRAPHS RETENTION

The Facilitated Collection (Lorcan Dempsey)

Increasingly, **the library does not assemble collections for local use**, but facilitates access to a coordinated mix of local, external and collaborative services assembled around user needs and available on the **network**.



Shared Print

Collection Directions: Some Reflections on the Future of Library Collections and Collecting

Lorcan Dempsey

Vice President, Research, and Chief Strategist

Constance Malpas

Research Scientist

Brian Lavoie

Research Scientist

Published in: *portal: Libraries and the Academy*
Volume 14, Number 3, July 2014 (pages 393-423)



“Shared print management schemes represent a **cost-effective alternative to institution-scale solutions**, redistributing the costs of library stewardship across a broader pool of participants.”

Shared Print: Protecting the Scholarly Record

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

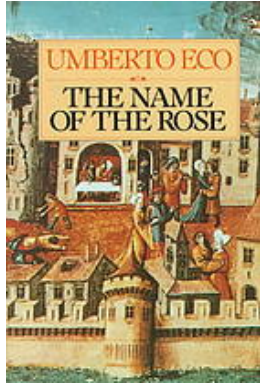
Shared Print Initiatives (Monographs)

- Michigan Shared Print Initiative (MI-SPI)
- Maine Shared Collections Cooperative (MSCC)
- Tri-University Group (TUG)
- Connect New York Shared Print Archiving
- Washington Research Library Consortium (WRLC)
- Virtual Library of Virginia (VIVA)
- Academic Libraries of Indiana (ALI)
- Central Iowa Collaborative Collection Initiative (CI-CCI)
- Eastern Academic Scholars' Trust (EAST)
- COPPUL Shared Print Archive Network
- SCELIC Shared Print
- HathiTrust Print Monographs Archive

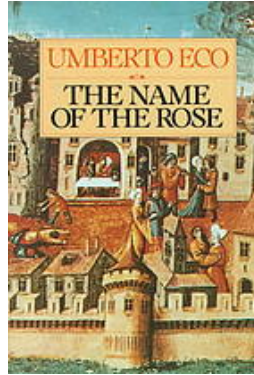
Monographs Retention

- Commitment to retain for specified period (usually 10-15 years)
- Responsibility shared across a designated group (state, region)
- Typically a form Memorandum of Understanding in place
 - Ownership
 - Sharing
 - Duration/Review
 - Problems: Lost/Missing, Responsibility to replace, transfer of commitments
- Shared print in place or central collection facility
- Inspired by journal retention programs such as WEST, CRL
- Key Questions: how many copies to retain, and on what basis?

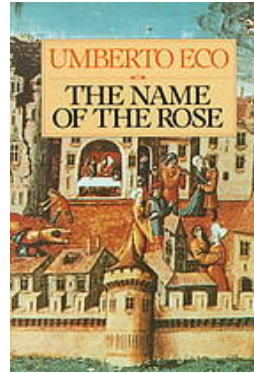
Title Set



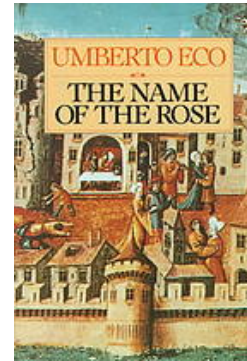
USC



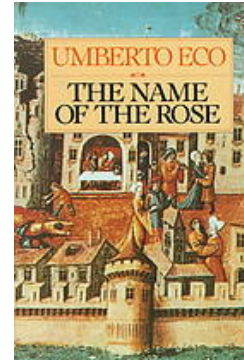
Pepperdine



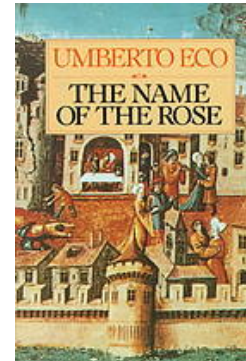
Occidental



Claremont



St Mary's



USD

Title Holding

Building Blocks for Retention Models

- Holdings tallies
 - Within the group
 - Within the US
 - Within the various comparator groups
- Year of publication
- Aggregate uses (within the group)
- Last charge year (within the group)
- Last item add year (within the group)
- HathiTrust – In Copyright or Public Domain

Common Patterns in Retention Models

- To **retain at least one title-holding of every title** currently owned. AND to retain additional title-holdings for specific categories.
- To **agree on a definition of scarcely held titles and retain ALL such title-holdings**. AND to set specific retention thresholds for other categories of material.
- To **identify categories of titles that will NOT be allocated for retention** by group members.
- To agree that titles NOT allocated for retention are 'safe to weed'.

Central Iowa Collaborative Collections Initiative (CI-CCI): 5 libraries

Retain 1 title-holding for all titles currently owned.

Allowed libraries to weed second, third, fourth, and fifth holdings **if published before 1991 and had zero recorded uses since 2005.**

This decision identified approximately 50% of the shared collection for retention.

Academic Libraries of Indiana (36 libraries)

Retain ALL title-holdings that are:

- held by fewer than 4 libraries within the state of Indiana
- OR
- held by fewer than 20 libraries in the US
- OR
- **NOT held by** at least one of the three big research libraries in the state (**IU Bloomington, Purdue or Notre Dame**).

This decision identified 33% of the shared collection for retention.

Virtual Library of Virginia – 1st Pass (8 libraries)

1. Retain all title-holdings that are scarcely held:

- unique within the state of Virginia

AND

- held by fewer than 10 libraries in the US

This decision identified 1% of the shared collection for retention.

Virtual Library of Virginia – 2ND Pass (8 libraries)

2. Retain titles that are widely held

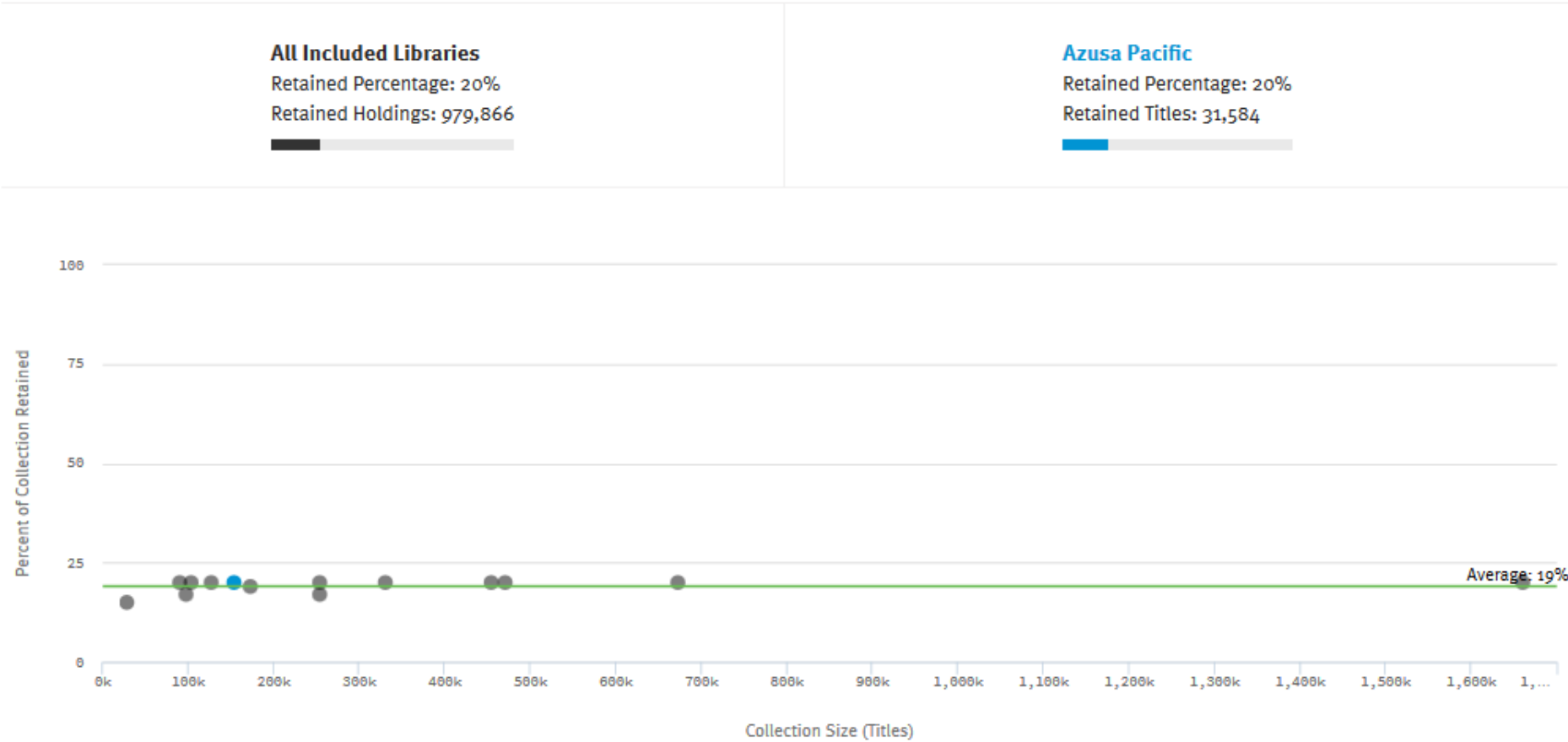
- one title-holding of every title currently owned

AND

- two-title holdings of every title that had **one or more recorded uses within the group**

This decision identified 36% of the shared collection for retention.

SCELC – Trial Model: “Erica’s Adjusted Hybrid”



Estimated Retention Results

LIBRARY	TOTAL TITLES	RETAINED TITLES	RETAINED PERCENTAGE
Azusa Pacific	154,269	31,584	20%

Criteria
LIBRARIES
Includes 14 of 14 Libraries
RETAIN 2
SCELC holdings MORE THAN 5
Publication year BEFORE 2006
RETAIN 1
SCELC holdings FEWER THAN 3
Other SCELC holdings FEWER THAN 5 (SAME EDITION)
Publication year BEFORE 2006
Aggregate uses MORE THAN 0

Michigan Shared Print Initiative



MI-SPI

The Michigan Shared Print Initiative

A collaborative project to retain copies of circulating print monographs duplicated among 11 state-supported universities



MI-SPI Partners

- Central Michigan University
- Eastern Michigan University
- Ferris State University
- Grand Valley State University
- Michigan Technological University
- Northern Michigan University
- Oakland University
- Saginaw Valley State University
- University of Michigan--Dearborn
- Wayne State University
- Western Michigan University



MI-SPI Facilitators

- Midwest Collaborative for Library Services (MCLS)

MCLS is coordinating the MI-SPI project with SCS for all the participating libraries

- Sustainable Collection Services

SCS has the tools to effectively analyze collective print monograph collections—specifically GreenGlass and GreenGlass for Groups (G3)



MI-SPI Round One

2011-12

- 7 state-supported university libraries
- Several with urgent need for collection reduction
- A few with newer facilities interested in collection analysis data



MI-SPI Round One

Process:

- Data extracted from each partner's ILS
- SCS normalized & analyzed for duplication, age, use
- Focused on identifying items for withdrawal
- Retention--a secondary consideration



MI-SPI Round One

- MI-SPI partners & SCS discussed scenarios in early 2012
- Agreed to retain 2 copies for
 - Titles published &/or purchased before 2005 matched at edition level
 - 3 or fewer recorded uses since 1999
 - Titles held by 3 or more libraries

Unique titles—list provided to each partner for evaluation/decision



MI-SPI Round One

- First set of retention assignments fell short of weeding goals for 2 partners
- 2 other partners had no space concerns & offered to take additional assignments; general agreement that these additions would be addressed in next iteration of the collective collection
- SCS recalculated and reassigned.



MI-SPI Round One

Library	Retention Count	Withdrawal Count
CMU	204,686	37,438
EMU	172,423	67,221
GVSU	45,497	49,654
MTU	24,899	48,655
SVSU	30,094	53,724
WSU	86,633	165,858
WMU	172,004	111,607



MI-SPI Round Two

2015-16

- 9 libraries participated in the refresh
 - 5 original partners
 - 4 new partners
- 2 original partners opted out of data refresh; retention assignments maintained



MI-SPI Round Two

- Data extracted from 9 active partners' ILS
- SCS normalized & analyzed for duplication, age, use
 - Collective collection was created anew
 - More complex situation—retentions of opted-out partners
 - 3 new comparator groups added—ALI (IN), UM, MSU
 - Emphasis shifted to identifying what to keep rather than what to weed



MI-SPI Round Two

- Maintained the same retention parameters with a twist
- 2 copies retained by the 9 refresh partners
 - Titles published &/or purchased before 2005 matched at edition level
- 3 or fewer recorded uses since 1999
- Titles held by 3 or more libraries and there are no retention assignments for EMU/WMU
- 1 copy is retained by the 9 partners if the titles is also retained by EMU/WMU



MI-SPI Round Two

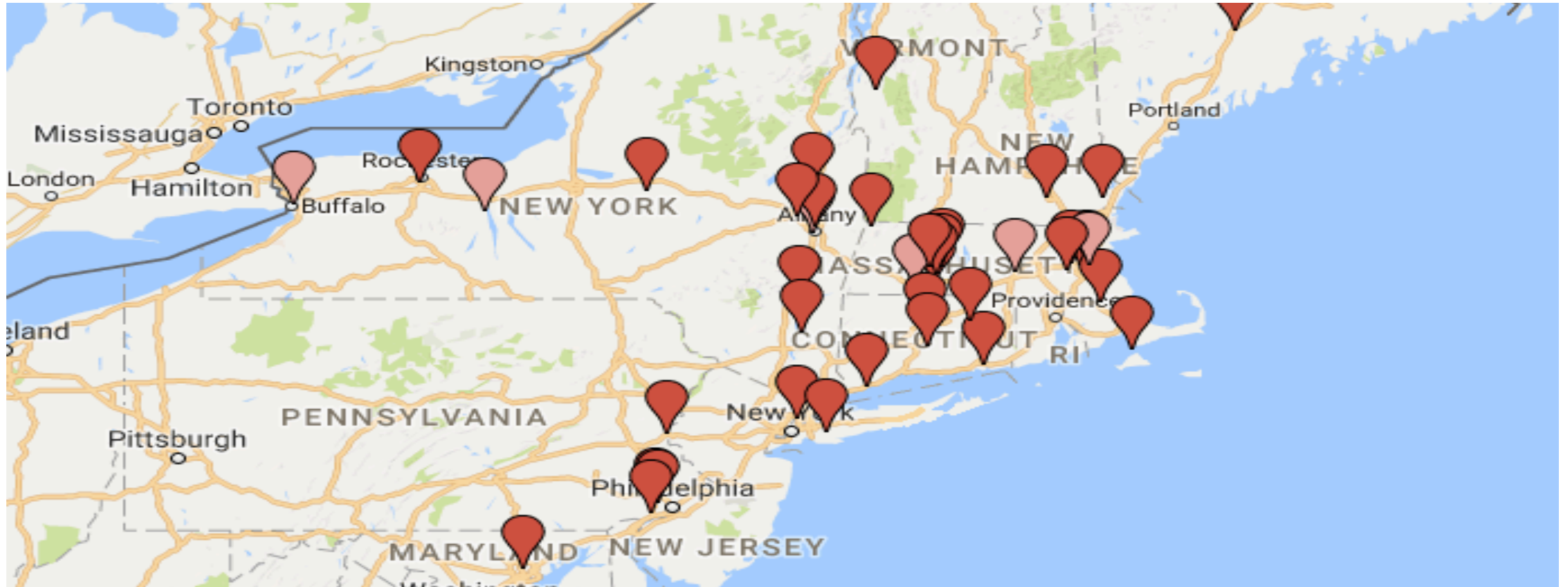
- Unique titles: retain all (any edition) within the 9 partners
 - MI-SPI holdings are less than 3
 - US holdings are less than 50 (WorldCat)
 - UM & MSU do not have

MI-SPI is evolving—many aspects to investigate

- Expanding collective collection into more current publications
- Replacing exact editions or opting for the newest edition
- Validating retention holdings

Eastern Academic Scholars' Trust
(EAST)

Eastern Academic Scholars' Trust - EAST



The EAST Collective Collection

title holdings

16,573,071

title sets

4,749,042

title sets held by one library in the 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

Collection analysis process

- Working Group formed
- Had early access to GreenGlass to begin modeling
- Each model submitted to the full EAST membership for comment and review via a formal survey
- Results integrated into later model(s)
- 3 rounds and final model agreed and approved

Our retention model – 3 major components

1. Retain all holdings of scarcely held titles

- Fewer than 5 holdings within EAST
- Fewer than 40 holdings in WorldCat
- Fewer than 5 holdings in Large Regional Academic libraries [a comparator group]
- No copy already held by a ConnectNY partner

Our retention model – 3 major components

1. Retain all holdings of scarcely held titles
- 2. Retain up to 5 holdings of frequently used titles**
 - With aggregates uses of more than 30

Our retention model – 3 major components

1. Retain all holdings of scarcely held titles
 2. Retain up to 5 holdings of frequently used titles
 - 3. Retain one holding of every title**
 - The “everything else” criteria
- **EXCEPT:** Titles <2011 and ephemera



EAST

EASTERN ACADEMIC
SCHOLARS' TRUST

The result

- Model showed @36% of EAST libraries' local collections to be allocated for retention
- Four libraries volunteered to allocate at higher rate
- Final rate was 28-30% for each library

[POLL]

Are you familiar with the concept of “validation” when used in the context of shared print programs?

- Yes
- No
- Not sure



EAST

EASTERN ACADEMIC
SCHOLARS' TRUST

Validation sample study

- Focused on validating “presence” with minimal condition checking
- Sample of 6,000 items/library
- Tool developed by Data Librarian to facilitate data collection



EAST

EASTERN ACADEMIC
SCHOLARS' TRUST

Data collection for validation sampling

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:

ba

How many?

10

Continue

AC75 .A7 2	[Articles] por German Arciniegas.	bcf
<div>31796004562050</div>	Present <input type="radio"/> Not On Shelf <input type="radio"/>	Condition: (?) <div><div>✓ Select</div><div>Excellent</div><div>Acceptable/Good</div><div>Poor</div></div>
AC75 .R67	[Articles] / por Joaquin Roy.	
<div>31796101408595</div>	Present <input type="radio"/> Not On Shelf <input type="radio"/>	Condition: (?) <div>Select</div>

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

Results

- 97% of the items were accounted for
- 90% in average or excellent condition, 10% poor
- Follow-up analysis of the data from the study resulted in additional retentions being requested of libraries of just under 78,000 items (.01%)



EAST

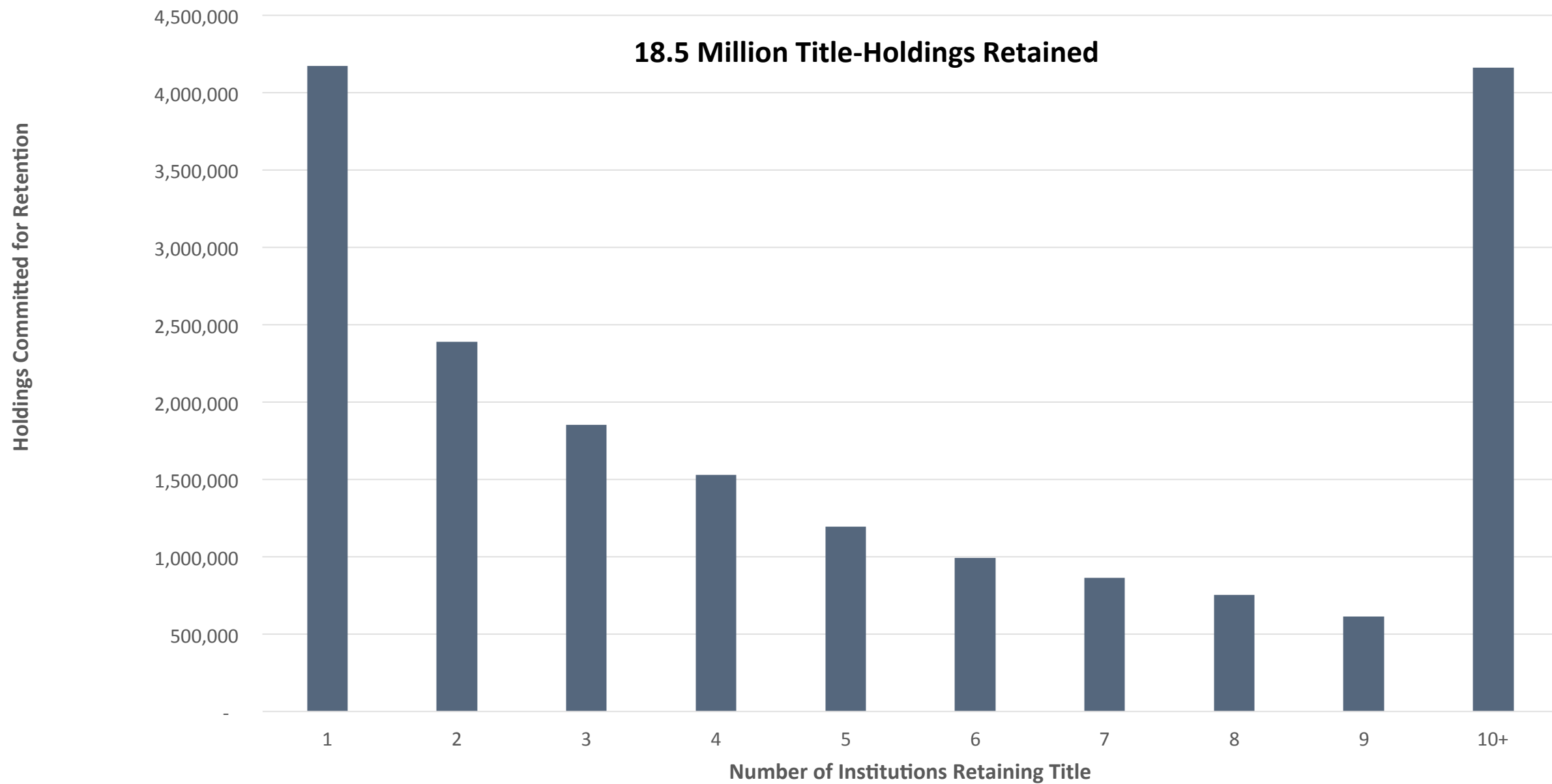
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PROGRESS TO DATE

Shared Print Retentions at a Glance

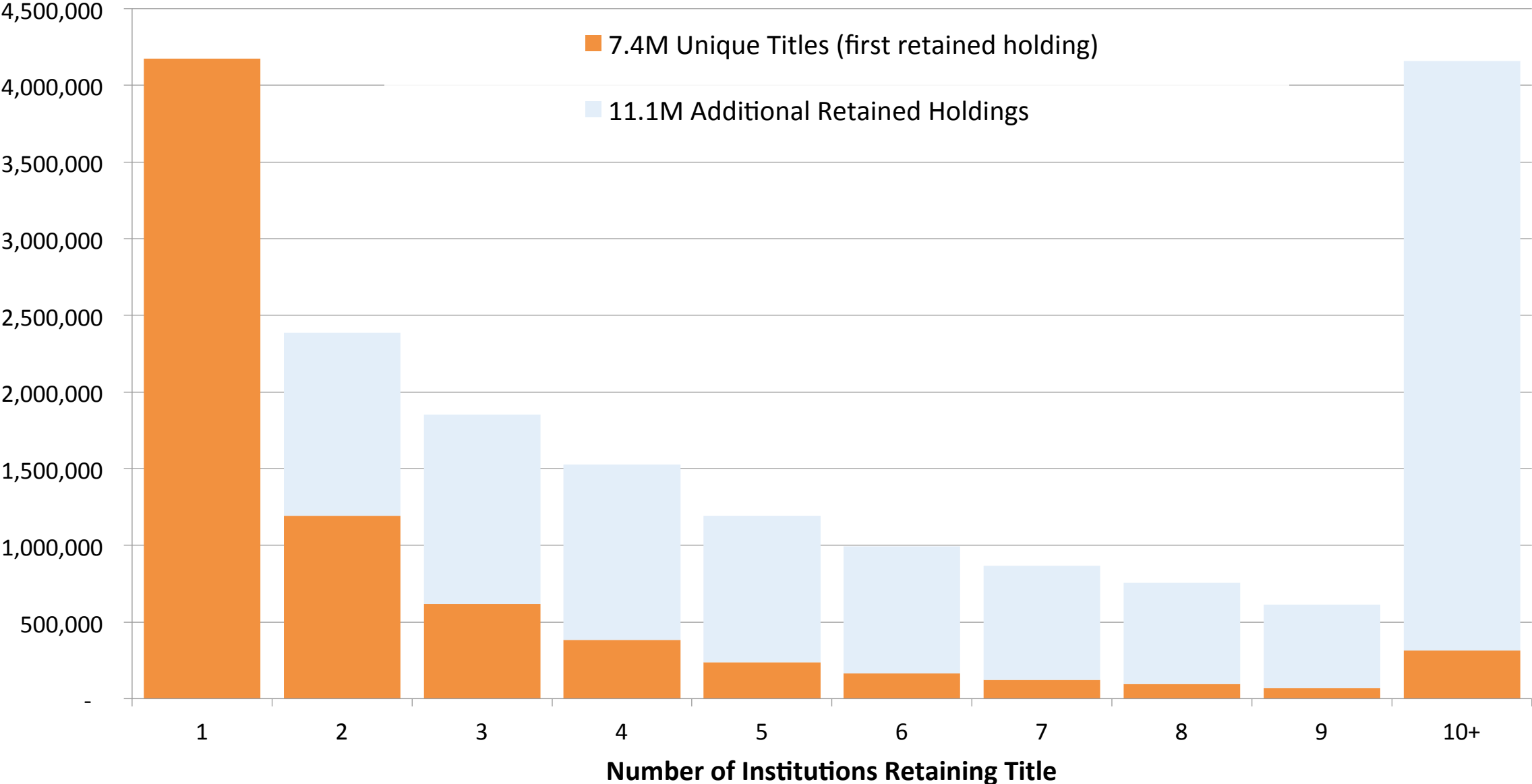
- 9 Group Projects
- 129 institutions with committed print retentions
- 7.4 million distinct editions retained
- 18.5 million title-holdings retained
- In 13 U.S. states and 5 Canadian provinces

Shared Print Retentions Title-Holdings

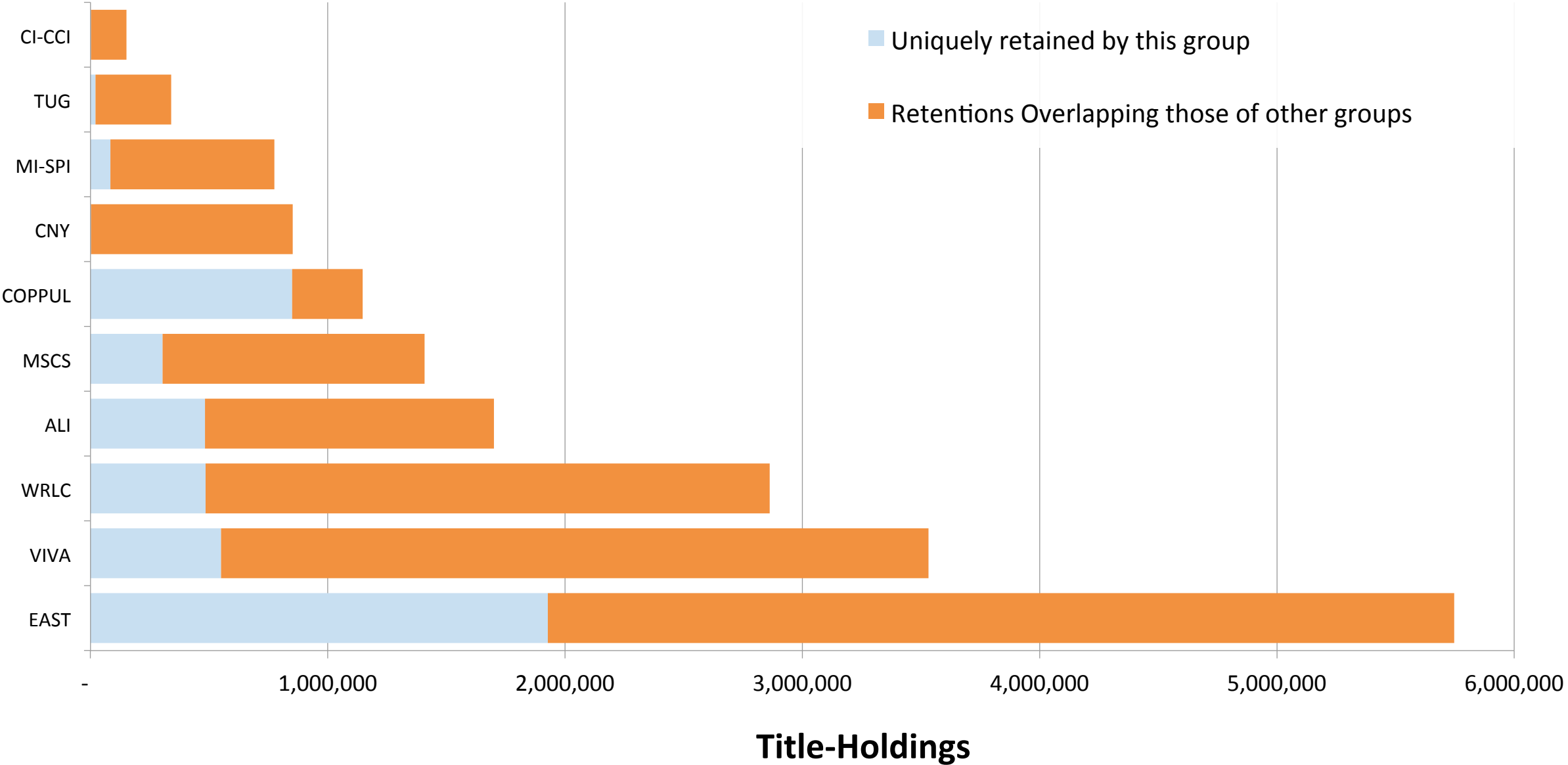


Retentions in Title-Holdings

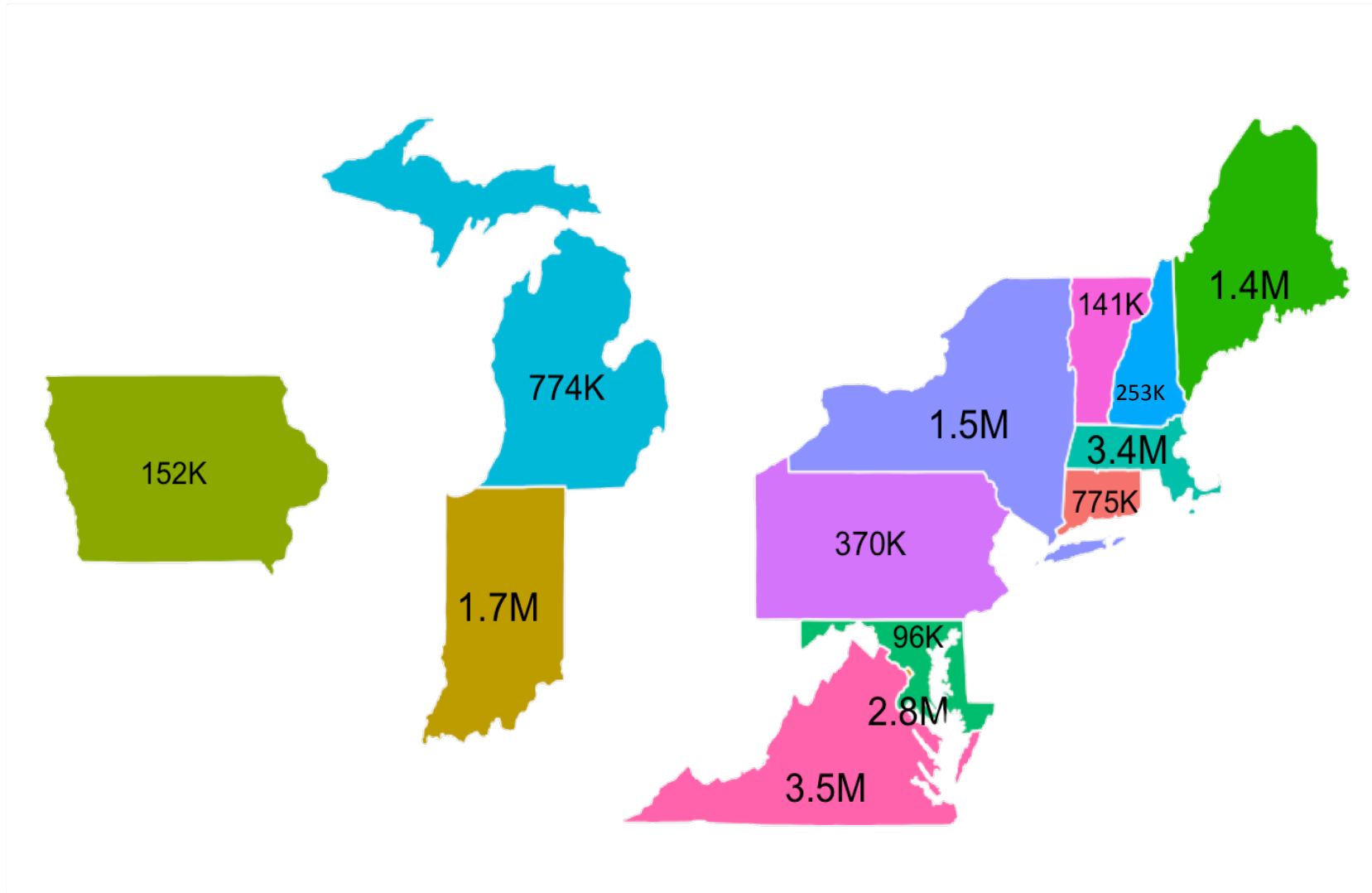
Holdings Committed for Retention



Shared Print Retentions by Group



U.S. Shared Print Retentions by State



Canadian Shared Print Retentions

376K

356K

Canada

206K

208K

340K

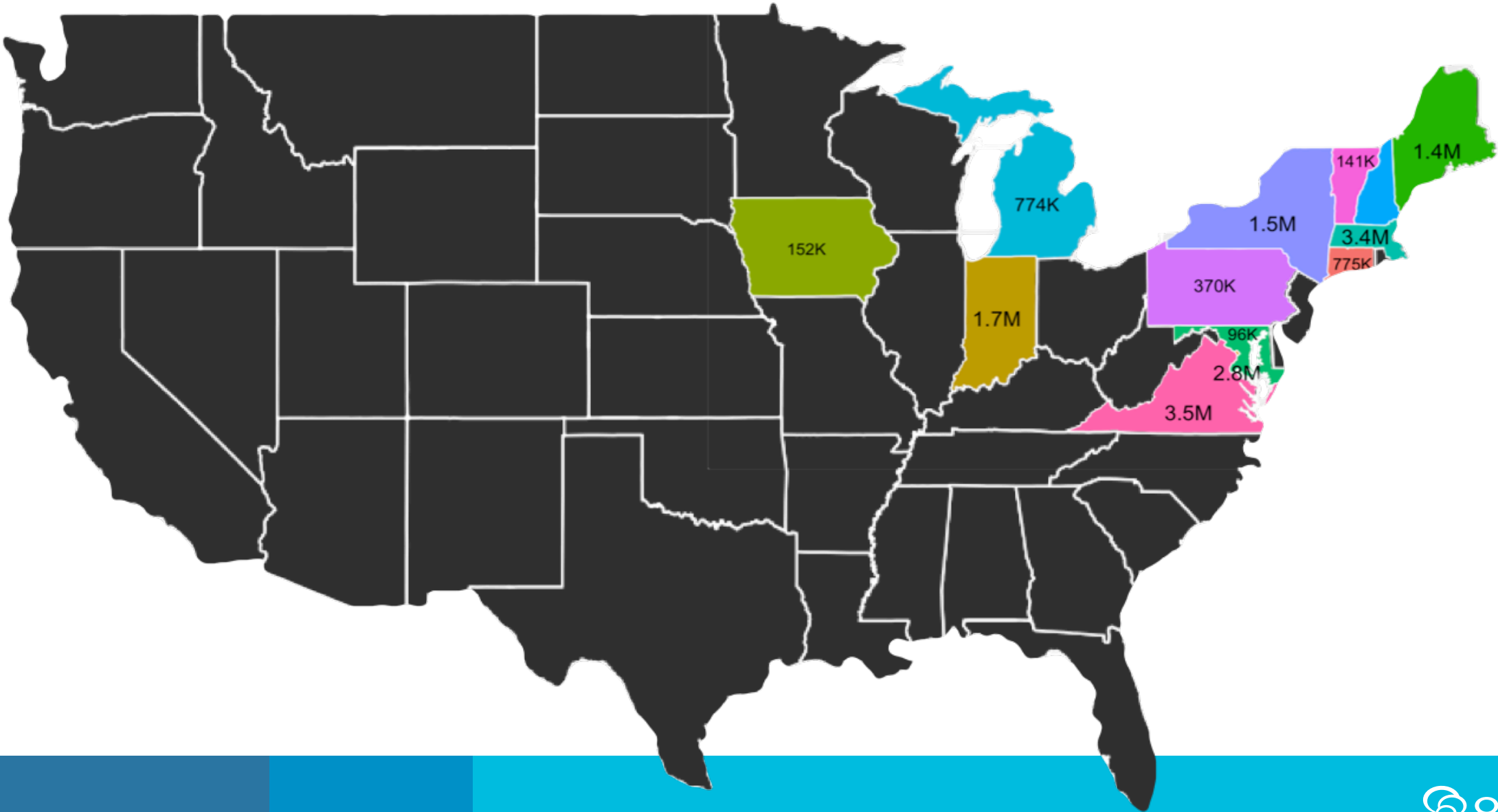
Hudson
Bay

Davis Strait

Labrador Sea

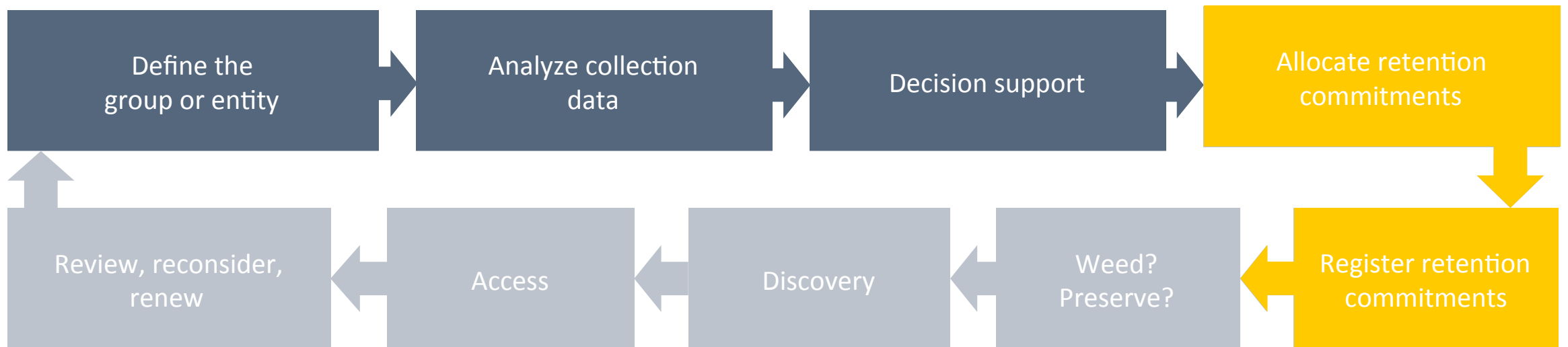
Labrador Bay

Which States Will be Next?



SHARED PRINT LIFECYCLE

SHARED PRINT REGISTRATION



Batch Registration of Retention Commitments

- Imminent release at OCLC
 - Software development underway
 - Pilot groups in May/June 2017
 - Fully available Summer/Fall 2017
- Goals:
 - make the committed collective collection visible
 - Improve subsequent rounds of analysis
 - Operationalize the collective collection via discovery & resource sharing

Thank You!



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<https://www.oclc.org/en/sustainable-collections.html>



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Institution ID	Institution Name	In Scope Title-Holdings	Allocated Title-Holdings	% of in-scope title-holdings allocated for retention	In-Scope Items	Allocated Items	% of in-scope items allocated for retention	Notes
4907	Amherst College	606,537	177,820	29.3%	694,324	196,095	28.2%	
4908	Boston College	1,045,648	308,552	29.5%	1,178,565	336,676	28.6%	
4909	Boston University	632,331	185,245	29.3%	760,726	208,602	27.4%	
4910	Brandeis University	789,877	241,060	30.5%	863,762	261,749	30.3%	
4911	Bridgewater	224,720	65,938	29.3%	240,017	68,588	28.6%	
4912	Bryn Mawr College	457,798	139,176	30.4%	520,494	153,896	29.6%	
4913	Colby	153,361	44,811	29.2%	161,995	46,446	28.7%	
4914	Connecticut College	380,220	111,702	29.4%	416,293	119,745	28.8%	
4915	Elms College	50,299	15,051	29.9%	54,443	16,291	29.9%	
4916	Fairfield University	264,153	78,569	29.7%	282,981	81,995	29.0%	
4917	Hampshire College	112,608	33,625	29.9%	120,824	34,781	28.8%	
4920	Lafayette College	342,882	104,076	30.4%	369,269	107,300	29.1%	
4921	Middlebury College	477,782	141,171	29.5%	534,145	150,273	28.1%	Locations "mdr" and "mds" omitted.
4922	Mount Holyoke College	518,950	154,906	29.8%	583,599	165,576	28.4%	
4923	Phillips Exeter Academy	109,165	32,772	30.0%	117,077	33,776	28.8%	
4924	Saint Anselm College	161,599	49,204	30.4%	176,764	52,130	29.5%	
4925	Siena College	239,389	72,114	30.1%	259,680	75,809	29.2%	
4926	Smith College	771,872	229,416	29.7%	874,547	255,766	29.2%	
4927	Swarthmore College	417,332	127,323	30.5%	464,360	136,691	29.4%	
4928	Trinity College	400,087	119,370	29.8%	444,193	126,297	28.4%	
4929	Tufts University	649,526	195,551	30.1%	735,422	213,269	29.0%	
4930	UConn	912,776	267,620	29.3%	1,080,730	293,713	27.2%	Locations "'tn stx" and "tn stxf" omitted.
4934	UMass Amherst	1,397,202	1,251,696	89.6%	1,549,614	1,329,076	85.8%	Retention target is 90% of in-scope titles.
4935	UMass Boston	350,106	102,242	29.2%	402,952	111,478	27.7%	
4936	UMass Dartmouth	159,707	46,675	29.2%	172,809	48,767	28.2%	
4937	UMass Lowell	206,805	62,687	30.3%	223,939	66,498	29.7%	
4938	UNH	577,303	171,625	29.7%	631,866	182,054	28.8%	
4939	Rochester	1,181,051	348,253	29.5%	1,327,829	382,826	28.8%	
4940	Wellesley College	513,720	150,611	29.3%	584,977	163,095	27.9%	
4941	Wesleyan University	718,335	211,102	29.4%	780,308	221,736	28.4%	
4942	Williams College	520,939	154,750	29.7%	570,743	162,528	28.5%	
4943	Yeshiva University	281,093	166,331	59.2%	369,215	209,167	56.7%	Retention target is 60% of in-scope titles.
4944	Skidmore	264,185	78,370	29.7%	282,247	81,321	28.8%	
5033	Five Colleges, Incorporated	47,275	43,336	91.7%	61,620	50,090	81.3%	Retention target is 100% of in-scope titles.
5743	Loyola Notre Dame	320,768	96,046	29.9%	347,492	101,051	29.1%	
	Totals	16,257,401	5,778,796	35.5%	18,239,821	6,245,151	34.2%	