

Reducing Unintentional Duplication: Adventures and Opportunities in Cooperative Collection Development

Leslie Button

University of Massachusetts Amherst, button@library.umass.edu

Rachel Lewellen

University of Massachusetts Amherst, rlewellen@library.umass.edu

Kathleen Norton

Mount Holyoke College, knorton@mtholyoke.edu

Pamela Skinner

Smith College, pskinner@smith.edu

Follow this and additional works at: <https://docs.lib.purdue.edu/charleston>

An indexed, print copy of the Proceedings is also available for purchase at:

<http://www.thepress.purdue.edu/series/charleston>.

You may also be interested in the new series, Charleston Insights in Library, Archival, and Information Sciences. Find out more at: <http://www.thepress.purdue.edu/series/charleston-insights-library-archival-and-information-sciences>.

Leslie Button, Rachel Lewellen, Kathleen Norton, and Pamela Skinner, "Reducing Unintentional Duplication: Adventures and Opportunities in Cooperative Collection Development" (2011). *Proceedings of the Charleston Library Conference*.

<http://dx.doi.org/10.5703/1288284314882>

Reducing Unintentional Duplication: Adventures and Opportunities in Cooperative Collection Development

Leslie Button, Associate Director for Library Services, UMass Amherst Libraries

Rachel Lewellen, Assessment Librarian, UMass Amherst Libraries

Kathleen Norton, Director of Collection Development, Mount Holyoke College Library

Pamela Skinner, Reference/Electronic Resources Librarian, Smith College Libraries

Abstract:

This presentation is an analysis of the cooperative collection development effort to minimize print book duplication within the Five Colleges libraries (Amherst College, Hampshire College, Mount Holyoke College, Smith College, and the University of Massachusetts Amherst). An extensive analysis of the combined monograph collections identified the number of duplicated titles, the use (circulation), and the cost of these volumes. With up to 79% of the monographs within a single collection being duplicated and 43-61% of those duplicated items not circulating it was imperative to adjust collection strategies to eliminate unintentional duplication and increase unique material within the consortium. In FY2010 the Five Colleges libraries instituted a program to reduce unintentional duplication and now two full years of data are available. The talk will review the results of the collection policy including, duplication, use, cost, selection method, and future ventures including cooperative purchase of shared e-books and standing order overlap review. Also addressed is the process of establishing a shared approach across multiple institutions with varying environments.

This paper describes the Five College Libraries project to avoid unintentional monographic duplication within the libraries of five colleges. The Five College Libraries are part of Five Colleges, Incorporated, located in the Pioneer Valley of western Massachusetts. This non-profit education consortium was established in 1965 to promote "broad educational and cultural objectives of its five member institutions." The members include four private liberal arts colleges and a very large, research-intensive state university. The Five College Libraries activities grew from very successful collaboration in the 1950s among Amherst College, Mount Holyoke College, Smith College, and the University of Massachusetts Amherst (UMass). This collaboration includes the creation of Hampshire College, which was chartered in 1965 and accepted its first students in 1970. In addition to the library cooperation described below, Five Colleges provides cross-registration for classes, joint departments and programs, and free inter-campus transportation.

Formal library cooperation within the consortium dates back to 1951 when Amherst, Mount Holyoke, and Smith founded the Hampshire Inter-library Center (HILC). HILC was modeled after the

Midwest Inter-Library Corporation (MILC), the forerunner of today's Center for Research Libraries. HILC was designed as a repository for rare and little-used library materials that were impractical for any one institution to acquire, yet desirable for local research purposes. In 1973, the Five College Librarians Council (FCLC) approved a one-year experiment to expand resource sharing by extending borrowing privileges for faculty, staff, and students across the libraries. The pilot was an enormous success and led to user-initiated, unmediated borrowing functionality fifteen years ago. Direct borrowing is supported by an inter-library delivery service which transports materials to the libraries twice per day. The borrowing system works very equitably, making the collections more accessible; in addition, the policies and procedures are more transparent to all patrons of the Five College Libraries. The Five College Libraries have implemented three online library systems (ILS) since the 1980s, including the current ALEPH online catalog. Numerous library committees exist to address functional work for components of the shared library system and cooperative ventures. A shared off-site storage facility, the Five College Libraries Depository (FCLD), was established in 1999. Frequently cited as a model in the library community, materials in the FCLD are viewed as one shared collection. Geographic proximity to one another, the

shared online catalog, and a commitment to resource sharing serve as a very solid base for Five College Libraries cooperation.

Project Background:

The FCLC establishes strategic directions for the libraries every three to five years. In January 2008, the FCLC established four strategic directions, one of which was cooperative collection development (CCD) selected with both encouragement and pressure from the Five College presidents. There were other successful models of CCD. Most of them were centered at institutions of similar size and mission. Five Colleges had somewhat differing cultures and missions, a potential challenge for successful implementation of CCD as a Five College Libraries project. Further, the FCLC and other library committees lacked data that informed overlap percentages. Identifying duplication rates was an important first step. The FCLC asked UMass to conduct an overlap analysis using OCLC's WorldCat Collection Analysis Tool (WCAT). The WCAT data confirmed that the UMass collection overlapped with the four college collections from 6% to 77%, depending on the subject area.

Defining the Policy:

In September 2008, the FCLC charged the Five College Collection Management Committee (CMC) to propose a CCD pilot for up to ten subject areas. FCLC's parameters for the project included:

- Reduce the overlap in titles purchase and thereby expand the availability of unique print books available across the Five Colleges.
- Utilize YBP as a common supplier.
- Implement the project on July 1, 2009.

Data Gathering to Inform the Project:

The CMC recommended architecture, environmental studies, history, law, and sociology as project subject areas in October 2008, based on the WCAT data which showed an above average percentage of overlap in these subject areas. With the subject areas identified, the discussions shifted to defining how best to move forward; this included exploring different institutional missions and cultures, workflows, and local commitment for the project in the absence of a larger mandate to cooperate. The CMC

wanted also to look beyond the WCAT data. While that data was useful to identify subject areas, WCAT was insufficient as a benchmark tool for measuring project progress. First, only UMass subscribed to WCAT, so it only measured UMass overlap with four colleges in the aggregate. We needed to know what the overlap was among the four college libraries, too. Second, it did not contain book purchase or circulation data, two other elements necessary to benchmark the project. Finally, we needed a baseline that included these data elements against which to benchmark. The CMC recommended to the FCLC that the needed data could be extracted from the shared online catalog. The FCLC approached UMass to retrieve monographic expenditures, number of titles purchased, and circulation for books purchased by fiscal year for each of the five institutions.

Once this data was extracted from the shared ILS, the CMC looked at monographic overlap for books published between 1998 and 2009. This eleven-year review revealed that duplication ranged from 36% to 79%. For example, 36% of the books purchased by UMass were purchased also by one or more of the four colleges. In contrast, Hampshire College purchases for this same period showed that 79% were duplicated elsewhere. The analysis also revealed that for FY2007 and FY2008, the four colleges (Amherst, Hampshire, Mount Holyoke and Smith) spent \$1,139,116 on books also purchased by UMass. UMass spent \$636,066 on material purchased by the four colleges. And circulation rates for the duplicated material averaged only 53%.

The CMC continued discussions of the pilot project management for several months. Questions the group grappled with included the pros and cons of a shared approval plan for the defined subject areas and cost sharing. The shared approval plan was eventually rejected because it was not a good fit for differing workflows and institutional needs. The pilot project took a slightly different turn in January 2009, when it became very clear that all of the libraries faced similar challenges for the FY10 budgets. The Five College presidents also continued "... to encourage an increased level of cooperation among the libraries and to think of the libraries increasingly as one collection." [1] Shifting gears to adapt to the new environment, the CMC proposed

to “... facilitate efforts to better coordinate purchases for our book collections, in an effort to reduce unnecessary duplication, so we can increase the breadth and the strength of our combined collections. We will order additional copies only when they are clearly required to support teaching, learning, and research. This decision will be made at the local library level.”[2]

Implementing the Policy:

Implementing a shift of this nature required the cooperation of selectors at all five campuses as well as—in some cases—the engagement of the faculty. With widely divergent campus sizes, acquisitions budgets, and collection development practices, implementation has taken a different form from campus to campus. As the smallest campus (student FTE 1,450), Hampshire College is also the newest of the Five College institutions; it was chartered in 1965 and accepted its first students in 1970. At Hampshire, selectors have always purchased monographs mainly in support of 100- and 200-level classes, duplicating local Five College holdings if necessary. However, for upper-level courses, Hampshire relies heavily on the collections in the other four institutions and beyond. So in some sense, Hampshire has always viewed the Five College Libraries collections “holistically.” And since Hampshire does not have any faculty selectors, the question of “buy in” never came into play with the new policy. But, in order to keep better watch of what the other campuses were purchasing, Hampshire moved from Eastern to YBP as its vendor.

Next in size is Amherst College, with a student FTE of roughly 1,800. Librarians and faculty members at Amherst place a premium on “browsability.” At Amherst, having a copy of a book available on another campus is not always considered an adequate substitute for ownership, even with one- to two-day delivery from the other Five College campuses. That philosophy—combined with the fact that the Amherst College Library has been very generously funded over the years—has allowed Amherst to duplicate purchases made by other Five College Libraries when they are core titles (very generously interpreted) and/or match known curricular and faculty research interests at Amherst. Amherst also has a very active liaison program, through which librarians stay in touch with faculty. When the “one

copy” initiative was broached initially, Amherst faculty and librarians pushed back quite vocally, resulting in the modification of the strict, single-copy policy to permit more local decision-making with respect to duplication. Like Hampshire, Amherst also changed vendors, in this case from Midwest to YBP in order to fully participate in Five College collections coordination via “GobiTween.”

At roughly 2,100 and 2,600 students respectively, Mount Holyoke and Smith share the most uniform implementation of the new policy. At Mount Holyoke, most of the selection is done by librarians and instructional technologists. (Mount Holyoke is a merged organization.) Using GobiTween, staff consider Five College holdings in their purchasing and mark items “DN” (designated need) if the book needs to be at Mount Holyoke, regardless of other Five College locations. Reasons for designated need include reserves, reference, core area, curricular need, and, to some extent, historical collection strengths. At the time of order, Acquisitions watches for other Five College copies; if another Five College copy is found, the order will be placed only if there is a “designated need” note. Since the level of faculty purchasing is low at Mount Holyoke—under 15% of purchasing—faculty requests are always considered “designated need.” Staff members have communicated the new policy to faculty via their liaisons, and—despite the fact they were not asked to do this—faculty members regularly add notes to their orders stating either that another copy in Five Colleges will suffice, or that there is a local need and the title should be ordered, regardless of holdings in the other libraries.

Smith College’s collection development practices harken back to a largely bygone model. All academic departments receive an annual monographs allocation (roughly 55% of the total monographs budget). Though some departments do better at ordering than others, faculty in general consider the allotment “their” money, and any discussion of discontinuing this practice is met with fierce resistance in this institution with exceptionally strong faculty governance. Thus, implementing the additional copy policy at Smith required the endorsement of the Faculty Committee on the Library, as well as frequent reminders from library liaisons to consider other Five College holdings when ordering. Faculty

members are now asked to flag their orders with “SC copy essential” for any title that needs to be at Smith, regardless of other Five College holdings. Similar to Mount Holyoke’s practice, as acquisitions staff process book orders, they watch for other Five College holdings, and—if other Five College order/copies are found—the order is only placed if it carries the “SC copy essential” designation. Faculty members have, for the most part, worked to implement the policy in their own selections. One other note: Smith receives not only e-slips via GOBI, but also shelf-ready approval books in some class ranges and subject areas. But, the shelf-ready approval books account for only 15% of all of Smith’s YBP orders over the course of a year. In turn, a full 75% of our monographic orders (approval and firm) come from YBP. Beyond that, Smith also uses a Worldwide approval plan for art books.

For Mount Holyoke and Smith, the new policy has resulted in a shift in philosophy. Whereas in the past, a library selector might say “Everyone else in the Five Colleges has this book, so we should too,” now the selector weighs whether a local copy is essential for teaching and curricular needs—or whether having a copy available on another campus is sufficient. There is also a sense that there are some very wide overlaps in our various curricula—who doesn’t offer courses in U.S. history? If we didn’t duplicate in some areas, we wouldn’t have much to collect.

UMass, by far the largest institution in the consortium, with a student FTE of roughly 26,000, has fully embraced the policy of avoiding unnecessary duplication; certainly the erratic funding the library receives from the state—with good materials budgets some years and woeful budgets in others—has played a major role in this policy shift. UMass makes some very limited exceptions to the policy. Those exceptions include automatically ordering books that receive major reviews in the *New York Times* and automatic shipments of music and art books through two small approval plans. (The music plan is with YPB, and the books received are shelf-ready; the art plan is with WorldWide, and the books are not received shelf-ready.) Faculty members at UMass recommend materials for purchase to subject selectors. The UMass acquisitions staff relies heavily on selectors to check YBP’s Go-

biTween to see if others in the Four Colleges have already ordered an item. Librarians have shared this new policy with the campus community through the Faculty Senate Research Library Council, through liaisons communicating with departmental faculty, and with the Dean’s Council. Most faculty members have been very supportive of this new policy.

Despite all the local variation, the overlap among collections is declining, as the following data analysis reveals.

About the Data:

Data on duplication, circulation, and cost were extracted from a shared Oracle ILS database. Duplication was determined based on OCLC number. Print monographs were identified as a material type of “book” or “monograph.” Circulation activity was calculated from the date of receipt through August 26, 2011. Standing orders were generally excluded. Variations in ordering or coding practices between libraries resulted in minor inconsistencies, but these are not believed to detract from the validity of the results.

Results:

In each library the percentage of duplicated materials decreased and the percentage of unique materials increased between FY2008 and FY2011 (Figures A and B). This improvement was observed independent of an increase or decrease in the total number of items purchased (Table 1). The total consortia duplication decreased from 60% to 51% between FY08 and FY11.

The number of copies owned by three, four, or five libraries saw the greatest reduction. This shift away from the original idea of “one copy” in the consortium to “intentional duplication as needed” seems to be reflected in the reduction of copies owned by three, four, or five libraries and the slight increase in the number of copies purchased by two libraries (Table 2). This suggests a willingness to look at the five collections more holistically. On some level, there was a willingness to acknowledge the need for two copies of a title in the system, but there was restraint enough to forgo a third copy, even if it was an item that typically would have been purchased in the past.

The circulation rate of duplicated items has been strong over time. After approximately four years on the shelf, 79% of duplicated titles have circulated. During the same time period, only 59% of unique titles circulated (Table 3).

In addition, 10% to 49% of total circulation for each individual library came from the other consortial libraries. This will be monitored over time to see if the reduction in duplicated items and the corresponding increase in unique items lead to greater consortial borrowing. Two years of data

“post-policy” indicates borrowing from partner libraries increased modestly for four of the five libraries (Table 4).

The overall reduction in duplication will also be monitored over time. Further data collection will allow us to examine the data in a longitudinal manner which will enhance our ability to further understand potential factors associated with duplication reduction. For example, does high or low purchasing activity over a number of years have an effect on duplication rate? (See Table 1.)

Figure A

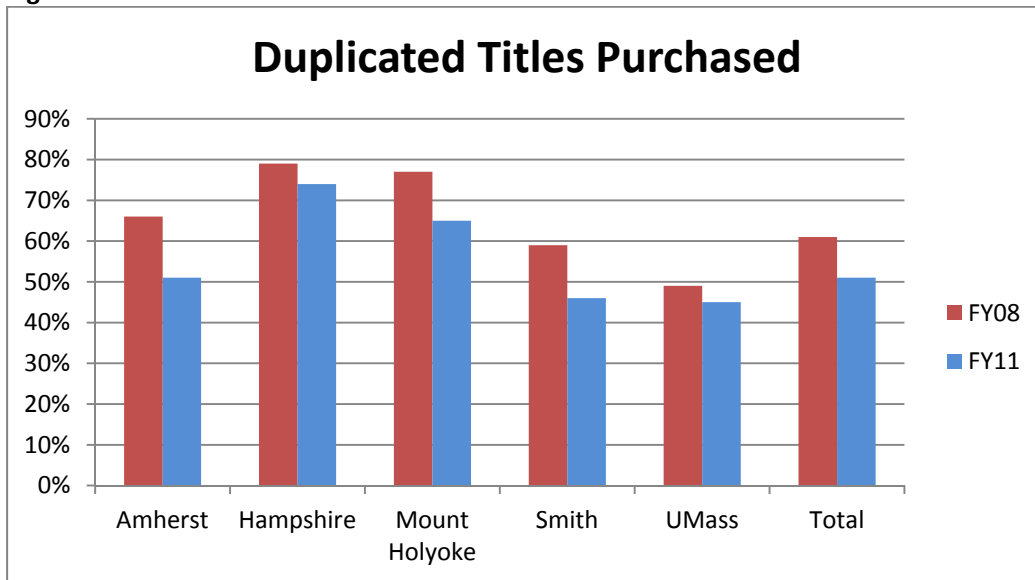


Figure B

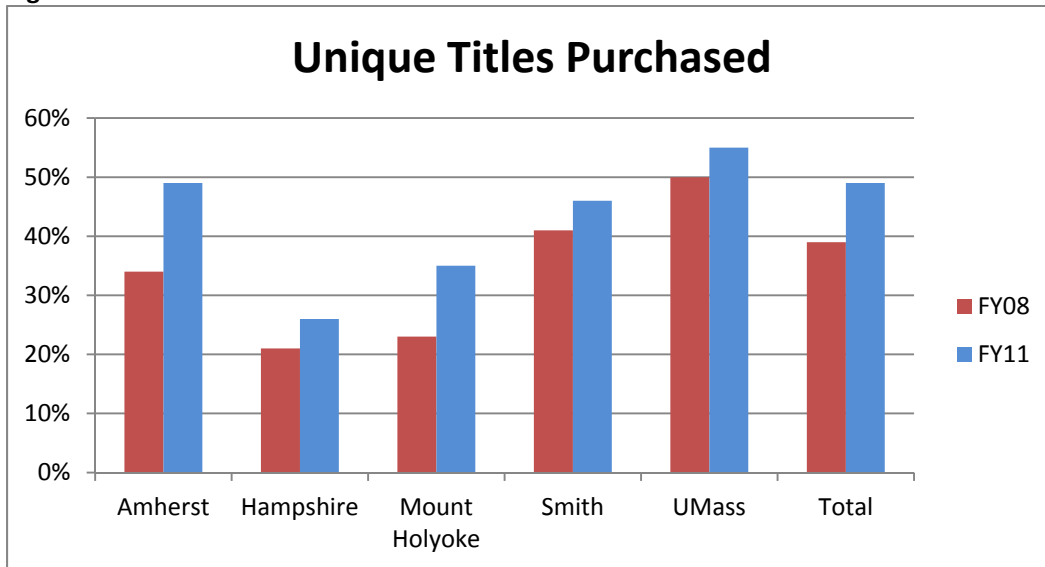


Table 1

Five College Collection Analysis as of August 26, 2011								
	FY2008		FY2009		FY2010*		FY2011	
Amherst								
unique items - %	4,824	34%	5,608	41%	6,462	44%	6,314	49%
duplicated items - %	9,335	66%	8,095	59%	8,122	56%	6,589	51%
Items purchased	14,159		13,703		14,584		12,903	
\$ spent - % change from previous year	\$ 634,409	33%	\$ 607,323	-4%	\$ 712,848	15%	\$ 635,695	-12%
Hampshire								
unique items - %	456	21%	223	16%	437	22%	451	26%
duplicated items - %	1,767	79%	1,215	84%	1,594	78%	1,254	74%
Items purchased	2,223		1,438		2,031		1,705	
\$ spent - % change from previous year	\$ 63,246	2%	\$ 56,428	-12%	\$ 77,196	27%	\$ 63,946	-21%
Mount Holyoke								
unique items - %	1,551	23%	1,638	24%	2,472	36%	2,027	35%
duplicated items - %	5,181	77%	5,093	76%	4,449	64%	3,786	65%
Items purchased	6,732		6,731		6,921		5,813	
\$ spent - % change from previous year	\$ 287,611	-6%	\$ 306,444	6%	\$ 308,563	1%	\$ 267,448	-15%
Smith								
unique items - %	6,685	41%	5,634	44%	6,276	52%	6,852	54%
duplicated items - %	9,714	59%	7,315	56%	5,821	48%	5,837	46%
Items purchased	16,399		12,949		12,097		12,689	
\$ spent - % change from previous year	\$ 970,778	24%	\$ 780,225	-24%	\$ 773,661	-1%	\$ 826,017	6%
UMass								
unique items - %	8,294	50%	5,265	45%	1,594	47%	5,420	55%
duplicated items - %	8,167	50%	6,522	55%	1,821	53%	4,431	45%
Items purchased	16,461		11,787		3,415		9,851	
\$ spent - % change from previous year	\$ 803,489	13%	\$ 650,931	-23%	\$ 168,660	-286%	\$ 544,656	69%
Five College Total								
unique items - %	21,810	39%	18,368	39%	17,241	44%	21,064	49%
duplicated items - %	34,164	61%	28,240	61%	21,807	56%	21,897	51%
Items purchased	55,974		46,608		39,048		42,961	
\$ spent - % change from previous year	\$2,759,532	19%	\$2,401,352	-15%	\$ 2,040,927	-18%	\$2,337,762	13%
<i>* Intentional reduction of duplication began FY10</i>								

Table 2

Monograph Duplication within the Five Colleges Consortium				
	FY08	FY09	FY10	FY11
Owned by 2 Libraries	24%	26%	29%	29%
Owned by 3-5 Libraries	38%	35%	26%	21%
Total Duplication	61%	61%	56%	51%

Table 3

Five College Circulation Analysis as of August 26, 2011*					
	FY2007	FY2008	FY2009	FY2010	FY2011
Amherst					
unique titles	58%	55%	49%	46%	29%
duplicated titles	69%	65%	61%	55%	33%
all titles	66%	62%	56%	51%	31%
Hampshire					
unique titles	72%	69%	77%	62%	45%
duplicated titles	83%	74%	73%	61%	44%
all titles	80%	73%	73%	62%	44%
Mount Holyoke					
unique titles	56%	56%	58%	50%	34%
duplicated titles	67%	66%	62%	55%	37%
all titles	64%	64%	61%	53%	36%
Smith					
unique titles	55%	52%	49%	41%	23%
duplicated titles	68%	62%	59%	50%	30%
all titles	63%	58%	55%	45%	26%
UMass					
unique titles	63%	64%	62%	55%	31%
duplicated titles	77%	74%	70%	72%	44%
all titles	70%	69%	67%	64%	44%
Five Colleges Total					
unique titles	59%	58%	54%	46%	28%
duplicated titles	71%	67%	63%	55%	36%
all titles	67%	63%	60%	51%	32%

** Includes circulation of unique items, duplicated items and overall circulation from the time of purchase through August 2011.*

Table 4

Five College Borrowing as a % of Total Borrowing					
	Amherst	Hampshire	Mount Holyoke	Smith	UMass
FY08	11%	44%	14%	18%	16%
FY09	11%	46%	15%	17%	18%
FY10	10%	49%	17%	18%	19%
FY11	11%	49%	20%	19%	20%

Services that Support the Policy/Areas for Future Collection Cooperation:

The Five College delivery service is essential to the libraries' resource sharing. Facilitated by the shared catalog's "request item" feature and uniform loan periods across the consortium, this service picks up and delivers materials twice a day Monday through Friday. There was initial concern the new policy would place a strain on the delivery service. To date, that has not happened.

Most of the libraries that did not already have an interlibrary loan "purchase on demand" program in place decided to implement one after the project started. Through this program, English-language books that meet certain pre-defined criteria are automatically purchased. The CMC's philosophy was that if a patron requested an item, it would be useful for the consortium to have an available copy. There is consideration now to expand this to foreign language materials.

Current efforts have focused on overlap reduction in the orders placed via YBP, which represent the bulk of Five College monographic orders. In the future, we may look at overlap outside of YBP, for example, in the three Worldwide art book approval plans that still remain in the Five Colleges and in orders of foreign language materials. We also plan to review standing orders, some of which were established before the implementation of a shared catalog and easy borrowing between campuses. These materials seem ripe for further reducing unnecessary duplication. The next step toward such an exploration requires consultation with acquisitions staff because of institutional differences in coding standing order records.

The libraries have also begun to look at demand for heavily requested books extracted from the shared catalog each month. Heavily requested is defined as

more than three requests in the past thirty days. This list is available to selectors across the consortium. The CMC is currently exploring the potential to purchase shared e-books for these "in demand" print monographs. In fall 2010, the FCLC engaged R2 Consulting to recommend ways the Five College Libraries could license and further expand the small base of electronic resources that are currently shared. Earlier this year, the CMC agreed to license MARCIVE's Documents without Shelves. This allowed the Five College Libraries to load only one set of records, instead of five sets, which simultaneously improved the user experience by displaying only one record for them to access the resources. The Five Colleges continue to discuss how best to move forward with R2's recommendations, including what additional staff resources are needed. Lastly, the CMC continues to discuss patron-driven acquisitions (PDA). The rapidly evolving e-book environment has challenged how cooperation for PDA might work.

We believe that the current project offers several lessons that will help us in cooperative projects going forward. First, we respected the priorities and philosophies of the individual campuses and allowed for local decisions about implementation. Second, we worked within existing committee structures and did not build a new structure; this approach assured that this project became part of "regular work" and was not a special add-on. Lastly, by continuing to work with the UMass Assessment Librarian, and reviewing overlap reports each year, we keep the topic in front of the committee and selectors and continue to build a culture of assessment within the consortium. The Five College Libraries look forward to continuing to build on their long history of working together to enhance resource sharing through cooperative collection development and other initiatives.

Endnotes

1. Five College Collection Management Committee, "Minutes & Resources," January 16, 2009, <http://www.fivecolleges.edu/sites/fccm/news/detail.php?contentID=2436>.
2. Five College Collection Management Committee, "Minutes & Resources," May 8, 2009, <http://www.fivecolleges.edu/sites/fccm/news/detail.php?contentID=2743>.