The University of Maine
DigitalCommons@UMaine

Library Staff Publications

Fogler Library

6-27-2014

Shared Print Agreements for Monographs: A User's Manual

Matthew Revitt

MSCS Program Manager; University of Maine, Orono, mathew.revitt@maine.edu

Follow this and additional works at: https://digitalcommons.library.umaine.edu/lib_staffpub

Part of the Collection Development and Management Commons

Repository Citation

Shared Print Agreements for Monographs: A User's Manual

6/27/2014

Matthew Revitt, Maine Shared Collections Strategy Program Manager

Table of Contents

Introduction

In 2010, eight Maine institutions (including Maine's two largest public libraries, Portland and Bangor; the Maine State Library; Maine's largest public universities, University of Maine and University of Southern Maine; three private colleges, Colby, Bates, and Bowdoin; and the statewide consortium Maine InfoNet) received a grant from the Institute of Museum and Library Services (IMLS) National Leadership Demonstration program to create a strategy for the long-term preservation and management of print collections in the state: the Maine Shared Collections Strategy (MSCS).

Libraries in Maine have a decades-long history of cooperation on which to build a shared print agreement. In this sense, MSCS is typical of the evolution of such agreements as consortia take advantage of their years of working together on e-resource purchasing, shared information systems, and resource-sharing programs to manage collections collaboratively. However, the multi-type composition of the Maine group is unusual among shared print programs. Their ambition thus encompassed a vision of a collection held among libraries with different clienteles, missions, service sensibilities, and, perhaps most important, traditions with respect to defining and managing their print holdings.

The MSCS program is one of the first to focus on sharing monograph collections, which offer significant additional challenges compared to shared journal programs. Libraries' identities are often bound up with their monograph collections and there are important differences in collection management between academic and public libraries with respect to monographs. Moreover, while shared journal programs build on wide availability of digitized titles and reader acceptance of digitized, desktop-deliverable articles, shared monograph programs need to support access to a physical copy for a much higher percentage of the shared collection. MSCS's incorporation of print-on-demand delivery and the HathiTrust digital corpus are bold initiatives with which to engage acceptance of scholars and researchers.

From the beginning, MSCS wished to develop a model for collaborative management of print monograph collections. The guide which follows offers advice regarding the issues shared print initiatives must address and the paragraphs in italics describe MSCS's own experience in negotiating those issues. The guide accounts for the decisions MSCS made and the alternatives they decided against. Maine libraries work within a specific geographical and jurisdictional context, a set of possibilities defined by their histories and traditions, and no other project will look quite the same as theirs, but the account provided here of how the partners thought through their options, the groups formed and advice sought to conduct the project, and the generous account of the collection analysis process and data-driven decision making will be useful for other programs.

The MSCS program carefully considered itself and its collections in the developing regional and national shared print contexts. Like most shared print projects, MSCS has sought to protect items scarcely-held among the partners, but they also understand that scarcely-held in Maine may not be scarcely held

elsewhere. In addition to having depended on other projects in conceiving their own, and contributed steadily for the last three years to the national conversation about shared print, MSCS partners are instrumental in the planning for a Northeast Regional Library Print Management Project. By following emerging standards for disclosing print retention commitments, MSCS is helping to lay the foundation for the emergent national shared print environment along with such organizations as OCLC, Committee on Institutional Cooperation, Western Regional Storage Trust, Center for Research Libraries, and HathiTrust, state and regional consortia, and consulting services and vendors. The summary of MSCS's experience and advice offered in this guide is an important moment in the history of shared print agreements. As members of the Advisory Committee, we would like to congratulate MSCS on the conclusion of their project and on presenting the library community with this record of how they reached it. All librarians and readers owe the MSCS project team a hearty round of applause for having fulfilled the leadership purposes of their grant so handsomely.

Bob Kieft, Occidental College
Constance Malpas, OCLC Research
Lizanne Payne, Shared Print Consultant

Shared Print Agreements for Monographs: A User's Manual

The following document is presented in sections which reflect the different ingredients we consider are required for a successful shared print initiative. Each section discusses issues that shared print initiatives should consider and offers advice regarding addressing this issue. Alongside this (in italics) are the Maine Shared Collection Strategy's own experiences in negotiating these issues, including the decisions we made and the alternatives we decided against.

The first section, "Shared Print Objectives", discusses the need for shared print initiatives to determine their objectives, so that everyone involved is pulling in the same direction. Having agreed objectives, the next section, "Membership", describes the process for recruiting libraries to join the initiative. The process of agreeing what materials will be considered as part of the project is covered in the section "Scope". The "Storage Model" section contains examples of shared print storage models and the factors initiatives should consider when deciding which model to implement. The section "Governance Model" provides examples of different committees that can form part of the governance structure of a shared print initiative. The next section, "Project Management", outlines different provisions that need to be in place for a shared print to successfully operate. The likely outlay for a shared print project is discussed in the section "Shared Print Cost Factors".

Finally, the bulk of the information in this document is contained in the section "Shared Print Activities" which details various activities that shared print initiatives will likely undertake; from analyzing their member's collections, to documenting and disclosing retention commitments in catalog, and making modifications to those commitments. Other activities discussed are: validation and condition checking, steps that could be taken to preserve committed to retain items, and the development of E-book-On-Demand and Print-On-Demand service models.

1. Shared Print Objectives

The terms "shared print" and "print archiving" are used to categorize a number of different types of initiatives with diverse objectives, including:

- **Alleviating local space pressures:** No library has the resources to manage its own print collections indefinitely without regard for shelf space. A primary objective for most shared print initiatives is to identify items that can be safely de-accessioned once another library has committed to retain that title.
- **Sharing long-term preservation of titles across members:** Print collections represent an essential component of the cultural, scientific, and scholarly record and remain a vital asset for libraries. Efforts to preserve materials require a collaborative approach to share stewardship-- libraries cannot work in isolation. Libraries will commit to retain specific titles for an agreed period of time. To get political buy-in from stakeholders, libraries may be required to emphasize the preservation objective of the initiative over de-accessioning, but they are essentially two sides of the same coin.

The concept of creating a shared print initiative will likely originate from a desire to meet one or both of the above objectives. Moving the idea from the conception stage into having an actual project plan will be the responsibility of a steering committee who will need to agree and clearly communicate to potential members why the initiative is required and what the deliverables are for joining. The committee should ensure the project has a clear strategy. Specifically it will need to:

- Identify potential partners and vendor support
- Explore opportunities for grant funding support
- Appoint a program manager
- Agree the project name, scope and activities
- Develop a timeline

The objectives of MSCS were to:

1. *To develop a strategy for a statewide, multi-type library program for managing, storing and preserving print collections among public and private institutions to achieve greater efficiencies and extend the power of every dollar invested in collections and library facilities.*
2. *To expand access to existing digital book collections by developing Print-On-Demand (POD) and E-book-On-Demand (EOD) services to support long-term management of a shared print collection, and the integration of digital resources with print collections.*
3. *To formalize organizational agreements, establish a budget, and develop policies essential for the maintenance of shared print and digital collections, access to them, and responsibility for sharing them.*

To turn these objectives into an actionable strategy for analyzing the data, we agreed that we wanted to answer the following high-level questions. These questions helped us to clearly focus on what we actually wanted to achieve during collection analysis:

- *What monographs should be designated for long-term retention?*
- *What is an equitable and/or common-sense distribution of retention responsibilities?*
- *What monographs are candidates for incorporating into Print-On-Demand/E-book-On-Demand services by virtue of HathiTrust or Internet Archive public domain material?*
- *What monograph copies could optionally be deselected, once retention decisions have been finalized?*

MSCS would have benefited from organizing a meeting early on in the process with all those involved in project committees to explain the objectives of the project. It was also important to recognize that libraries were going to get different things out of the project, but this shouldn't be at the expense of the overall objectives of the project. One of the unique objectives of MSCS was to identify titles to commit to retain and preserve--rather than de-accession. However, this focus on retention was not always communicated clearly enough to project personnel. A year into the project we were struggling to turn our newly cleaned data into result because of our different priorities. The project planning meeting with an outside vendor provided the MSCS program manager and Project Team with the opportunity to review the project's objectives and the need to articulate that to an outside party helped the project better focus on what it wanted to achieve.

2. Membership

2.1   Target Potential Members

All shared print initiatives will at different stages in their development need to work on targeting potential members. Initiatives should consider whether they want a diverse range of libraries and materials to be included? Or a homogenous group of members to ensure common interest? Criteria to be considered in members include:

- **Library types:** Should membership be restricted to single versus multiple-type libraries?
- **Collection size:** Should only libraries with a similar collection size be allowed to join?
- **Geography:** Should membership be restricted to a specific geographical region? If so, how is that region defined?
- **Membership in existing consortiums:** Should membership be restricted to members of an existing consortium, particularly if it has a shared catalog and delivery system?

Initiatives should consider whether membership numbers should be capped. Although it's tempting to include as many libraries as want to join, it might not be practical in the early stages of a project.

One way to identify interested libraries is to send out a survey to institutions that meet the agreed criteria. A survey can serve the dual purposes of drawing attention to the initiative, and identifying the focus of the initiative (for example, whether it's journals or monographs, or both).

As eight of the nine largest libraries in Maine with more than three quarters of the print collections in the state, the MSCS grant partners were fairly self-selecting. Also, all partners are members of Maine InfoNet, which provides a shared state-wide library catalog (MaineCat[1]), and services for electronic resources that deliver collections in physical and electronic formats and link the libraries organizationally. The partners share costs of a state-wide delivery system that connects the majority of libraries in the state. These factors also make Maine an ideal location for a shared print initiative.

MSCS remains unique in its inclusion of both academic and public libraries. This is based on a history of collaboration and trust dating back almost 100 years. The partners were confident that although MSCS would present new challenges, they would be able to work together on this project.

Three years later, the trust amongst partners has only been strengthened. However, in order to fully reach our goal of preserving the critical print collection in Maine, we need to attract new members. We surveyed Maine library directors on their levels of interest in joining the founding libraries in the Maine Shared Collections Cooperative (MSCC) and participating in shared print related activities. Our attempts to recruit new members are still in progress.

---

[1] http://mainecat.maine.edu/

2.2 Meet with Potential Member Institutions

Once the survey results have been analyzed, or other methods have been used to select potential members, the Steering Committee can contact library directors/heads of collection development at surveyed institutions to arrange a planning session to market the initiative to interested parties.

The planning session is an opportunity to introduce project planning personnel, who will discuss their roles, and the concept of shared print, including the approaches of some of the major shared print initiatives. Participants will be given the chance to discuss their thoughts on what the scope and objectives of the initiative should be. It's also important to introduce different examples of centralized and distributed business models.

The Steering Committee should agree on an initial project scope, objectives, and activities (which will be further refined by the Operation Committee) and also the business model and governance structure. These plans should be documented by the Committee and shared with the directors of potential members. Another meeting should be arranged for the Steering Committee to present their plans. Following this meeting it will be necessary to have a deadline for institutions to confirm in writing whether they wish to participate.

Future rounds of new member additions would likely repeat these planning members with more of a focus on educating new members about the existing project.

3. Scope

Members should agree on the scope of materials and attributes to be covered by the project. Questions to be answered here include:

- **Material type:** Should the focus be journals and serials, or monographs, or both? Will some material such as government documents and newspapers be excluded from the analysis? What about formats such as microfilm?
- **Date ranges:** Should the material looked at be limited by particular date ranges? Publication or acquisition?
- **Unique or Widely Duplicated:** Should the focus be on "unique" or scarcely held material? Or on the "core" and widely duplicated materials?
- **Publisher/Subject:** Should the types of materials being analyzed be restricted to or exclude the work of a particular publisher, or on a specific subject?

Material Type

MSCS reacted to the feedback from potential MSCS partner libraries to focus primarily on monographs, as this was the area of their collection that most concerned the partners. Focusing on the needs of the partners meant MSCS were able to successfully get their buy-in to the initiative.

MSCS made the decision to exclude from the project's scope:

- ***Government documents***: *The University of Maine already has a commitment to retain these as part of the Federal Depository Library Program.*
- ***E-books:*** *Copies are licensed to individual libraries, so could not be part of a shared collection.*
- ***Non-print formats:*** *We wanted to focus on print monographs.*
- ***Maps, scores:*** *We wanted to focus on print monographs.*

Based on the experiences of Sustainable Collection Services (SCS) these were standard exclusions, with the exception of scores, which approximately half of their projects elect to include. Since working with MSCS, SCS have seen more interest in including e-books.

Initiatives should be aware that if the scope of material analyzed is too wide there is a danger of collection analysis fatigue. At MSCS, in addition to monographs we also analyzed serials and journals as part of the project. Although completing this work around the same time as monograph analysis would seem to make sense, at MSCS we found that on top of an intense period of collection analysis, the journals and serials work was a lot to demand of the Collection Development Committee. This was a factor in why we didn't go into the levels of analysis we did during the monograph collection analysis. It was also a lot to ask of the partner libraries to make additional retention commitments after the significant numbers already made for monographs. Library directors requested that the Collection Development Committee conducted more title level reviews before agreeing to retention commitments. Those initiatives that have less rigid time frames than MSCS might benefit from allocating journals and serials work to a separate phase of the initiative, or have a separate group be responsible for it. Another option may be to work with larger regional initiatives--rather than executing an individual project.

Date Ranges

We decided to analyze and take action only on legacy print titles, for MSCS that meant titles published or added to a library's collection pre-2003. Any later than that and we felt the titles hadn't had sufficient time to be used. Most groups SCS worked with also focused on materials that had been in their collections for at least 10 years. In practice MSCS found that acquisition dates were complicated because different partner libraries may have bought the same title in different years.

Publisher/Subject

An advantage of using publisher or subject is that it requires minimal collection analysis, i.e. the titles could be identified in advance without usage analysis. However, MSCS did not want to restrict its analysis to particular publishers or subjects that might not be necessarily more widely-held among the participating libraries. Publisher was actually used as a factor in fine-tuning retention commitments.

4. Storage Model

There are two main storage models used by shared print initiatives:

- **Distributed:** Materials are stored across individual libraries and storage facilities (e.g. Michigan Shared Print Initiative and Western Regional Storage Trust)
- **Centralized:** Materials are stored at a centralized storage facility (e.g. CIC Shared Print Repository and Washington Research Library Consortium)

The following factors are relevant when deciding which model to use:

- Geographical distribution of members
- Rules regarding state property
- Staffing and costs of maintaining materials/location
- Usage and availability of the materials (e.g. light or dark archive)
- Existence of storage facility amongst partners
- Available local storage space
- Storage space requirements, both now and in the future
- Availability of commercial storage facilities
- Resources and political will for a storage facility (particularly a new facility)

As with retention periods, there is no right or wrong model; each initiative must choose the best fit for their members.

Most monograph shared print agreements will include the provision that members will continue to retain ownership of the committed to retain titles, even if they are transferred to a centralized storage facility. However, there are a number of journal and serial initiatives (e.g. University of California Shared Print and Consortium of Academic and Research Libraries in Illinois Last Copy Project) where ownership is transferred to the program or consortium.

MSCS are using a distributed model whereby the items will be retained and continue to be owned in situ by the library. Although this won't provide us with the local space savings a centralized storage facility would have, we came to this decision mainly because there were insufficient resources such as staffing and location. Also, there was not much political will for a centralized facility. In addition MSCS libraries want to continue to lend as before, and the logistics of a centralized facility would have held up processing requests. Retained materials will continue to be subject to the circulation and Interlibrary Loan policies of the retaining library.

5. Governance Model

As the initiative moves from its planning stage to an ongoing program there will need to be a clear governance model in place to allocate responsibilities and establish reporting channels. The following are committees and groups who can assume responsibilities for various aspects of a shared print initiative.

5.1   Operations Committee

Why

Oversee the planning and execution of the different working group's briefs to ensure consistency across the initiative. The Committee member's combined skills and knowledge can help the initiative succeed in meeting its goals and objectives, and address the specific concerns of the respective library members.

What

Members will drive the work of the initiative, provide day-to-day coordination of (in particular the activities of the working groups), review progress and plan next steps, and act as the final adjudicator for most decisions.

Who

Include at least one library director. It's also helpful to cover different constituents or library types and functional experts in the areas of collection development, technical services, public services, and technology. The program manager is responsible for coordinating the work of the Committee and will report to the Executive Committee on progress.

The MSCS Project Team consisted of: two library directors from a public and an academic institution; a head of collection services; and for technology related issues the Executive Director of Maine InfoNet.

When

Once the planning stage of the initiative is complete, the Executive Committee may appoint an Operations Committee to oversee project activities. Membership of the Operations Committee will require a greater time commitment and involvement than the other committees.

The MSCS Project Team [2] met in-person monthly basis. Between the meetings were regular communications via email.

5.2   Executive Committee

Why

Elected directors from member libraries will need to be responsible for the governance, strategic direction and the resolution of issues that are referred to it by other committees and groups. However, this doesn't mean that every member library's director should sit on the Committee, as this wouldn't be conducive to efficient decision-making.

---

[2] http://www.maineinfonet.org/mscs/about/people/

MSCS found that having buy-in from the partner library directors was essential for the project to progress.

MSCS had a diverse range of participants. As the initiative continues post-grant, it's important that the needs of the public universities, private non-profit colleges, the State Library, and public libraries continue to be represented.

What
Overall responsibility for the governance of the initiative. In particular, the Committee will likely approve the portfolio of policies presented to it by the Operations Committee, provide oversight on behalf of member libraries, and develop the business and operational plans.

Who
Library directors of member libraries who represent the different demographics of participants, with the numbers at a level to allow decision-making.

When
Once the planning stage of the initiative is complete, the Steering Committee will hand over some responsibilities to the Executive Committee, the Committee will have regular meetings.

The MSCS Directors' Council [3] met quarterly for in-person meetings. The frequency of the meetings worked well, in that they allowed the directors to stay abreast of the project and monitor progress. Also, in-person meetings were preferable because they allowed for more interaction than virtual meetings.

5.3   Working Groups

Why
Shared print impacts a number of different library departments: it's therefore important that functional experts from these areas are included in the decision-making process and carry out the work planned by the Operations Committee. The working groups are also important for communicating the work of the initiative to member libraries and building relationships in the future.

What
Provide technical and practical expertise in collection development, cataloguing, technology, and programming as well as doing much of the hands-on work with collection data. Activities include: extracting data for collection analysis, deciding the scope of the analysis, the selection of materials for retention, as well as issues related to holdings disclosure and access/delivery.

Who
Staff from member libraries will likely be appointed by the Operations Committee to sit on separate collection development, technical services/systems, and public access working groups.

When
The working groups will meet on an as-needed basis via a mixture of in-person and virtual meetings.

---

[3] http://www.maineinfonet.org/mscs/about/people/directors-council/

MSCS chose to appoint two committees: Collection Development [4]and Technical Services[5]. We found the Technical Services Committee was most needed during the OCLC reclamation, extract of collection data from catalogs, and disclosing of retention information in catalogs. Most of the coordination for this work was done via email and conference calls rather than in-person meetings. The Collection Development Committee required more frequent and in-person meetings, particularly during the development of the collection analysis criteria, retention policies, and allocation rules. Staff reported that the time between meetings worked well. There was overlap between the responsibilities of the two committees (particularly the data extraction and disclosure of retention commitments), so some individuals were on both committees. In retrospect it might have made sense to organize more joint meetings to avoid duplication.

Public access staff from partner libraries were consulted regarding the public display of the retention commitments in catalogs. ILL staff were consulted regarding the resource sharing implications of the OCLC Shared Print Symbol.

5.4   Advisory Board

An Advisory Board may be required, particularly if the initiative is grant supported. The Board will contain individuals with nationally recognized expertise and will provide evaluative oversight and external review and feedback, advise on best practices and standards, and offer guidance.

MSCS's Advisory Board members were an important information resource and helped ensure that MSCS interfaced with other related initiatives.

5.5   Documenting the Governance Structure

The governance structure and business model of the initiative is documented in a Memorandum of Understanding (MOU), which all members should be expected to sign upon joining. A short environmental scan will reveal a number of shared print MOUs viewable online, so rather than reinventing the wheel, initiatives can use existing agreements as a starting place. Demas (2014) has an excellent series of articles in the *Against the Grain* column "Curating Collective Collections" on the process of producing a shared print MOU. A list of MOUs for shared print programs can be found on the author Sam Demas' website[6].

MOUs typically include the following elements:

- Program description
- Eligibility and participate member types
- Governance and operations model
- Selection and identification of retained materials
- Duration of retention commitment
- Ownership and maintenance of retained materials

---

[4] http://www.maineinfonet.org/mscs/about/people/collection-development-subcommittee/
[5] http://www.maineinfonet.net/mscs/about/people/technical-services-subcommittee/
[6] http://samdemasconsulting.com/wp-content/uploads/2014/04/List-of-MOUs-updated-3March2014.pdf

- Access to the retained materials
- Business model and financial obligations
- Withdrawal of members from participation
- Amendment and review of MOU

MSCS started without a MOU because participating libraries had already committed to their involvement in the project in the grant application to IMLS, which also included a description of the different project committees. In grant year two, the Project Team began investigating business and financial models for print-on-demand and shared storage. The Western Regional Storage Trust's (WEST) MOU in-particular was a helpful guide for the structure and content of our MOU.

Our investigations and subsequent discussions resulted in the production of the Maine Shared Collections Cooperative MOU[7]. We felt it was important that the participating MSCS institutions signed the MOU within the grant period to approve the retention policy decisions being made. MSCS also decided that the commitment to the MOU should come from the institution, for example a Board of Trustees or Provost rather than the library director.

---

[7] http://www.maineinfonet.net/mscs/wp-content/uploads/Maine-Shared-Collections-Cooperative-MOU.pdf

6. Project Management

6.1 Staffing

The level of staffing support required will vary depending on the scale and scope of the initiative, but will likely include the following:

6.1.1 Program Manager

The Steering Committee will need to appoint a program manager to coordinate the work of the initiative. The program manager should have project and financial management experience, excellent organization and communication skills to communicate both orally and in writing what is required of others working on the initiative, and a proven ability to meet goals and complete projects. These skills and experience are more important for the role than previous shared print or collection development experience. However, as the project progresses the program manager should immerse themselves in the world of shared print and collection development, so they can contribute to the decision-making process.

The scale and level of funding support for the initiative will dictate how many hours the role of program manager will entail. It may be necessary to appoint a full-time program manager whose sole responsibility is coordinating the work of the initiative. However, if this isn't feasible then the responsibilities could be added to a partner library employee's role.

MSCS found that employing a dedicated full-time program manager was key to the project's success. The role combined investigating information from various sources and leading decision-making processes as well as administrative tasks, e.g., meeting management and documentation. They were a focal point of the initiative; any queries or questions from library participants and support services were routed to the program manager first; this streamlined the communications and decision-making process. The program manager had MSCS as his sole responsibility which meant it was always his priority and allowed him to keep the different project committees on task.

6.1.2 Systems Librarian

Although technical services and systems staff from all member libraries will be involved at some point in the process, it is helpful to have a single person appointed as systems librarian to act as the initiative authority for overseeing the preparation of library system data and moving data in and out of multiple library systems. Having knowledge of the MARC records structure and the ability to wrangle large data-sets are key.

Alongside the program manager, this role will act as a common point of contact for member libraries and ILS systems and collection analysis vendors. The person will need to have excellent communication skills to understand what is required of them and to communicate both orally and in writing what is required of others working on the initiative. This will require a detailed understanding of the skills and capabilities of local technical services staff and an awareness of the variances in data and cataloguing practices between member libraries. The ability to simultaneously manage multiple project tasks is also essential as is being able to react to the priorities of the initiative.

These are very specialized skills and may require an independent contractor, as opposed to having someone from a member library be responsible. Also, depending on the scale of the initiative, the systems librarian may be expected to spend a significant number of hours on project related tasks which may not be feasible if the responsibilities were assigned to an existing role.

MSCS found that contracting with Sara Amato, an independent systems librarian consultant was vital. She knew the full extent of what the five separate library systems (although they all use the same ILS vendor, Innovative Interfaces) used by MSCS libraries could handle with data exchanges and was able to develop her own inventive solutions to various technical issues faced during the project (often firsts for libraries).

MSCS would have benefited from the systems librarian being involved during early discussions about what collection data was needed for the project, so they could have extracted examples for the Collection Development Committee to analyze while the project was waiting for OCLC's analytics tool to be developed.

In our case, the systems librarian role took on greater responsibilities than initially envisaged (for example, programming work for system metadata) and essentially became a de-facto member of the Project Team.

6.1.3   Collection Analysis Services

Many shared print initiatives will require investigations into the composition and use of collections in order to make retention decisions. Although collection analysis is one important method to identify holdings to preserve, it's not the only one. Some alternate strategies include declaring all volumes already in high-density storage as "retained" or libraries volunteering to retain certain programmatically important collections.

The required levels of collection analysis services vary greatly depending on the scope of the initiative. Some initiatives may choose to use in-house staff to conduct the data wrangling required for collection analysis support, possibly combined with the role of systems librarian. Others will want to use external collection analysis products and services.

For in-depth collection analysis, particularly across multiple libraries and library systems, commercial vendor support is essential. There are currently only a limited number of tools and services available to support the group-wide analysis of print monographs. The most common type of analysis tools ingest local bibliographic and/or usage data from multiple systems and return synthesized results. OCLC's Collection Evaluation is an example of this 'self-service' model, which uses member libraries' already loaded information. At the time of writing, the group functionality for Collection Evaluation has not been released. These services have certain set reports for displaying the data and require member libraries' work in manipulating and interpreting the results. For initiatives that would rather have a service perform the data manipulation for them, Sustainable Collection Services [8](SCS) are the only service at

---

[8] http://sustainablecollections.com/

the time of writing that provides a combination of data reporting and in-depth consulting support to facilitate the difficult decision-making process required in groups making retention decisions.

MSCS originally planned to contract with a programmer to build a collection analysis system, but after researching existing collection analysis products, taking stock of the current environment, and contemplating the uncertainty of future development resources, the Project Team decided not to. Instead, we contracted with OCLC to use their WorldCat Collection Analysis (OCLC's previous collection analysis offering). However, we found the 'self-service' model and limited reporting functionality of WorldCat Collection Analysis did not meet our particular needs.

We required the outside consulting support of Sustainable Collection Services (SCS), who were good at keeping everyone focused on the task at hand to move the process forward. Working with SCS gave the project a boost after delays caused by the OCLC reclamation and the OCLC WorldCat Collection Analysis tool wasn't developed in time to be of use. Based on their experience of working with other projects, SCS were able to make suggestions for areas of focus and outlined potential retention and withdrawal scenarios. SCS were also able to wrangle the collection data in multiple ways and present the results in various types of reports and charts. The fact that SCS could use our retention rules to create a complex algorithm to allocate retention responsibility was also key.

MSCS would not have been able to make the progress it did in assigning retention commitments in the confines of the grant period without the support of SCS. This was mainly because of SCS's ability to quickly turn around the reports and charts we requested and assist us with interpreting them. Although it would have been possible to produce the data reports ourselves, the time and attention this would have required from the systems librarian and local staff meant this was not realistically possible. SCS's previous experience of working with similar projects meant they were able to turn the work around for us in a much shorter period of time than we ever would have if we had attempted the work ourselves.

6.2   Administrative Host

The administrative host serves as the fiscal agent for the initiative and will need to be equipped to handle accounting and throughput, including all membership billing and contracts. The role of host may be taken on by one institution or an existing consortium. Project personnel such as the program manager may be physically located at the host which will then require office facilities and equipment and human resources overhead.

The University of Maine acted as the MSCS's administrative host. This decision was partly based on a belief that the project was more likely to have its grant funding proposal accepted if a public institution were host than if it were one of the private academic institutions. The University of Maine also has its own Office of Research & Sponsored Programs which was responsible for reviewing and approving the project budget and for financial reporting to IMLS. MSCS found that demands placed on host financial staff working at the University of Maine's Fogler Library were greater than anticipated and periodically greater than that of host staff actually on working group committees. This was mostly a result of grant financial reporting requirements.

6.3   Communications Management

Most shared print initiatives will be spread across large geographical areas, so in-person meetings are not as frequent as they might be for other projects. The program manager should maintain regular contact with initiative participants using various different communication tools (such as email and website feeds) to ensure they feel engaged in the process. Communication tools can also help facilitate decision-making, collaboration and the sharing of information.

The MSCS Program Manager used a range of tools to update the project committee on the work of the project as a whole, so they could see how the different activities were interrelated and key to the overall success of the project. Distributing the different committee's meeting summaries was also a good way to keep people informed. In hindsight, we should have also emphasized the importance of committee members debriefing colleagues on decisions made by MSCS that will affect their library because for example, we found some staff were unaware of the process for making changes to retention commitments.

MSCS found that distributing information on the subject of shared print can be informative and also stimulate debate.

6.4   Marketing

Having an online presence, particularly a devoted project website, allows people interested in the work of the initiative to find out more information and monitor project activities. Project documentation, models, policies, and procedures should be made accessible online. The administrative host may be responsible for website creation and maintenance. Social media is also important, to post updates on project activities and milestones.

We received a number of inquiries about the initiative that originated from visits to our website[9]. MSCS also hopes documents such as this guide detailing the process, lessons learned, and outcomes of the project will be used as a guide for similar projects. We found social media was a good way to announce project news and get the attention of vendors when you mention their services.

Presentations at professional conferences and meetings and articles written by project personnel can help raise the profile of the initiative, and also provide networking with those involved on similar initiatives.

MSCS representatives found it rewarding to contribute to shared print events such as the Print Archive Network forum meetings both to promote the work of the project and learn from the experiences of other initiatives.

---

[9] http://www.maineinfonet.net/mscs/

7. Shared Print Cost Factors

The cost of a shared print initiative will vary depending on the scale, timeframe, and geographical location of the effort, but some common cost factors include:

Salaries and wages:

- Compensation for the program manager and systems librarian positions.

  The MSCS program manager was a full-time position with salary and benefits. Our systems librarian was an independent contractor who billed MSCS for a total of 2,386 hours over the three years of the project.

- Advisory Board stipends.
- In-kind staff time working on initiative activities:
    - 20% of Steering Committee members' time.
    - 20% of Operations Committee members' time.
    - 1% of Executive Committee members' time.
    - 5% of Working Group members' time.
    - 3% of one FTE financial staff members' time (based at administrative host).

Travel and meetings:

- Reimbursement for staff attendance at initiative meetings and professional conferences. Member libraries may be expected to absorb these costs.
- Organizing membership meetings (e.g. meeting room hire, speaker fees and refreshments).

Marketing and communications:

- Most initiatives will probably choose to work with information technology and marketing staff from the administrative host on designing and hosting their web pages.

  MSCS chose to contract with an independent website designer to design our website which after the initial setup costs included an annual fee for WordPress updates and support.

- Most initiatives will require virtual conferencing for which there are a range of commercial tools and services available. Initiatives may choose to use a tool that there is existing subscription for, but if one is not available then funds will be needed to cover the subscription costs.
- Sharing information and collaborating on documents is an integral part of any group project. Most communications can be conducted over email, but initiatives might also consider having their own listserv. Initiatives will also require a working area to share information and

collaborate on documents across that isn't restricted to one organization's server. There are free services such as Google Drive which allow users to share folders, but also subscription services such as DropBox that might be required for storing large size files e.g. the data reports used in collection analysis.

Data preparation:

- OCLC WorldCat member libraries are permitted one free data reclamation project, but the indirect costs of staff time working on the project are significant. Even if a reclamation is not required there will still need to be some data cleaning prior to analysis which will require local staff time and the assistance of the systems librarian.

Data extract:

- Member libraries will be required to extract data from their ILS for analysis. In order to ensure consistency across the member group this work will likely be carried out by the systems librarian.

Collection analysis:

- Collection analysis service costs vary greatly depending on the services and tools used. Annual group subscriptions to tools such as OCLC's Collection Evaluation will be in the low tens of thousands of dollars, but there may be additional costs for extracting data.

  At MSCS we had to pay a fee of $8,000 for OCLC to create a custom report for us, matching our local item-level data (including circulation data) with certain WorldCat data because this functionality wasn't available in OCLC WorldCat Collection Analysis.

- The one-off cost of working with vendors like Sustainable Collection Services (SCS) is dependent on how many libraries and bibliographic records are included in the analysis, but will likely run into the high tens of thousands of dollars. SCS will include in their service package activities (e.g. running circulation data reports) that other vendors charge extra for.

Documenting and disclosing retention commitments:

- Loading retention commitments into catalogs and registries is a very time consuming process that will require significant time on the part of local staff and systems librarian.
- At the time of writing, OCLC charge a batchloading fee of $355 per library for loading retention commitment into the OCLC Local Holding Records of items designated as shared print. This is a one-time fee, once the project parameters have been set-up there are no extra costs.
- There is no fee for the OCLC Shared Print Symbol (separate OCLC Institution Symbol used to identify print archived titles). However, there are ILL fees associated with using the Symbol in both ILLiad and OCLC WorldCat Resource Sharing.

Storing shared print materials:

- Libraries allocated responsibility to retain materials may be given some kind of financial incentive e.g. discounted initiative membership. However, in most cases libraries will be expected to absorb the costs of storing the materials.

Ingesting shared print materials:

- Libraries should be reimbursed for the costs of ingesting shared print items into their collection including transportation and any requirements for validation and condition checking.

Inventorying, validating and checking condition of shared print materials:

- Unless there are grant funds to support the inventory, validation, and condition checking work libraries will be expected to absorb the costs.

Preservation:

- Most shared print MOU's will include requirements for repairing and replacing retained materials. Libraries will likely be expected to absorb these costs as part of their membership. It won't always be possible to repair an item and in some cases the costs of replacing a specific edition will be too high. Therefore, libraries should plan for such situations by including in their policies and procedures criteria for when retention commitments can be transferred or removed.
- Some initiatives might choose to digitize items. Unless this effort is supported by grant funding libraries should expect to absorb the costs including for staff and equipment.

Resource sharing:

- Most initiatives will continue to make items with retention commitments available for lending. Some initiatives may choose to include provisions for resource sharing as part of their MOU for example, providing prioritized lending access to members. The costs associated with resource sharing will likely be absorbed by members.
- Some journal and serial shared print initiatives reimburse members the costs of creating digital copies of materials for resource sharing purposes.

Facilities and administration costs:

- Office facilities and equipment for the program manager and systems librarian.
- For grant funded initiatives the administrative host may apply a percentage rate to the direct cost expenditure which will needed to be factored into the budget.

8. Shared Print Activities

The following are typical activities of a shared print initiative. A timeline featuring these activities is included in Appendix 1.

8.1   Collection Analysis

8.1.1   Preparing and Cleaning Data

Bad data will only ever lead to bad decisions. Therefore, in order to accurately compare and analyze holdings and circulation data among members the data will need to be prepared and cleaned in advance of the extract. If the comparison is simply between members, libraries can choose to do this work themselves. However, often holdings are compared against the OCLC WorldCat database, in which case ideally this preparation will include an OCLC reclamation project, which can help standardize the data. The reclamation should either be included in project plans and taken into account when setting project deadlines, or completed prior to the official start of the initiative. There are other vendors such as Sustainable Collection Services (SCS) who can also validate, transform, and normalize collection data prior to analysis.

Participating libraries should agree from the outset not to conduct large withdrawal projects when involved in a retention project, so holdings data is accurate.

MSCS had not planned for an OCLC reclamation as part of the original project plan, but it quickly became clear that in order to accurately compare holding and circulation data among the partners and to WorldCat that one was needed. The system librarian contracted by MSCS was able to oversee the reclamation process and liaise with the technical services staff from the respective libraries and library system vendors. As expected, the reclamation project exposed problems in the local catalogs; for example, records with no 001 fields, ISSN in the 001, etc. Though a more involved process than originally anticipated (over 12 months to complete), the reclamation work facilitated the collection analysis work and cleaned up libraries' records, with just over a quarter of a quarter million 001's being updated.

8.1.2   Extracting Data

The working groups responsible for collection development and technical services should agree what bibliographic, circulation, and item data is extracted from catalogs for analysis and what holding lookups they want made to compare overlap with, for example: OCLC, HathiTrust and the Internet Archive.

Bibliographic data will be required to identify the title being analyzed, for use in holding comparisons with larger resources such as OCLC, and for subject information. Item level data will be required to show holdings at member libraries and their usage. Libraries should remember to check whether the systems stores usage in multiple locations for example, in-house use or reserves.

The complexity of the data extract means that initiatives will likely only have one opportunity to get it right, so it's important that the decision factors are represented in the extracted data. Although not all of the data extracted may eventually be used to base retention decisions on, it is better to have the data and be able to discount it than to not have it to refer to.

MSCS found that both collection development and technical services staff were required in planning the data extract to ensure decision factors were represented in the data. Collection development staff were needed because they would eventually be responsible for analyzing the data and making retention decisions and technical services staff were needed because they know what data is available and how it's used by the libraries. The MSCS Systems Librarian extracted the following data elements for analysis:

Bib Level Identification

- *Record number*
- *OCLC number*

Item Level Identification

- *Item record number*
- *Created date*
- *Barcode*
- *Itype (value in the item that defines how it circulates)*
- *Volume and copy*
- *Item call number*
- *Location*

Usage

- *Total checkout and total renewal*
- *Year to date circulation*
- *Last year circulation*
- *Last checkin*
- *Out date*
- *Last out date*
- *Reserve notes*
- *Internal use count*
- *Icode2 (contributed to union catalog)*
- *Circulation Status*

Ensuring only records that had valid OCLC numbers were exported required some significant data wrangling on the part of our Systems Librarian (e.g. not exporting brief order records, brief circulation records, etc.).

8.1.3   Presenting Data

Although data won't make decisions for you, how you see it assists you in making retention decisions. Therefore, it's vital that the extracted data and holdings comparisons are presented in a manner which can be easily interpreted by participants. Holdings data can be arranged to show overlap within the

member group and when combined with circulation data it can show how usage is spread across the partner's collections, see example*:*
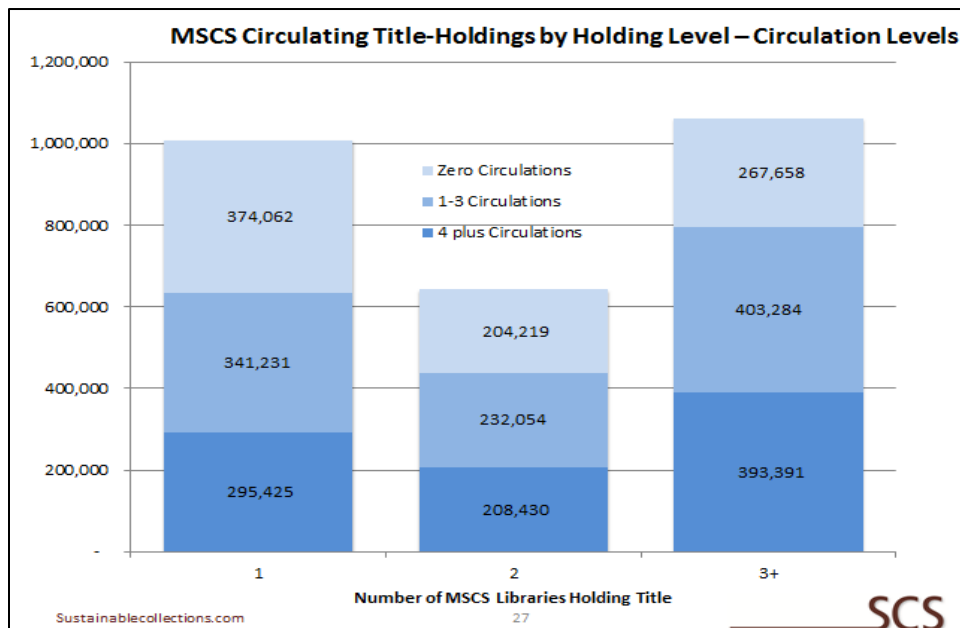
Each of these viewpoints can give different messages, so it is important that it be clear to those staff analyzing the data whether the numbers reflect unique titles (e.g. different edition), FRBRized titles, items, or number of libraries in the group that a hold a title because this will make a huge difference in how retention criteria is applied and the number of items being retained.

Libraries should be able to see their own individual data and comparisons across the group. The following are examples of number counts and percentages that might be of use in collection analysis:

- Number of copies of a particular work owned by partner libraries
- Number of circulating copies
- Number of times a title circulated and date of last circulation
- Number of titles/copies uniquely held in the group/state/OCLC WorldCat/peers
- Subject strengths across the group
- Titles represented in the HathiTrust and Internet Archive
- Overlap between general collections and special collections

Staff should be given sufficient time to review the data before they are required to make decisions based upon it.

SCS's ability to provide tailored reports was an important reason why we contracted with them. The collection summaries [10]gave us a top level view of the data that provided a good introduction to the

---

[10] http://www.maineinfonet.net/mscs/wp-content/uploads/MSCS-Collections-Summary.pdf

collection analysis and flagged potential areas of focus. It was interesting to see the high number of unique and rare holdings within the MSCS group in this part of the collection summary:

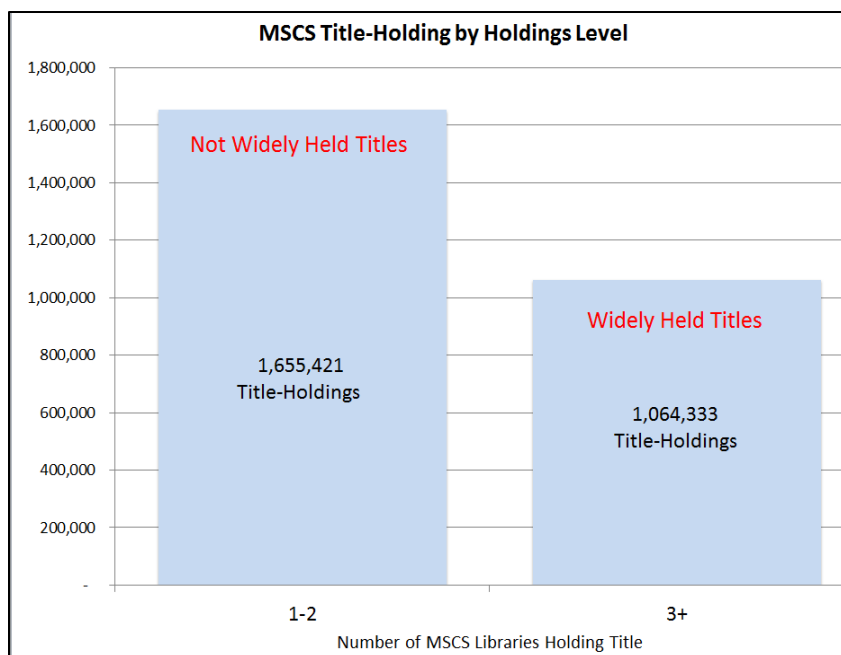| Overlap within MSCS Group																				
Unique Holding in group	1,118,151	38%	154,252	49%	17,510	58%	134,763	31%	194,216	39%	131,346	33%	39,937	32%	69,383	37%	301,451	44%	75,293	30%
Title-holdings in 2 libraries	684,395	23%	74,653	24%	4,988	17%	107,664	25%	108,884	22%	89,634	22%	28,545	23%	51,716	27%	162,594	24%	55,717	22%
Title-holdings in 3 libraries	462,446	16%	33,413	11%	2,901	10%	84,205	19%	81,118	16%	74,025	19%	19,671	16%	24,726	13%	100,299	15%	42,088	17%
Title-holdings in 4 libraries	325,959	11%	20,918	7%	1,882	6%	59,166	14%	57,974	12%	55,441	14%	14,238	11%	16,567	9%	65,572	10%	34,201	14%
Title-holdings in 5 libraries	190,215	7%	14,490	5%	1,264	4%	31,476	7%	30,992	6%	30,444	8%	10,596	8%	12,123	6%	33,466	5%	25,364	10%
Title-holdings in 6 libraries	82,224	3%	9,447	3%	803	3%	11,598	3%	11,563	2%	11,303	3%	7,284	6%	8,477	4%	12,429	2%	9,320	4%
Title-holdings in 7 libraries	40,179	1%	4,921	2%	390	1%	5,233	1%	5,239	1%	5,219	1%	4,305	3%	4,823	3%	5,468	1%	4,581	2%
Title-holdings in 8 libraries	15,550	1%	1,906	1%	182	1%	1,920	0%	1,925	0%	1,931	0%	1,894	1%	1,919	1%	1,933	0%	1,940	1%

Even with care taken in presentation, there were occasions when committee members found it difficult to absorb the spreadsheet reports and respond immediately. MSCS would have benefited from having distributed more of the spreadsheets ahead of meetings. We also found that for some of the more complicated reports, in-person interpretations by SCS and Project Team representatives were necessary.

Initiatives should also be aware of the potential dangers of drowning in data. We looked separately at multi-volume sets and whether the large amount of real estate they occupy warranted separate, less conservative, retention policy that would reduce the amount of multi-volume sets the libraries were required to retain. This is an example of where we asked for data to be divided and subdivided into multiple lists, which placed additional demands on SCS, served to delay decision-making, increased the risk of errors into the data wrangling process, and complicated the disclosure of retention commitment statements. In the end, these divisions seemed unnecessary as we agreed to be consistent and continue to apply the same retention criteria. However, exploring different options was important for shaping the direction of the project and for helping us come to our final decisions.

8.1.4   Focus of Collection Analysis

Analyzing millions of titles and items is a daunting proposition. Initiatives should consider the scale of the analysis and not try to micromanage the work. Ideally, the work should be broken down with activities focused on manageable chunks of the collection. Charts and graphs of the collection data can enable project staff to see and then work with a smaller set of data. An advantage of this approach is that it can give libraries an idea of how many retention commitments they will be making as they go along, but the disadvantage is that it can lead to a duplication of work.

The following graph displaying title-holdings by holding level showed us that approximately 1.6 million title-holdings and 50% of all titles in the MSCS data-set were only held by 1-2 partners, which was a higher than expected proportion:

MSCS Title-Holding by Holdings Level

Not Widely Held Titles

1,655,421
Title-Holdings

Widely Held Titles

1,064,333
Title-Holdings

Number of MSCS Libraries Holding Title

We decided to split the analysis into two steps: step one for titles held by only one to two MSCS libraries, and step two for titles that were held by three or more MSCS libraries. This offered MSCS the chance to take care of some 'low hanging fruit' and have some retention commitments agreed in the grant period, which after the delays in the analysis gave the project a much needed boost. Ironically, despite the split we used the same retention criteria with different allocation distribution required.

8.1.5 Development of Retention Criteria

Shared print initiatives will need to agree on a set of criteria that can be applied to in-scope titles to assign whether a title or item receives a commitment to retain, or if the focus is on de-accession, weeding conditions. Typical criteria include:

- **Usage:** Should in-house use, reserve activity, and circulation levels decide retention?
- **Duplication:** Should widely duplicated titles not be committed to retain?
- **Rarity:** Should titles held rarely amongst the participants and wider library community be prioritized for retaining?
- **Publication date:** Should the age of a title affect whether it is retained?
- **Digital availability:** Should the possibility of being able to provide E-book-On-Demand and Print-On-Demand copies of titles in large-scale digital collections like the HathiTrust and Internet Archive influence whether a physical copy needs retaining?
- **Authoritative title lists:** Should titles on authoritative lists (such as *Outstanding Academic Titles* and *Library Journal*) be prioritized?
- **Local protection rules:** Should there be categories of titles which are retained regardless of other criterion?
- **Peer libraries:** Should the fact that a title is held by peer libraries be factored in?

At MSCS, the Collection Development Committee agreed that MSCS libraries will commit to retain holdings/items if any of the following criteria were met:

- ***Any circulation, internal, or reserve use:***
  Usage had a major impact on the volume of title-holdings we retained. In step one, in approximately 95% of cases the reason why a title was in the committed to retain category was because it had been used. We felt that usage was an important gauge of a title's usefulness and an indicator of future use. As such, we were not interested in committing to retain title-holdings that had zero circulations across twenty or more years of circulation history. In addition to circulation, we also counted available in-house use and reserves towards usage.

  MSCS's conservative approach to usage data is a result of our focus on retention, as opposed to identifying withdrawal opportunities. More typical would be to retain items with three to four circulations (across multiple libraries and many years) or more interest in the date of last use.

- ***"Local interest" category (content of local and regional value) title-sets:***
  Based on SCS's experience of working with other projects we developed a set of categories that were used to ensure materials of local interest were committed to retain regardless of usage. For example, Maine imprints and titles on subjects such as the paper industry which is an important industry in Maine.

- ***Special Collections/Archives items:***
  From the outset, we debated whether special collections/archives copies should be included in the analysis, as it was assumed that libraries would retain these copies anyway. Although we did include them in the analysis, in the end we decided to commit to retain all special collections/archives copies. But not all MSCS committee members saw the benefit of having to add retention commitments for special collections item when the assumption was they would be kept regardless of a MSCS commitment to retain. Most groups SCS have worked with chose not to include special collections and other non-circulating collections in their analysis because they didn't want to consider withdrawing items in these areas.

- ***Specific edition is held in nine or fewer libraries in the U.S. (according to OCLC):***
  We concentrated on retaining those titles held that are not widely available at other U.S. OCLC member libraries. We recognized that OCLC holdings data is only representative of a point of time and holding levels will change over time, especially as more shared initiatives are formed. Accepting these caveats to the data, we agreed that specific editions with fewer than 10 OCLC holding libraries in the U.S. was sufficiently rare as to warrant a commitment. A potential negative side effect of this approach is that if initiatives only commit to retain 'rarely' held titles who will retain and preserve the 'widely' held?

  The fact that this criterion was applied to specific editions means that in many cases MSCS have retained different editions of the same work. However, looking at edition specific issues would have required more granular analysis than was feasible during the grant period. We have

attempted to address this issue in the post-grant period by including in our Policy on Retention Commitment Changes [11]a criterion that libraries may remove a retention commitment when a title is one of multiple imprints of the same title that have no distinguishing features such as scholarly essays, editor, translator, special bindings, important marginalia, Maine imprint--and the library will still retain one or more commitments to the title. Libraries are also permitted to transfer a retention commitment to a newer edition of the title in those same circumstances.

We also considered the following factors in our analysis, but eventually decided against including them in the criteria:

- ***Scarcity in Maine:** MSCS used OCLC holding data to look at the overlap between MSCS libraries and other OCLC member libraries in Maine. However, few Maine libraries are members of OCLC aside from the MSCS partner libraries. Therefore, any OCLC data on holding levels in Maine is not an accurate reflection of scarcity and couldn't be relied upon.*
- ***Digital availability:** MSCS considered situations when a digital copy of a title would substitute for retaining print copies. We came to the conclusion that, unlike serials and journals, digital copies of monographs are not currently an adequate replacement for print. Concerns were also raised about relying on a HathiTrust copy when not all MSCS libraries are HathiTrust partners. MSCS libraries placed less trust in Internet Archive because while the Center for Research Libraries has completed an audit of HathiTrust, they have not done one of the Internet Archive.*
- ***Retention commitments made by other shared print initiatives:** This a factor we would like to be able to consider in future analysis, especially as the Eastern Academic Scholars' Trust [12](EAST) goes live, but at the time of our analysis there was no easily accessible monograph data.*

8.1.6   Fine Tuning Retention Commitments

When shared print initiatives make retention decisions at scale there are going to be titles which, if one conducted title-by-title reviews, would probably not be committed to retain or flagged as a withdrawal candidate. However, after the initial stage of analysis, member libraries need the opportunity to perform a general review and/or spot check to find broad categories that should have not received a commitment, since it's not practical to do item-by-item reversals. Staff should be looking for errors such as titles out of scope and titles that are not considered appropriate for long-term retention, such as superseded textbooks. If numerous reversal categories are identified, the initiative may decide that the retention criteria or allocation rules need changing instead.

After being provided with a list of proposed retention titles to review, the MSCS Collection Development Committee provided specific examples of titles their institutions were being expected to commit to retain that they felt were inappropriate. Also, the Committee and the MSCS Systems Librarian realized that there were some errors/anomalies in the lists.

Instead of changing the retention criteria, the Project Team and Collection Development Committee decided that some fine-tuning of the retention lists was required to reverse commitments on specific

---

[11] http://www.maineinfonet.org/mscs/policy-on-retention-commitment-changes/
[12] https://www.fivecolleges.edu/libraries/regionalproject

categories of titles to correct errors and address anomalies. The following batch criteria were developed to identify items that should have their commitments reversed:

- *Items which were deleted after SCS were provided with the collection data.*
- *Items which are missing or lost.*
- *Title-holdings which were mistakenly included in the analysis e.g. locations that should have been excluded like a career service library.*
- *Title-sets of specific publishers that the MSCS Collection Development Committee agreed did not warrant a commitment to retain. The goal of this work is to remove outdated and superseded textbooks, manuals, test preparation guides, and some paperback versions of popular fiction.*

To address ongoing issues with commitments, MSCS have produced Policy on Retention Commitment Changes [13]that includes situations when it is appropriate for a retention commitment to be transferred or reversed. We also have supporting procedures for library staff to follow when making changes to retention commitments[14]. Ideally the commitments will be transferred to another MSCS library, but in some cases this will not be possible and there will need to be limited withdrawals.

8.1.7   Deciding How Many Holdings/Copies to Retain Across the Group

The goals of the project will affect how aggressive or conservative the initiative wants to be when it comes to how many holdings/copies are retained across the group. Many shared print initiatives, particularly those focused on de-accessioning titles, will set a minimum amount of copies to be retained to guarantee at least one copy is retained within the group. SCS reported that the strongest trend when developing retention criteria and deciding how many copies to retain across the group is self-sufficiency. What they care about most is that any title held in print by the group continue to be held in print by the group—typically with a minimum of two holdings even in relatively small groups. Holdings in other libraries come into play for titles held by a single library within the group, or occasionally as an insurance policy (e.g., at least 50 U.S. holdings).

The following are three questions that Rick Lugg, President of Sustainable Collection Services, believes shared print initiatives should consider[15]:

- Are there sufficient archive copies to act as a failsafe for technological disaster, to correct errors in digitization, and as original artifacts?
- Are there sufficient service copies needed to lend?
- Are there surplus copies which can be safely de-accessioned?

Where the titles were only held by one or two partner libraries, the decision of how many title-holdings to retain was straightforward—MSCS libraries simply retained what they had. Where the titles were held by three or more partner libraries, MSCS used usage ranges to decide how many title-holdings should be committed across the group because we decided that not all holdings of a title required retention

---

[13] http://www.maineinfonet.org/mscs/policy-on-retention-commitment-changes/
[14] http://www.maineinfonet.org/mscs/procedure-for-the-external-transfer-of-retention-commitments/
[15] http://sustainablecollections.com/weed-feed/2013/5/8/collection-security-surplus-copies.html

commitments. We agreed to commit to retain one title-holding across the MSCS group for each title-set with one to three uses and two title-holdings for each title-set with four or more uses.

We also considered using date of last usage to break down the average usage ranges further because some titles might circulate widely when they are first added to a collection, but less so subsequently. After discussing last usage date with SCS we came to the conclusion that it would be too complex to factor in this data element.

MSCS also agreed to commit to retain:

- *Two title-holdings of all "local interest" category title-sets.*
- *All title-holdings where the specific edition is held in nine or fewer libraries in the U.S. (according to OCLC).*
- *All special collections/archives copies and at least one accompanying circulating copy.*

We considered setting minimum levels of title-holdings to be retained across MSCS to ensure no titles were lost from the group. Eventually, we agreed that this was too arbitrary and didn't take into account the different factors that resulted in titles being retained. Also, because MSCS wanted to make commitments to retain titles not de-accession them, we decided that the risk of the last copy being de-accessioned from the group was low.

In most cases, a MSCS library is only required to commit to retain one copy of a title they are assigned, but for ease of implementation, all copies will have retention commitments recorded in their records. Therefore, libraries are free to decide in the future that they will only retain a specific copy and remove the commitment in the local catalog for the other copies. This decision might be based on a particular copy being in the best physical condition or having a distinguishing feature. The exception to the one copy rule is in cases where libraries have a commitment to retain special collections copies and there are also additional circulating copies of the same title: in this case each library is required to retain one circulating copy to ensure that patrons still have access to a circulating copy.

8.1.8   Allocating Retention Responsibilities

Identifying which titles to retain is the first part of collection analysis. The second half is deciding how retention responsibility for those titles will be allocated across the group.

Factors that need to be considered include:

- **Geographical disbursement of copies**: Should copies be dispersed geographically across the group to facilitate access and for disaster recovery purposes?
- **Loan rules:** Are loan rules equitable across the group?
- **Shared ILS and delivery system between participants:** Is there a shared ILS system and delivery system to facilitate timely access to items?
- **Subject strengths:** Are there particular subjects that libraries want to ensure they are allocated responsibility to retain?

- **Storage space:** Do any of the participants have sufficient storage space to take on additional retention responsibilities? Alternatively, do any of the participants have such limited storage space that they require a proportionally smaller allocation?
- **Measurement of equitability across the group:** If distribution is to be made equitably, what should the measure be? Possibilities include: overall collection size, number of titles consider in analysis, and the library budget.

Once the allocation rules have been applied to the data, collection development and technical services representatives from the member libraries should be provided with spreadsheet lists of items their library will be committing to retain both for review and to disclose those commitments in catalogs and retention registries.

MSCS used a variety of factors to decide on the following allocation rules to apply to titles that had been identified as committed to retain:

1. ***If Colby College holds a title, titles are marked committed to retain.***
   During the project, MSCS partner Colby College built a new library storage facility and, because of this, were willing to be allocated a larger percentage of committed to retain titles. As an institution, Colby also has a strong commitment to retaining and preserving materials.

2. ***If a title is held by any of the Colby, Bates, and Bowdoin College Libraries then at least one of these libraries have their holding marked committed to retain. If Colby holds and is marked committed to retain per rule 1 then this rule will be satisfied.***
   Colby, Bates and Bowdoin Colleges have shared preferential loan periods which cannot be guaranteed by other partners as well as a consortial ILS. Therefore they were not willing to rely on copies outside of the three libraries for access of titles they were committing to retain.

3. ***Given that rules 1 & 2 are satisfied, the remaining commit to retain allocations are done in an "equitable" fashion, where every library commits to retain the same percentage of titles.***
   MSCS considered a constant ratio of retention commitments to analyzed titles a fairer way to allocate responsibility than overall collection size.

4. ***ALL Maine State Library's "local interest" title-holdings are marked committed to retain.***
   In keeping with the Maine State Library's mission to facilitate access to and delivery of library services and collection resources for the State of Maine they made the decision to commit to retain any "local interest" category title-holdings.

Members were satisfied with their overall allocation levels (monographs only):

- *Bangor Public*   *158,720*
- *Bates*   *183,359*
- *Bowdoin*   *217,431*
- *Colby*   *265,184*
- *Maine State Library*   *61,369*
- *Portland Public Library*   *94,797*
- *University of Maine*   *309,698*
- *University of Southern Maine 126,360*
- ***Total:***   ***1,416,918***

We also considered the following allocation factors, but eventually decided against including them in the rules:

- ***Subject:*** *We envisaged that subject data could be used to identify subject strengths of the partner libraries which in turn could be used to allocate retention responsibilities. Compiling this data took a lot of hours on the part of SCS to complete and therefore added significant costs. We found that it was not possible to perform this sort of granular analysis when making bulk retention decisions on three million items, but it is something that MSCS may come back to look at post-grant when not under the time constraints of the grant.*
- ***Geography:*** *Maine is a relatively small state with a robust ILL system that includes a one day turnaround time on physical delivery of many items. Therefore, the geographical disbursement of partners across the State was not a concern.*

SCS reported that our retention rules were the most complex and unique they had worked with because they included:

- *Special collections, which had a separate set of rules and meant SCS had to do more work at the item level.*
- *Different levels of copies retained for title-sets that had differing levels of circulation.*
- *Separate allocation rules for "local interest" titles.*
- *The allocation rules dictating the precedence order of Colby, then Bates/Bowdoin, then the other partners was difficult to implement. Normally, SCS work with libraries to set numerical allocation targets (both for retention and withdrawal) and then aim for those targets—without a hierarchy of retention locations.*

8.1.9   Retention Period

The retention period should meet the business needs of the members and act as an assurance that libraries are not required to retain materials indefinitely. Libraries should consider that changes in the library are accelerating and that it may be difficult to predict how things will look in five years--let alone 25 years. Most shared print initiatives have chosen to go with either 15 or 25 years. There should be a chance for the retention commitment to be reviewed at least once every five years. If member libraries

are part of multiple shared print initiatives with differing retention periods then consideration should be given to how this will work in practice: for example, will the longer period trump the shorter?

MSCS libraries agreed to retain material for 15 years with a chance for the retention commitment to be reviewed at least once every five years. With such uncertainty in the future of the library world and dwindling resources, MSCS directors were not willing to commit to a higher retention period. During this 15 year period libraries agree not to sell, discard, donate, or otherwise relinquish ownership or control of any of the archived materials prior to the retention date, except to transfer materials to another MSCS library or with permission of the MSCC Collections and Operations Committee.

8.2   Documenting and Disclosing Retention Commitments

Documenting retention decisions will allow libraries to identify those items they are committed to retain and shouldn't be de-accessioned. A by-product of retention decisions will be that other libraries can weed their collections safe in the knowledge that the material will be preserved by the committing library and remain accessible to their patrons. The disclosure process is complicated and time consuming, so libraries should agree where it's most useful and convenient to disclose retention commitments.

Most monograph shared print initiatives have chosen to not make their commitments public and only share the information with their partners, mainly so they have the chance to revisit the level of commitments over time.

We wanted other libraries to be able to use our retention decision as a factor in their own collection management decision-making, and also as an IMLS supported project we wanted to establish good practice for other projects. So we decided to disclose our commitments as widely as possible in: OCLC WorldCat, local catalogs and our union catalog MaineCat. We also submitted holdings information for serial and journal title commitments to the Center for Research Libraries' Print Archive Preservation Registry (PAPR). The PAPR registry does not currently accept holdings information for monographs.

The MSCS Systems Librarian is an expert on the capabilities of the Innovative systems used by partner libraries, so she took control of the disclosure process. This also ensured the statements were recorded in a consistent manner across member libraries catalogs and OCLC. MSCS were fortunate to have a contracted systems librarian who could spend a significant amount of their time on MSCS related activities. This helped us have the commitments disclosed in the grant period. However, even with Sara's considerable expertise the disclosure process has been complicated by vendor limitations.

8.2.1   OCLC WorldCat

Shared print initiatives that include OCLC members will likely follow the recommendations of the OCLC Print Archives Disclosure Pilot Final Report (2012)[16] and define separate OCLC institution symbols to identify items selected for retention. Recommendations include holdings-level data in MARC Holdings records (OCLC Local Holdings Records, LHRs) and using the MARC 583 Action Note to describe specific action(s) for each set of holdings. OCLC have produced guidance on recording shared print retention

---

[16] https://oclc.org/content/dam/oclc/productworks/OCLCPrintArchivesDisclosurePilotFinalReport.pdf

information[17]. Libraries that decide to have retention information loaded into the OCLC Local Holding Records of committed to retain titles are currently required to submit a request to OCLC Batchload Services.

Although there is no fee for the OCLC Shared Print Symbol, there are ILL fees associated with using it in both ILLiad and WorldCat Resource Sharing.

MSCS have chosen to make public our retention commitments in WorldCat, thus becoming the first project to go through the process of adding commitments for monograph titles. However, as a result of MSCS library director opposition to the ILL fees, MSCS decided that until a more practical model is developed, we will use two symbols for each holding in OCLC: both the main symbol, which will remain requestable, and the Shared Print symbol, which will be a non-supplier. MSCS have produced guidance on the process for submitting batchloading requests to OCLC[18].

OCLC took approximately four months to process MSCS's initial batch loading request, making it less effective for communicating holdings in a timely manner. However, once the project parameters were set up turnaround time for loads was much shorter--only one to two weeks. We have remained in contact with OCLC throughout the project about a self-service model for submitting holdings information and our requirements for the discovery of shared print items.

Example of Shared Print Symbol display in OCLC WorldCat:

[17] https://oclc.org/services/projects/shared-print-management.en.html
[18] http://www.maineinfonet.org/mscs/about/people/technical-services-subcommittee/recording-displaying-retention-decisions/lhrbatchload/

Example of MSCC retention statement in an OCLC Local Holding Record:

Local Holdings Record: Allen hex-socket screw handbook /

| OCLC | 13506959 | Dates | 1979 |

	Summary	Local holdings available.
	Leader	nu aun
007		tu
008		1310290u 8 0001uueng0131029
561	1	MEU
583	1	committed to retain $c 20130701 $d June 30, 2028 $f Maine SC $u http://www.maineinfonet.net/mscs/about/retention-copies $5 MeU
852		MEUSP $b MEUA

8.2.2 Local and Union Catalogs

Libraries may also decide to document retention statements in local and union catalogs at the item record level using the same fields as in OCLC (561, 583, and 852).

Example local catalog retention statement:

i10532535		Last Updated: 10-07-2013		Created: 07-06-1988		Revisions: 27
ICODE2	– NOT CODED	IN LOC	0	STATUS	o LIBR USE ON
I TYPE	1 book	# RENEWALS	0	INTL USE	0
PRICE	$0.00	# OVERDUE	0	COPY USE	0
OUT DATE	– – :	ODUE DATE	– –	IMESSAGE	– NOT CODED
OUT LOC	0	RECAL DATE	– –	OPACMSG	m MSCC
DUE DATE	– –	TOT CHKOUT	0	YTDCIRC	0
PATRON#	0	TOT RENEW	0	LYRCIRC	0
LPATRON	0	LOUTDATE	– – :		

```
c  090     |qRef.|aTJ1338|b.A43 1979
y  561 1   MEU
y  583 1   committed to retain|c20130701|dJune 30, 2028|fMaine SC|u
           http://www.maineinfonet.net/mscs/about/retention-copies|5MeU
y  852     MEUSP|bMEUA
b          37550000314683
```

Libraries will need to agree on an acceptable text for the display of the retention statement in the OPAC, ideally the display should be consistent across the member libraries' catalogs.

Most libraries in Maine are not OCLC members, so it made sense to display retention the commitments in both local and the union catalog where they will be visible to other Maine libraries. We made the decision to record the retention commitment at the item level. This was because the Colby, Bates, and Bowdoin catalog and URSUS catalog (used by four of the eight MSCS partners) are shared catalogs, along with MaineCat as a union catalog, there was concern that recording the commitment in the bibliographic record would be confusing--whose commitment is it? Also, the first library to add a title

into MaineCat creates the bibliographic record, so later libraries "attach" but don't contribute their bibliographic information, so it's not considered good practice to put any local information at the bibliographic level. Since there was already a precedent for putting the 856s (urls) into the item records for these very reasons, it made sense to add the retention commitments in the items as well.

MSCS have encountered issues with the display and transfer of 583 information to the central union catalog, MaineCat. We were trying to use the 583 for display, but due to vendor (Innovative) limitations it wasn't an acceptable display. We eventually used the OPACMSG field (coded 'm' MSCC in the example here) for display purposes to have the results during the grant period. After we brought this issue to their attention, Innovative have taken steps to improve their support of shared print in a future release of Inn-Reach (due late 2014).

Example for union catalog:

Series	Memoirs of the American Philosophical Society ... vol. VI, 1937
Bibliog.	Bibliography: p. 193-198
Subject	Snowshoes and snowshoeing
	Skis and skiing
	MSCC Retention Copy Held By Bowdoin College, University of Maine

The text and location of the MSCC libraries' OPAC retention statement required significant tweaking to ensure it didn't confuse staff or patrons. The "MSCC" text shown below is a link to an explanation of the retention commitments on the MSCC website[19].

Example for local catalog:

Author	Budge, E. A. Wallis (Ernest Alfred Wallis), Sir, 1857-1934
Title	The Rosetta stone in the British Museum the Greek, demotic, and hieroglyphic texts of the decree inscribed on the Rosetta stone conferring additional honours on Ptolemy V Epiphanes (203-181 B.C.) with English translations and a short history of the decipherment of the Egyptian hieroglyphs, and an appendix containing translations of the stelae of Ṣân (Tanis) and Tall al-Maskhûṭah by Sir E. A. Wallis Budge
Published	London, The Religious tract society, [1929]

Location	Call No.	Status	
Colby Storage Facility Book	PJ1531 .R3 1929	Available	MSCC

8.3   Modifying Retention Commitments

Changes to library's' retention commitments through changing responsibility or new acquisitions are inevitable and may involve different staff than originally worked on disclosing commitments. Clear documented procedures for adding and removing commitments is necessary. There should be a dedicated area on the initiative's website for procedures, policies, etc.

---

[19] http://www.maineinfonet.net/mscs/about/retention-copies/

MSCS have produced guidance 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. [20]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.

8.4　Validation and Condition Checking

Retention commitments and weeding decisions are made on the assumption that the items are actually on the shelf in the allocated library. Ideally libraries would have conducted an inventory of their collection before the shared print initiative began to validate that items are actually on shelves and their physical condition. If a full inventory wasn't conducted, the libraries should validate that committed to retain items are actually on shelves and check their physical condition.

An additional MARC 583 Action Note **‡a** Action should be used to record if the title was validated for condition by including "‡a completeness reviewed" with appropriate **‡l** Status terms to report evidence of missing units, binding anomalies or reprints; use the **‡z** Public note to specify gaps and missing materials[21].

The MSCS Project Team and Collection Development Committee decided that it would not require partner libraries to validate committed to retain items, but the systems librarian provided guidance for adding retention information in the MARC 583 field regarding validation and condition checking should libraries decide to do this work. So far no MSCS libraries have plans to conduct any concerted validation or condition checking, but if libraries do identify damaged retained items they are expected to follow their usual workflows and procedures for repairing and replacing them. However, as discussed above, if the items meet the criteria in the Policy on Retention Commitment Changes the commitment can be transferred or reversed[22].

8.5　Preserving Retained Titles

Having made commitments to retain titles, libraries should consider what steps are necessary to ensure the material is preserved for the long-term, including:

- Digitization
- Repair and mending
- Environmental controls
- Handling and shelving rules
- Disaster recovery planning

MSCS libraries already use a number of the above preservation methods, but specifically for shared print items 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 to decide which titles should be digitized:

---

[20] http://www.maineinfonet.org/mscs/progress/
[21] http://www.oclc.org/services/projects/shared-print-management/metadata-guidelines.en.html
[22] http://www.maineinfonet.org/mscs/policy-on-retention-commitment-changes/

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

We decided to focus scanning efforts on titles in the public domain and not already digitized in the HathiTrust. MSCS libraries were provided with lists of titles that met these criteria and so far two libraries (Bangor Public Library and the Maine State Library) are using their lists to identify digitization candidates. The other libraries did not have the resources to carry out the digitization work at this time.

MSCS libraries also considered whether there were categories of items that should be transferred from circulating areas to special collections in order to provide a better preservation environment. We decided that we would focus our efforts on what we considered 'rare' titles which were those titles where there were fewer than 10 OCLC holdings in the US. 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 transfers*
- *Access to circulating copy in group*
- *MSCS policy of ensuring all special collections/archives copies and at least one accompanying circulating copy are retained*

MSCS libraries were provided with lists of titles that met these criteria and so far two libraries (University of Maine and the Maine State Library) have identified a small amount of items they want to transfer (e.g. University of Maine transferred 11 items). For the other libraries the collection priorities and lack of available of space were the main reasons why they have yet to carry out transfers.

8.6   E-book-On-Demand and Print-On-Demand service models

Alongside existing physical delivery services libraries can look at implementing E-book-On-Demand (EOD) and Print-On-Demand (POD) service delivery models to meet the changing reading and delivery preferences of their patrons.

8.6.1   Ebook-On-Demand services

Libraries should consider the reliability of digital sources and the types of material available when deciding which digital collections to make discoverable in their catalogs. The Open Content Alliance seek to build a permanent archive of digitized material from a range of sources and is administered by the

Internet Archive[23]. The HathiTrust[24] is a digital preservation repository that also provides access services for public domain and in copyright content from a variety of sources, including Google Books[25], the Internet Archive, Microsoft, and partner institutions. The HathiTrust have quality control standards that must be met before material can be added to the collection. The Center for Research Libraries have also completed an assessment of the HathiTrust as a digital repository and certified them as a reliable digital preservation solution.

Libraries should consider any access and use restrictions the digital collections might use. For example: although public domain material is freely viewable in the HathiTrust; the ability to fully download certain material (particularly Google digitized items) is restricted to patrons of partner institutions. But all patrons can fully download Google-digitized titles if they view the material directly in Google Books.

The HathiTrust provides the ability to conduct a full-text search of its collection including in-copyright items. HathiTrust also make in-copyright material accessible to patrons of partner institutions with a print disability, but restrictions do apply[26].

Large-scale digital collections like the HathiTrust, Google Books and Internet Archive include millions of items on a diverse range of subjects. Before making these records discoverable libraries should consider the dangers of overwhelming both the system and patrons. In addition to just turning on the discovery of items available in digital collections libraries can actually load records with links to the digital collection into their catalog. Libraries should consider the quality of these records before they are loaded and whether any cleaning is required. The HathiTrust makes their data sets available for research purposes, but access restrictions do apply[27]. Libraries should develop a process for loading the records into their catalog including for any future updates that are required.

At MSCS we decided that we wanted to load 1.4 million MARC records for HathiTrust public domain titles into our union catalog and included links to a viewable/downloadable (depending on rights restrictions) copy in the HathiTrust online catalog. MSCS also loaded Google Books links (where available), allowing users to fully download Google-digitized titles that can only be downloaded from HathiTrust one page at a time. We also investigated the possibility of including links to Internet Archive items in MaineCat records, alongside those of Google Books and HathiTrust. However, the Internet Archive records were found to be not uniform and thus more complicated to prepare and load. Also, the items available include a range of formats, many of which are not supported by Maine libraries. Because of these reasons, MSCS decided not to proceed with loading links to Internet Archive items.

---

[23] https://archive.org/index.php
[24] http://www.hathitrust.org/
[25] http://books.google.com/
[26] http://www.hathitrust.org/accessibility
[27] http://www.hathitrust.org/datasets

Example record:

8.6.2 Print-On-Demand (POD) services

For Print-On-Demand libraries should consider the following factors:

- Access to reliable commercial vendors
- Costs and logistics of processing requests, printing and delivery
- Copyright status of materials
- Restrictions on commercial use of digitized material
- Restrictions on who can make requests

MSCS's MARC records for HathiTrust also include a "Request Print Copy" link which takes users to a form where they could submit a request for a POD copy. Originally, MSCS had planned on acquiring an Espresso Book Machine (EBM), but based on a higher than expected price quote, as well as feedback from two academic libraries with installations, MSCS decided not to purchase an EBM. We explored other avenues and eventually decided to use the University of Maine Printing and Mailing Services to print books.

MSCS tested the Print-On-Demand (POD) service for four months to evaluate the demand 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. Some interesting finds from the requests and customer feedback survey we sent out included:

- *61 titles were requested in total.*
- *37 individuals made requests. One individual requested a total of ten books.*
- *24 titles requested were already available as print copies in MaineCat.*
- *There were a diverse range of titles requested, but the LC Classification F "Local History of the United States and British, Dutch, French, and Latin America" received the most (19).*
- *The vast majority of titles were available from commercial vendors directly from links in the Google Books and HathiTrust viewer. In many cases the cost of the commercial vendor copy was less than what the University of Maine Printing and Mailing Services charged.*
- *Source of POD PDF files was split between Google Books (37 titles) and HathiTrust (24 titles).*

38

- *The vast majority (96%) of responders requested a print copy because they prefer to read books in print. 4% were curious about what would happen if they requested the book.*

Based on the volume of requests received and feedback from requesters there is a demand for the service. We 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.

9. Conclusion

Over the three years of our project we learned some valuable lessons that have been described in this guide so that others might learn from our experiences.

The various parties and interests involved in MSCS meant a number of different ideas were considered and then eventually rejected, but we found these investigations to be a central part of the process which helped us to come to our final conclusions. However, as we debated all the different permutations it sometimes felt like we couldn't see the wood for the trees. Shared print touches on a number of significant and often politically sensitive issues (e.g. collection size and withdrawals) that can get in the way of making decisions, which is why it's important to have a clear set of projects objectives and a process in mind that can be referred back to in times of need.

MSCS has shown that although analyzing collection data and developing retention policies can be a difficult process, it is possible for multi-type libraries to successfully collaborate and make shared retention commitments across large collections. Libraries should be aware that getting to this stage will require complex analysis and difficult decisions; to succeed, the initiative will need the support and leadership of those managing the project. But, the rewards of agreeing to the retention commitments will be great, not only for individual libraries to maximize dwindling resources, but also for the greater good of the library community by guaranteeing access to titles for years to come.

10. Appendix 1: Timeline

The scale and deadlines required by funding sources will mean that every initiative will have its own specific timeframe. But the following can be used as an example timeline for the activities described in this guide.

1. **Planning phase – 12/18 months**
    a. Agree objectives
    b. Appoint Steering Committee
    c. Investigate funding support options
    d. Develop project plans and initial budget
    e. Hire initiative staff (program manager)
    f. Membership outreach: survey potential members, arrange initial meeting
    g. Develop governance and financial model
    h. Determine administrative host
    i. Develop and execute MOUs
    j. Appoint initial Executive Committee
    k. Executive Committee appoints Operations Committee and Working Groups from membership base and outside Advisory Board
    l. Evaluate current collection analysis tools and services
    m. Data preparation and cleaning
    n. Finalize financial model
    o. Membership meeting I

2. **Phase II – 12/18 months**
    a. Contract with collection analysis vendor
    b. Extract data for analysis
    c. Collection analysis vendor carries out data checking and holding lookups
    d. Collection analysis vendor generates data reports for collection analysis and use of print collections
    e. Complete analysis; produce and document retention policy
    f. Publish and publicize findings
    g. Holdings validation and condition checking
    h. Disclose retention commitments in appropriate catalogs and registries
    i. Develop operational policies and procedures for ongoing maintenance work
    j. Project evaluation
    k. Membership Meeting II

3. **Phase III – 24-36/48 months**
    a. Investigate broadening membership and scope
    b. Plan future activities e.g. on demand services, additional collection analysis, and preservation methods
    c. Revisit costs and fee structure
    d. Membership Meeting III