

Eastern Academic Scholars' Trust Update as of June, 2016

Submitted by Susan Stearns, Project Director, EAST

The Eastern Academic Scholars' Trust is a collaboration of 48 academic and research libraries across the Northeast and extending as far south as Maryland who are developing a regional program to retain scholarly monographs [and eventually serials]. The program is supported by funding from both the Andrew W. Mellon Foundation and the Davis Educational Foundation and was formally launched in July, 2015.

EAST:

- Is a decentralized print retention program with titles stored *in situ* by member libraries. The retention commitment is for 15 years.
- Has a business model that supports both Retention Partners, who participated in the collection analysis and are making formal commitments to retain titles in their local collections, and Supporting Partners, who will provide financial support for EAST but are not willing to commit to retention.
- Members will provide access, via standard inter-library loan services, to retained titles to users at any other EAST member library. While not compulsory, we expect many EAST libraries will enter into reciprocal borrowing arrangements with others in EAST.
- Will develop and evolve a business model for sustainability, including opportunities for additional libraries in the region to join EAST in late FY17 or early FY18.
- Will collaborate with other regional and national shared print initiatives to coordinate work.

Staffing of EAST

In late 2014 the Boston Library Consortium [BLC], many of whose members had joined EAST, agreed to take over as administrative and fiscal agent for EAST. By the fall of 2015 the EAST staff - Anna Perricci, Project Manager; Sara Amato, Data Librarian; Lizanne Payne, Consultant – was in place. In April of 2016, Lizanne resigned to take a full time position at HathiTrust and was replaced by Matthew Revitt of the Maine Shared Collection Cooperative. Susan Stearns, Executive Director of the BLC, is the EAST Project Director.

Governance of EAST

An Executive Committee [EC], elected in the fall of 2015, provides governance and oversight of EAST. The EC includes representatives from public and private schools, from those with large and small collections, as well as librarians already involved in shared print through their local consortia.

Following their election, the EC appointed two working groups:

- A Monographs Working Group was established to help shape the collection analysis scenarios that determine the retention commitments as well as work with the EC to determine policy recommendations to be incorporated into the formal agreements across the membership.

- A Validation Working Group was established to work closely with the EAST team as well as an outside statistical consultant to develop and test a two-part sample based validation study focused on inventory confirmation. These studies are important to ensuring confidence and trust in the retention commitments made across the EAST libraries.

Collection Analysis

By October 31, 2015, the 40 EAST libraries participating in the collection analysis with OCLC Sustainable Collection Services [SCS] had delivered their bibliographic, item and circulation usage information to SCS. In early March of 2016, the full EAST collective database was made available to the EAST members via the GreenGlass online tool and a subgroup of the Monograph Working Group began to use the group features built into GreenGlass to build and evaluate various retention models.

Highlights of the EAST collection data set are:

- ✓ 16,573,071 total title holdings representing 4,749,042 title sets
- ✓ 50% of the titles are held by only ONE library in EAST and 66% by only two
- ✓ Only 20% of the EAST titles are represented in HathiTrust
- ✓ 39% of the EAST titles have no aggregated circulation represented in the data set
- ✓ 68% of EAST titles have fewer than 100 holdings represented in WorldCat.

After three cycles of retention model building with review and feedback from the EAST community, the group recommended the following retention model for EAST:

- EAST will retain ALL titles holding that meet the following criteria as **scarcely held** in the region:
 - Fewer than 5 holdings held within EAST
 - Fewer than 40 holdings as reflected in WorldCat
 - Fewer than 5 holdings held in regional larger academic libraries
 - No holdings within the ConnectNY Retention Partners
 - Publication year prior to 2011
 - Not considered to be “ephemera” [a category of non-scholarly material flagged based on publisher]
- EAST will retain up to 5 holdings of titles that meet the following criteria of **frequently used** titles:
 - Total aggregate uses across the EAST libraries of more than 30
 - Publication year prior to 2011
 - Not considered to be “ephemera” per the above
- EAST will retain **one title holding of any remaining title** in the EAST collective database that does not meet the above criteria, is published prior to 2011 and is not considered “ephemera”. In this way EAST is making a clear commitment to retaining at least one copy of the scholarly content across the EAST Retention Partner libraries.

This retention model was approved by the EAST Executive Committee in its meeting on June 6th. We are now working with SCS to develop individual retention lists for the EAST retention partners who will review them over the summer with the goal of having final commitments in place by the fall of 2016.

Based on this model, EAST will be **committing to retain just over 6,000,000 holdings** representing approximately 36% of the Retention Partners' circulating monograph collections.

Validation Sample Study One

Because of the size and dispersion of the EAST libraries' collections, a complete validation of the libraries' collections was clearly impossible, both in terms of time and money. Working with our statistical consultant and in consultation with the Validation Working Group, the EAST team designed a sample-based validation study across the 40 EAST collection analysis participant libraries that:

- Determines an "availability metric" for each of the libraries
- Provides insight into the condition of titles at the libraries.

Using a random sample of 6,000 titles [determined to be statistically valid assuming at least 90% availability at most libraries with a 1% margin of error] drawn from the SCS data, each library used a data collection tool designed by the EAST Data Librarian to validate the presence of titles on shelf and perform a cursory condition review of titles present. Each library was compensated for this work at a standard rate, paid for through grant funds. This first validation study commenced in February, 2016 and was completed in late April. The aggregated results are:

- 97% of monographs in the sample were accounted for: mean: 97%, median: 97.1%, high of 99.7% and low of 91%. [Note: "accounted for" includes those items previously determined to be in circulation based on an automated check of the libraries' ILS's.]
- 2.3% of titles were in circulation at the time of the study
- 90% of the titles were deemed to be in average or excellent condition with 10% marked as in poor condition.

The Policy subgroup of the Monograph Working Group will be asked to consider the implications of 10% of the volumes being assessed as being in 'poor' condition. The rules regarding repair, replacement or reallocation of titles that are not suitable for lending will be established as part of the operating policies to be developed over the Summer, 2016.

These results demonstrate satisfactory evidence of availability across EAST retention partner libraries and should provide the EAST libraries with useful information as they discussion plans for deselection locally.

Validation Sample Study Two

Building on the learnings of the first sample validation study, EAST will undertake a second phase of validation later in 2016. Details of the second validation study are still to be determined and will be informed by a further analysis of the data collected in the first study by the EAST statistical consultant.

Policy Development

In parallel to development of the EAST retention model and analysis of the results of the validation study, a second subgroup of the Monograph Working Group is developing the policies for EAST. As of May, 2016 this work is ongoing with recommendations to the Executive

Committee on policies covering the following topics:

- Selection of materials
- Ownership
- Location
- Retention
- Validation
- Access
- Fulfillment and delivery
- Deliver Mode
- Operating procedures
- Interlibrary Loan Code
- Disclosure
- Discovery.

This work will be followed by creation of a formal [but lightweight] Memorandum of Understanding which will be approved by the Executive Committee in the fall of 2016 allowing EAST member libraries to execute their MOU's by year's end.