ASSOCIATION OF SOUTHEASTERN RESEARCH LIBRARIES

COLLABORATIVE FEDERAL DEPOSITORY LIBRARY PROGRAM
UPDATE – June 2014

Highlights –
• 37 of ASERL’s 38 members are FDLP libraries; 12 Regional Depositories in 10 states
• 36 Centers of Excellence libraries in the region, 27 of which are Selective Depositories, 5 are non-ASERL members
• There are two cabinet-level agency adopted as Centers of Excellence (COE)
• 224 SuDoc classifications have been adopted as COEs
• Eleven agencies have been adopted by a second COE
• Additional COEs are needed. Approximately 242 SuDoc classifications have yet to be claimed.

A current listing of COEs and a list of agencies yet to be adopted are maintained on the ASERL website at http://www.aserl.org/programs/gov-doc.

PARTICIPATING LIBRARIES IN THE ASERL REGION
1. Auburn University 
2. Clemson University 
3. College of William & Mary 
4. Duke University 
5. East Carolina University 
6. East Tennessee State University 
7. Florida State University 
8. George Mason University 
9. Georgia Institute of Technology 
10. Georgia State University 
11. Library of Virginia 
12. Louisiana State University 
13. Louisiana Tech 
14. Mississippi State University 
15. Northern Kentucky University 
16. Tennessee State Library & Archives 
17. University of Alabama 
18. University of Central Florida 
19. University of Florida 
20. University of Florida – Levin College of Law 
21. University of Kentucky 
22. University of Memphis 
23. University of Miami 
24. University of Mississippi 
25. University of North Carolina, Chapel Hill 
26. University of North Carolina, Charlotte 
27. University of North Carolina, Greensboro 
28. University of South Carolina 
29. University of South Florida 
30. University of Tennessee – Knoxville 
31. University of Virginia 
32. Vanderbilt University 
33. Virginia Commonwealth University 
34. Virginia Polytechnic Institute & State University 
35. Wake Forest University 
36. Western Kentucky University
**Disposition Database:**
11 Service Areas represented: Alabama, (Florida, Puerto Rico, Virgin Islands), Georgia, Kentucky, Louisiana, Mississippi, North Carolina, South Carolina, Tennessee, Virginia, (Maryland, District of Columbia and Delaware)

Registered Depositories:

<table>
<thead>
<tr>
<th></th>
<th>Registered Depositories</th>
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<tbody>
<tr>
<td>Alabama</td>
<td>16 of 22 (73%)</td>
</tr>
<tr>
<td>DC</td>
<td>4 of 34 (12%)</td>
</tr>
<tr>
<td>Delaware</td>
<td>4 of 5 (80%)</td>
</tr>
<tr>
<td>Florida</td>
<td>29 of 34 (85%)</td>
</tr>
<tr>
<td>Georgia</td>
<td>4 of 23 (17%)</td>
</tr>
<tr>
<td>Kentucky</td>
<td>19 of 20 (95%)</td>
</tr>
<tr>
<td>Louisiana</td>
<td>18 of 27 (67%)</td>
</tr>
<tr>
<td>Maryland</td>
<td>14 of 23 (61%)</td>
</tr>
<tr>
<td>Mississippi</td>
<td>7 of 11 (64%)</td>
</tr>
<tr>
<td>North Carolina</td>
<td>23 of 33 (70%)</td>
</tr>
<tr>
<td>Puerto Rico</td>
<td>3 of 5 (60%)</td>
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<tr>
<td>South Carolina</td>
<td>15 of 20 (75%)</td>
</tr>
<tr>
<td>Tennessee</td>
<td>16 of 21 (76%)</td>
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<tr>
<td>Virginia</td>
<td>23 of 34 (68%)</td>
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<tr>
<td>Virgin Islands</td>
<td>0 of 2 (0%)</td>
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</tbody>
</table>

In FY 2013, 227,245 documents were posted to the ASERL Disposition Database for “adoption” by other FDLP libraries. Nearly 10,000 documents were claimed during the year. Of those, 3,537 documents were claimed for use in Center of Excellence collections; the others were claimed for other (non-COE) parts of local FDLP collections within scope.
Scholars Trust represents the shared print journal archives of the Association of Southeastern Research Libraries (ASERL) and the Washington Research Library Consortium (WRLC). The combined title list exceeds 8,000 journal titles and more than 300,000 volumes, making the Scholars Trust archive one of the largest print journal repositories in the United States.

Additionally, WRLC and ASERL libraries have agreed to extend reciprocal priority Inter-Library Loan (ILL) services across the group. WRLC partner libraries operate under a Shared Copy Policy for journals transferred to the WRLC Shared Collections Facility. This means in effect that any given journal run may be made up of copies from multiple depositing libraries; the shared copy is the first copy of the specific volume deposited.

www.scholarstrust.org | www.scholarstrust.us

Participating ASERL libraries and the number of titles contributed (just over 4700 titles/232,500 volumes):

<table>
<thead>
<tr>
<th>Auburn University</th>
<th>North Carolina State University</th>
<th>University of North Carolina, Greensboro</th>
</tr>
</thead>
<tbody>
<tr>
<td>Clemson University</td>
<td>Tulane University</td>
<td>University of South Carolina</td>
</tr>
<tr>
<td>College of William &amp; Mary</td>
<td>University of Alabama</td>
<td>University of Tennessee</td>
</tr>
<tr>
<td>Duke University</td>
<td>University of Florida</td>
<td>University of Virginia</td>
</tr>
<tr>
<td>East Carolina University</td>
<td>University of Kentucky</td>
<td>Virginia Commonwealth University</td>
</tr>
<tr>
<td>Emory University</td>
<td>University of Louisville</td>
<td>University of Memphis</td>
</tr>
<tr>
<td>Georgia Institute of Technology</td>
<td>University of Mississippi</td>
<td>Virginia Polytechnic Institute &amp; State University</td>
</tr>
<tr>
<td>Louisiana State University</td>
<td>University of North</td>
<td>Carolina, Chapel Hill</td>
</tr>
<tr>
<td>Mississippi State</td>
<td></td>
<td>Wake Forest University</td>
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</tbody>
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Program Highlights -

- **The Western Regional Storage Trust (WEST)** has expressed interest in using the Journal Retention and Needs List (JRNL) software. A Memorandum of Understanding between WEST, ASERL and the University of Florida is currently in draft.

The JRNL gap-filler software is housed at the University of Florida - for more information regarding JRNL, a recording of the webinar - “Managing your J-Retain Titles in Journal Retention...
and Needs List (JRNL) Software” from October 18, 2013 is available on the ASERL website at www.aserl.org/archive. A Libguide is also available at http://guides.uflib.ufl.edu/JRNL.

- **The Washington Research Library Consortium (WRLC)** reports to having completed processing approximately half of their holdings information for import into JRNL and will soon be adding these records, with the remainder being imported by fall.

- **JRNL Oversight Committee** – Representatives from each participating consortium in JRNL meet monthly to guide the development of and participation in JRNL. Current topics under discussion include incorporating LC Class headings into JRNL records/search options and a process for handling titles that do not have an ISSN assigned (the ISSN is currently a required element in JRNL). The recommended change would allow the OCLC number to serve as the identifying element in the absence of an ISSN.

- **A publicly-accessible list of titles** retained under this agreement is maintained on the ASERL website so others can easily access the information. http://www.aserl.org/programs/j-retain/.

- **“Show and tell” Webinars** – a series of Show and Tell webinars help participating libraries learn more about the collections/facilities of their colleagues in Scholars Trust. The next session will feature the University of North Carolina – Chapel Hill and the University of Virginia. Date TBD.

**Focused retention initiatives –**

- **Reciprocal Reference Services Pilot** – This pilot seeks to identify a core collection of print reference materials and to provide expert reference services for these collections. The pilot is a focused extension to the print retention program - an attempt to determine if the program can expand from a material focus to one of service expertise. Approximately 10 institutions are currently participating in the pilot.

- **Agriculture Journals** – Land Grant Institutions. This project currently includes approximately 144 titles, with 5,450 volumes. The program is showing slow progress and struggling to gain broad support.

- **Other well-described (and space-consuming) sets** – a list of approximately 44 titles have been identified for retention by six of the participating ASERL institutions. Representative titles include Chem Abs, Thomas Register, NUC, and NYT Index.

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Update on Committee on Institutional Cooperation’s Shared Print Repository (CIC-SPR)

June 2014

The CIC-SPR is a centralized print repository serving fifteen member institutions. A program of the Committee on Institutional Cooperation's Center for Library Initiatives, the CIC-SPR is committed to providing print access to a shared collection of journal backfile volumes. The first phase of this initiative is now underway, with plans for securing some 250,000 volumes over five years.

The CIC-SPR stores collocated, shared print volumes supplied by member libraries in a centralized storage facility. The collection includes a single print copy of widely held, seldom-used print volumes, with access assured to CIC members and their campus affiliates. Libraries retain ownership of all items supplied to the joint collection, ensuring long-term stability and collaboration. More information, including policies and recent updates, can be found at www.cic.net/projects/library/shared-print-repository/.

Recent Activities

- To date some 94,000 journal backfile volumes are secured in the high-density storage facility at Indiana University. In the past year the Ohio State and University of Michigan libraries have also sent selected holdings to Indiana for retention in the storage program.
- Current collection development focuses on print volumes of widely held, digitally available science journals—primarily Elsevier, Wiley, and Springer to date.
- The Collections Working Group has evaluated potential additional bodies of retainable content from the publications of major science publishers, large societies’ publications, and, with the survey input of participating libraries, non-journal abstract and index content.
- Participating libraries have extracted holdings records for use in collection development analysis. CIC staff are working with CRL to conduct a pilot test of the PAPR Collection Analysis System for multi-institutional collection analysis.
- The OCLC symbol “IULSP” is used to denote holdings in this location.

For more information please contact Rebecca Crist at rcrist@staff.cic.net

or visit the project website, www.cic.net/cli
June 20, 2014

Florida Academic Repository (FLARE) Print Archiving Network (PAN) Update

The Florida Academic Repository (FLARE) is the statewide shared collection of low use print materials from academic libraries in Florida. By establishing this centrally housed collection, the Council of State University Libraries (CSUL) provides new options for sharing the costs and effort of long term retention of low use library materials. Under the FLARE memorandum of understanding, the materials designated under this agreement will be retained and made available as long as the need for them exists, thereby allowing participants to consider withdrawing duplicates of these items from their campus collections and to rely with confidence on access to the centrally retained copies. Eventually FLARE will be housed in an environmentally controlled, carefully inventoried and secure high density facility (HDF) located in Gainesville, operated by the George A. Smathers Libraries at the University of Florida (UF) on behalf of the participating libraries. Until construction is complete, FLARE will be housed in a leased Interim Library Facility (ILF) and in the UF Libraries Auxiliary Library Facility (ALF), both of which support appropriate environmental and security conditions. In addition to the libraries in the 12 State Universities and the University of Miami, who are already participating in FLARE, other libraries of the Independent Colleges and Universities of Florida (ICUF) and the Florida College System (FCS) are eligible to participate.

FLARE News & Activities:

- The State University System of Florida Board of Governors (BOG) approved a request for $20.4M for FY 2014-2015 and $3M for FY 2015-2016 for a total of $23.4M for the Joint-Use Library Storage Facility
  - The Legislative Appropriations Committees reported out $9.7 million, but in the last minutes of the session, the funding was dropped from the bill
  - We are already working with the BOG staff to obtain funding for the next fiscal year
- New webpage for FLARE: http://library.ufl.edu/flare/
- New HDF-style shelving (12’ height vs. full 35’ height) purchased and installed at ILF
  - Increases capacity in that building to 1.1 million volumes
- UF transferred 154,000 pre-1990 serial volumes from the Science Library to ILF
- FLARE received 103,000 volumes from the University of Central Florida (first large transfer from a State University Library)
- UF transferred all remaining Government Documents from the campus to storage
  - 640,000 items transferred with a commitment to catalog (~240,000 cataloged)
  - Integrating with 350,000 documents already in storage (~150,000 cataloged)
Cataloging and ingest into FLARE continues

- Policies and procedures updated to ensure continued public access to those materials
  - Policy Approved for all Selective Depository Libraries in Florida, Puerto Rico and the U.S. Virgin Islands and all academic libraries in Florida to submit “Last Copy of a Government Document in the Region” to FLARE

- Processing of the U. Miami/FLARE collection
  - 100% of the collection is processed with holdings records verified (151,262 volumes)
  - Traying continues with some delays because of ILF renovations, with estimated completion in October 2014

- FLARE collection operational and processing ILL and other loan requests
  - Currently 592,075 items (386,176 titles)
  - All FLARE records (including holdings) viewable in MANGO, the SUS the union catalog ([http://union.discover.flvc.org/ux.jsp](http://union.discover.flvc.org/ux.jsp))

- New OCLC symbol (FLARE) activated
  - Bibliographic records uploaded monthly to OCLC
  - Local Holdings not yet uploaded
    - Automated report under development for transferring records to OCLC, with anticipated availability in July 2014
  - Items are viewable under FLARE symbol in WorldCat but not yet requestable (currently lower case), with request functionality for some items expected by early fall 2014

- Journal Retention and Needs Listing (JRNL) software ([http://guides.uflib.ufl.edu/JRNL](http://guides.uflib.ufl.edu/JRNL))
  - Currently, 3,811 journal titles are loaded in JRNL, representing FLARE, ASERL and WRLC holdings.
  - MOU for the Western Regional Storage Trust (WEST) to join FLARE, ASERL and WRLC in the use of JRNL is close to approval
    - UF will continue to host JRNL and WEST participants will add their titles and identify needed volumes
  - JRNL Oversight Committee established for making recommendations about additional features (UF, UCF, Miami, Georgia Tech, Auburn, WRLC, ASERL)
    - Committee membership will change with addition of WEST but will continue to include reps from Florida (UCF, Miami) and ASERL (Georgia Tech and Auburn)

- Full text of policies addressing collection materials and environment, physical and intellectual access, and operating cost assessments is available at [http://csul.net/node/774](http://csul.net/node/774).

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Maine Shared Collections Strategy (MSCS) have completed their collection analysis activities. The following are the total commitments made by MSCS libraries for both monograph and serial titles:

- Bangor Public: 159,253
- Bates: 183,639
- Bowdoin: 217,431
- Colby: 265,246
- Maine State Library: 62,025
- Portland Public Library: 95,520
- University of Maine: 311,382
- University of Southern Maine: 126,624
- **Total:** 1,431,120

Modifying retention commitments
Despite all best efforts to make retention decisions at scale, sometimes there will be issues with individual items. For example, when looking at lost or damaged items that have been committed to retain, libraries have balked at replacing some common titles (especially in that specific edition). To address ongoing issues we have developed a policy and procedure for situations when libraries identify on a limited title-by-title basis (i.e., not in large batches) titles which should have their retention commitment removed or transferred to another library. This is where trust in the professional discretion of each other’s staff is going to be essential because in our case the policy and procedure don’t include a peer review. This policy and procedure are amongst a number of documents we have produced to assist libraries with a range of processes post-grant.

Preserving committed to retain titles
Having made commitments to retain titles we looked at categories of committed to retain titles that could be digitized, both as preservation method and as a way to make items more widely accessible. We took into consideration the following factors when deciding which titles to digitize:

- Copyright status
- Likely demand for digital access
- Existing digital availability
- Rarity of material
- Existing digitization priorities
- Availability of scanning equipment

MSCS decided to focus potential scanning efforts on public domain titles not already digitized in the HathiTrust. MSCS libraries were provided with lists of titles that met these criteria and so far, the Maine State Library and Bangor Public Library are using their lists to identify digitization candidates. The Maine State Library has decided to...
start digitizing town histories and have identified nearly 100 titles. The other libraries did not have the resources to carry out this digitization work at this time.

We also considered whether there were categories of items that should be transferred from circulating areas to special collections. We decided to focus efforts on ‘rare’ titles, defined as those titles where the specific edition is held in nine or fewer libraries in the U.S. (according to OCLC). MSCS libraries were provided with lists of titles that met this criterion and used the following factors to decide whether an item should be transferred:

- Collection priorities of special collections
- Available space in special collections
- Existing copies available in special collections
- Available staff time to carry out transfer
- MSCS policy of ensuring all special collections/archives copies and at least one accompanying circulating copy are retained

So far the University of Maine and Maine State Library are the only two libraries that have identified items to transfer, and the numbers involved are small—only 11 items for the University of Maine.

**Documenting retention commitments**

In June 2014, the MSCS systems librarian Sara Amato completed the loading of 1.4 million items into the local systems of partner libraries in the MARC fields 561, 583, and 852. The retention message “MSCC” also now displays in the OPACs of all partner library systems (see example from new shared Colby, Bates and Bowdoin catalog [http://cbbcat.net/record=b3152728~S19](http://cbbcat.net/record=b3152728~S19)).

In March 2014, after a wait of 90 plus days, OCLC began processing our request for loading retention commitment into Local Holding Records for the items designated as shared print, which means that MSCS became the first shared print project to have retention commitments for monograph titles disclosed in OCLC (see public display example using OCLC Shared Print Symbol [http://www.worldcat.org/title/allen-hex-socket-screw-handbook/oclc/13506959](http://www.worldcat.org/title/allen-hex-socket-screw-handbook/oclc/13506959)). Since this initial delay, OCLC have moved quickly in processing our batch loading requests (1-2 weeks) and as such we are extremely close to having all 1.4 million commitments loaded into OCLC.

MSCS have encountered issues with the display and transfer of 583 to the INN-Reach central union catalog, MaineCat. As a short-term work-around, MSCS are using the OCLC WorldCat Search API to perform a check of OCLC and display when an item is a shared print holding, which meant that once the commitments started to appear in WorldCat they automatically appeared in MaineCat (see example [http://mainecat.maine.edu/record=b1156722~S0](http://mainecat.maine.edu/record=b1156722~S0)). MSCS representatives have continued to communicate with Innovative Information Solutions our requirements for the 583 field. We have been informed by Innovative that as part of the enhancements in their next software release of Inn-Reach (due later this year) there will be support for loading of 583 retention fields from the local system into the union catalog and display within the OPAC.

In May 2014, MSCS began submitting to the Center for Research Libraries (CRL) holdings information for committed to retain journals and serials for adding to the Print Archives Preservation Registry (PAPR).

**De-accessioning based on retention decisions**

So far only Bowdoin have de-accessioned selected titles that were not allocated a commitment to retain (approximately 60 items). Of the other MSCS libraries only the Maine State Library and Bates have reported that they are actively investigating de-accessioning opportunities.
Print-On-Demand (POD) service
MSCS tested the Print-On-Demand service from January to April to evaluate the demand for it and develop an ongoing business model. During the testing period there was no fee for the service, as costs were covered by allocated grant funds.

The volume of requests received and feedback from requesters showed there is a demand for the service (see: http://www.maineinfonet.net/mscs/wp-content/uploads/May-2014-Update-Report.pdf for results of test period). MSCS are currently investigating partnering with the University of Maine Bookstore to administer the service on a cost recovery basis which we hope will ensure it can be sustainable.

Business model and sustainability
MSCS have been debating different business model ideas and potential services for the post-grant period of the Maine Shared Collections Cooperative (MSCC). The University of Maine are investigating options that could support continuation of post-grant MSCC activities and the MSCC program manager.

In order to fully reach our goal of preserving the critical print collection in Maine, we need to attract new members. In an effort to find out more about libraries’ interest in cooperative collection management in March we sent out a survey to the directors of 326 public and academic libraries in Maine. From the results there did appear to be interest in potential MSCS elements with collection analysis as libraries main interest for joining. The full results of the survey can be found here: http://www.maineinfonet.org/mscs/cooperative-collection-management-survey-results/.

MSCS have been discussing with Sara Amato (MSCS systems librarian) the possibility of adapting a database she created to run queries on MSCS collection data developing into an in-house collection analysis tool. This probably would not involve going into the level of detail MSCS conducted during the grant period, but could allow libraries to identify overlap with current MSCC members.

MSCS have agreed to partner with the Edythe L. Dyer Community Library in Hampden, Maine to show how MSCC can be of benefit to smaller libraries. We will conduct some limited collection analysis with Edythe L. Dyer and present the results at a Maine library event in October 2014.

Shared print user’s manual
MSCS have produced a manual (see http://www.maineinfonet.org/mscs/wp-content/uploads/Teaching-document-Version-1_0.pdf) on shared print with advice to others about the issues we have experienced during our project.

ALA Annual session
We have been working with the CRL and Bob Kieft on the organization of the shared print pre-conference session “Looking to the Future of Shared Print” which will be held on Friday June 27th at the 2014 ALA Annual Conference in Las Vegas, NV. The agenda was developed with MSCS’s experiences in mind and features an interesting range of speakers (see http://www.maineinfonet.net/mscs/ala2014/).
OhioLINK Print Archiving Report

The Ohio Library and Information Network (OhioLINK) is a consortium of 90 academic institutions and the State Library of Ohio. Part of OhioLINK’s responsibilities is overseeing five regional depositories that support the print and media archiving of the collections of our 13 state supported universities. Three of these five depositories are shared facilities among multiple universities while two are supporting just a single university.

The directors of the 13 state supported universities make up the Regional Depositories Governing Council. This council serves as an oversight body of the five depositories and sets policies and approves guidelines for preserving print and media collections. The depositories are involved in an ongoing de-duplication effort to reduce the amount of duplication among the serial collections in the depositories. This includes participating in OCLC’s Shared Print Management Program as part of the de-duplication project. These efforts are discussed below.

De-Duplication Efforts in OhioLINK

OhioLINK completed two pilot projects in which we have honed our procedures and established guidelines and standards for de-duplicating serial titles in the five depositories. During that time we also created a shared catalog system that represents the holdings of two of shared depositories and one library of the third shared depository.

Since we maintain a full electronic back file of Elsevier titles, it was decided by the Regional Depositories Governing Council that we would de-duplicate four of the five depositories of their Elsevier titles. The fifth depository is maintained by Ohio State University which is participating in the CIC de-duplication project for Elsevier and thus is not participating in the OhioLINK project. Guidelines for de-duplication were established by the Regional Depositories Governing Council.

https://www.ohiolink.edu/files/documents/DeduplicationAgreement.pdf
Chief among these guidelines was the recommendation to keep only one print copy among the four depositories of each Elsevier title.

To gain more space more quickly, it was decided to focus first on the Elsevier titles with the most duplicate volumes held in the depositories. Searches were performed against the OhioLINK Library Catalog and the Ohio Depository library catalog to determine these titles. De-duplication procedures which had been honed with the first two pilot projects were further refined as we started the project.

Each Elsevier title is added to a Google Doc spreadsheet indicating the volumes held by each depository. A “keeper” run is identified as the being the run that is the most complete. This run may be held in a single depository or may occur across multiple depositories. Once the keeper run is identified, the depository staff pull each volume off the shelf and verify completeness. Once completeness is verified, the volumes are coded to reflect that this title has been de-duped and volumes are the keeper copies. This information is reflected in OhioLINK’s central Library Catalog. Once the keeper run has been correctly coded, then depository staff are free to withdraw the non-keeper copies from their stacks.

So far, 93 titles have been de-duped resulting in 5,454 linear feet being freed in the four depositories.

**OCLC Shared Print Management Program Participation**

As noted, the OhioLINK Regional Depositories Governing Council elected to start participating in the OCLC Shared Print Management Program beginning with the de-duplication of the Elsevier titles. As we identify keeper copies and code the titles, we are entering a retention statement in the 583 field of the Local Holding Record (LHR). This retention statement indicates OhioLINK’s intent to maintain a print copy of this Elsevier title until June 30, 2036. Once these LHRs are coded, OhioLINK will batch load these records into OCLC for record keeping.

**Print Management Position**

OhioLINK is currently recruiting for a Manager of Shared Resources and Print Policy whose principle duty will be working with the five regional depositories on print management issues. If you are interested in this position it is posted here: [https://www.jobsatosu.com/postings/54713](https://www.jobsatosu.com/postings/54713)
Questions?

If you have questions or comments concerning this report, please contact Anita Cook, anita@ohiolink.edu, 614-485-6753.
Update on PALNI / ALI Shared Print Project (Indiana)
June 2014

The Private Academic Libraries Network of Indiana (PALNI) and the Academic Libraries of Indiana (ALI) embarked on a Shared Print Project in October 2013. PALNI contracted with Sustainable Collection Services (SCS) to study the circulating, print monograph holdings of 36 participating libraries.

Shared Print Project Objectives:
- Provide participating libraries an opportunity to weed with minimal impact on users in an effort to reclaim space.
- Evolve a statewide strategy for print book collections.
- Inform and influence ongoing collection development.
- Identify unique or scarcely-held titles for retention and preservation.

Actions Taken:
- Project Coordinator hired.
- E-mail lists established for communication.
- Representative Policy Group formed and convened.
- Data questionnaires completed.
- Comparator groups established.
- Data submitted to SCS.
- Data analysis completed by SCS.

Policy Group Actions:
- Rather than formal retention agreements, the Policy Group established an informal agreement that participants will not weed any items classified as “scarcely-held” at this time.
- The criteria for the scarcely-held threshold were recently established.

SCS is currently loading individual library data into GreenGlass, their online collection analysis tool, and generating lists of unique and scarcely-held items. A participant meeting is planned for July 8, where SCS will provide an overview of the data and GreenGlass training. At that point, the participating libraries will be free to act upon their withdrawal candidates and unique / scarcely-held items as they see fit.

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PALCI Print Archiving Network Report
June, 2014

PALCI is a consortium of nearly 70 academic and research libraries in Pennsylvania, New Jersey, West Virginia, and New York, together serving over 800,000 students, faculty, and staff, with a collective collection of over 144 million items. Through collaboration, technology, and professional engagement, PALCI members support active programs in resource sharing, cooperative purchasing, and collaborative collection management, including a long-standing program that supports distributed print archiving.

PALCI Recent Activities

1. PALCI continues to support its initial distributed print serials archive (including ACS, AIP, and APS print journals), which commenced in 2009 and is scheduled for a midpoint review at the end of 2014.

2. PALCI has finalized our group of archive holders for print journals from the American Psychological Association (APA). Formal agreements are in process.

3. PALCI has recently updated its agreement/MOU for ongoing retention of print archives to enable the addition of new collections of journals as well as other formats. We have also shifted to a light-only archive program.

4. During the last several months, PALCI has re-engineered and enlarged its member committee structure to move forward with the PALCI distributed print archive program. We recently held our first Steering Committee meeting and will be finalizing this new structure over the summer.

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Goals of the Feasibility Study

SCELC's strategic plan adopted in 2012 calls for the consortium “to make concerted efforts to develop shared print programs that provide for preservation of a reasonable number of copies within defined networks, as well as mechanisms for identifying unique copies, prevalent copies, and processes to share books among member libraries.” In the spring of 2013, John McDonald (then Claremont, now USC) and others drew up a prospectus for a shared print feasibility study (FS) that included the following set of goals:

- Understand SCELC members’ plans and readiness to participate in a shared print agreement, including interest in potential partnerships with other systems
- Study the composition and use of SCELC member print collections
- Develop proposals for addressing long-term sustainability of a program, including business models to fund administrative and operational costs and the framework for such official program documents as MOUs, SLAs, or other legal agreements
- Identify corollary studies that may be performed to support the potential SCELC Shared Print Program. Specific suggestions that were developed during later discussions include:
  - Understand user behaviors with respect to print and electronic books
  - Analyze costs of performing condition surveys for circulating materials

Planning Steps

Between June and October 2013, SCELC initiated several planning steps including the formation of a Shared Print Working Group (WG). The WG and SCELC Executive Director Rick Burke developed a two-phase approach to the proposed feasibility study that was approved by the SCELC Board in October 2013. In Phase 1 (October 2013 – February 2014), the WG, with the advice of consultant Lizanne Payne, finalized the components and timetable for the study, conducted a member survey, and prepared recommendations for Phase 2 planning. The Board approved Phase 1 work at their February 2014 meeting and the funding, scope, and timeline for a Phase 2 that would run from March 2014 to October 2014.

A significant goal of Phase 1 was to gather information from SCELC members and other libraries in the region to identify their readiness and goals for a shared print program. In fall 2013, the WG developed a survey instrument that was tested by SCELC Board members. The final survey was distributed to SCELC members in January; the libraries of Stanford University, the University of California system, and the California State University systems also
participated. The survey was designed to gather information about 1) library identification and demographics, 2) library print collection size and plans, 3) consortium and shared print planning, and 4) shared print goals.

Activities

Based on survey results and on the other aspects of their work, the WG recommended the following set of activities and timetable for Phase 2 (March-October 2014):

1. Collection analysis
   - Identify initial participants (March 2014). Based on the survey results and related conversations with members, the WG identified eight-ten libraries as participants in the initial pilot collection analysis.
   - Issue RFI to gather information about the cost and processes required to analyze collections for these pilot libraries (April 2014).
   - Select a collection analysis provider and finalize cost and schedule (May 2014).
   - Conduct the initial collection analysis (summer 2014) to identify the initial set of materials to be incorporated into the shared collection and propose holders from the original cohort to retain materials.

   Based on the RFI results, SCELC is in the final stages of negotiation with one of the vendors as of this writing. The current plan is to complete the collection analysis in the fall, and the feasibility study as a whole will conclude in February 2015 rather than October 2014.

2. Shared print program framework.

   The libraries participating in the initial collection analysis and a few others, together with SCELC staff, began in mid-June to develop frameworks and alternative scenarios for operations, policies, governance, and long-term sustainability of a shared print agreement based on a decision template created by consultant Lizanne Payne. These frameworks will serve as the basis for a future MOU among participants. The work of this policy and governance group will continue through the end of the calendar year in parallel with and informed by the collection analysis work.

3. Perform a condition assessment as a corollary study

   As a summer leave project, WG member Mike Garabedian (Whittier College) will perform a condition analysis using a sampling method suggested by John McDonald and Jason Price and a data input form he developed based on the literature of condition surveys. Mike will record data that describe the physical condition of books that might end up as shared copies and the
“intellectual" condition of books that might have artifactual value, that is, they exhibit such signs of reader interaction as bookplates, inscriptions, marginalia, insertions, distinctive bindings, etc. He will explore uploading these data about physical and intellectual conditions to a local catalog or WorldCat (OCLC has been consulted on this matter). Having this info in MARC records, and perhaps even photos about “intellectual” condition, would allow shared print partners and scholars to know about the characteristics of the volumes in the shared collection. Given that libraries are unlikely to survey for acceptable condition all volumes that might be shared, we hope that a sampling technique will allow us to make and record large-scale declarations of condition based on the probability of the evidence collected in the sample.

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