

Cover Sheet for Performance Reports

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11. Certification: By submitting this report I certify to the best of my knowledge and belief that this information is correct and complete for performance of activities for the purposes set forth in the award documents.	
11a. Name and title of authorized certifying official: <u>Arlene B. Russell Associate Director for Post-Award and Fiscal S</u> _____	11c. Telephone (area code, number, extension): <u>(207) 581-1472</u> 11d. Email address: <u>arlene.russell@umit.maine.edu</u>
11b. Signature of authorized certifying official _____	11e. Date report submitted (mo/day/yr): _____
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Maine Shared Collections Strategy's Interim Performance Report January–December 2013

Project Goals

1. To develop a strategy for a state-wide, 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 realize these goals the following activities have been undertaken:

Collection and use analysis of print collection

After MSCS decided not to renew OCLC's WorldCat Collection Analysis, the MSCS Project Team researched collection analysis tools and agreed that Sustainable Collections Services (SCS) could provide the type of collection analysis services required. In February 2013, SCS and MSCS agreed to work together and have worked hard to produce a quick turnaround on the preparation and processing of data to be analyzed. Of particular importance was SCS's consulting support and data reporting, which has allowed MSCS to make real progress on analysis and decision-making.

In February 2013, MSCS provided SCS with 2.9 million bibliographic records, circulation and holdings data from the partner libraries. SCS cleaned, normalized, de-duped, and filled in missing data. SCS also matched titles to OCLC WorldCat including U.S. and state holdings, HathiTrust public domain and in-copyright items, and Internet Archive (which was a first for SCS). The MSCS data was very clean because of the OCLC reclamation project and SCS found fewer anomalies than normal though there were some issues. The late inclusion of Bangor Theological Seminary (BTS), an entire additional library collection currently being subsumed into Colby's collection, created extra work. BTS's data had not been through the reclamation process, and had missing elements. Some MSCS libraries (particularly Bates) were doing withdrawals, so the data set being used was not fully representative of current reality. SCS provided MSCS with a text file of its original data as well as SCS additions, which can be retained and used by MSCS for analysis in the long-term. SCS provided MSCS with a number of reports, graphs and charts, allowing MSCS to see and then focus on a smaller, more manageable subsets of title-holdings.

The support of SCS has been vital, but beyond the grant most Maine libraries are unlikely to have the resources required to contract with them. Therefore, the MSCS systems librarian has been working on an in-house collection analysis tool which could be adapted to be used in future collection analysis work. MSCS wants to compare what is possible with an in-house collection analysis tool compared with the commercial services of SCS and WCA. Much of the coding from the database was repurposed by the systems librarian for the serial and journal collection analysis.

OCLC has agreed to grant MSCS complimentary deferred access to its new analytics product when it is available for group comparisons in late 2013/early 2014. Access may allow MSCS to report on comparisons between the services of WCA and SCS.

Print/digital management model

The MSCS systems librarian is currently loading 1.6 million MARC records for the HathiTrust public domain titles into the MaineCat union catalog and including links to a viewable/downloadable (depending on rights restrictions) copy in the HathiTrust. Google Books links (where available) will allow users to fully download Google-digitized titles that can only be downloaded in HathiTrust from HathiTrust one page at a time.

SCS compared MSCS partner print holdings (including item-level data) against HathiTrust and Internet Archives and discovered a surprisingly low 6% overlap for public domain titles and a 37% overlap for in-copyright titles. Providing access to HathiTrust public domain titles will provide many titles previously unavailable in Maine library catalogs.

In terms of digital surrogates, digital availability has not been the sole factor in determining whether to commit to retain a title. Concerns were raised about relying on a HathiTrust copy when not all MSCS libraries are likely or able to become HathiTrust partners (see below). Another issue was that titles go on and off HathiTrust's lists of available titles because of changes in copyright status. MSCS libraries placed less trust in Internet Archive because while the Center for Research Libraries has completed audits of Portico and HathiTrust, they have not done one of the Internet Archive.

In May 2013 MSCS libraries agreed to become consortial partners of HathiTrust. However, HathiTrust's legal counsel had issues with the fact that the consortium was not a legal entity with one counsel and one insurance. MSCS tried to address their concerns by having Maine InfoNet (which is a legal entity) sign the agreement on behalf of the consortium with the library directors co-signing, which initially satisfied their requirements. However, in July 2013 HathiTrust informed MSCS that they were not willing to accept the group as a consortium partner with single holdings. HathiTrust would accept MSCS as a consortium in name, but libraries would pay individually (at a significantly higher cost) and not have Section 108 and print disability access to each other's materials. Under the original consortial agreement, the public libraries and the Maine State Library would have been able to login via IP address to download Google-digitized volumes. However, as individual members they were expected to have their own installations of In-Common and Shibboleth for authentication, which meant they were not able to join. That left the academic libraries to decide if they wanted to become individual partners, or join as a consortium in name only with individual holdings. In August 2013, the University of Maine and Colby College agreed to become individual members. In October 2013, Colby College went live as a HathiTrust partner. The University of Maine has yet to complete the process because of delays in implementing Shibboleth.

Service delivery model including POD and EOD

In addition to being able to view and download digital copies of public domain titles in MaineCat (see above), users will also be able to request a printed copy. MSCS is currently testing the Print-On-Demand (POD) service to evaluate the demand and develop an ongoing business model. MaineCat records for HathiTrust public domain titles include a "Request Print Copy" link which takes users to a request form. The requests will be routed to library staff at the University of Maine to review before a print copy (using HathiTrust PDF copies) is printed by the University of Maine's Printing Services. The POD copy will be delivered directly to the requestor, who must have a Maine postal address. During the testing period, there will be no fee for the service, as costs will be covered by allocated grant funds.

Collection management, stewardship, and preservation model

With the support of SCS (whose services were not available at the start of the grant), MSCS have gone beyond the project goal of *developing a model* for jointly managing and preserving print collections to actually *making and disclosing* retention commitments.

Selection criteria: Titles held by one or two partner libraries

MSCS first developed selection criteria for titles that were published or added prior to 2003 and were held by only 1-2 partners. This resulted in just under 1.5 million title-holdings (approximately 1.6 million items) and constituted 50% of all title-holdings in the MSCS data-set; a much higher than expected proportion. MSCS agreed to Commit To Retain (CTR) holdings/items if any of the following criteria were met:

- Any circulation, internal, or reserve use OR
- "Local interest" category (content of local and regional value) title-sets OR

- Special Collections/archives items OR
- Specific edition is held in nine or fewer libraries in the U.S. (according to OCLC)

After some fine-tuning of the CTRs (see below) MSCS libraries committed to retain approximately one million title-holdings in this first step. Title-holdings that didn't meet the above criteria (approximately 400,000 title-holdings) were not committed to retain and libraries are free to deaccession these titles.

MSCS agreed that libraries are only required to retain one copy of a CTR title-holding, but for ease of implementation, all copies will have retention commitments recorded in the MARC 583 field. Libraries are free to decide in the future that they will only CTR a specific circulating copy and remove the commitment in the local catalog for other copies. The exception to the one copy rule is in cases where libraries have 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.

Partner libraries recognized that when making retention decisions at scale there are going to be titles which, if title by title reviews were conducted, would probably not receive a CTR. However, following the title-level analysis conducted for multi-volume sets (which MSCS considered treating differently because of the space they occupy) and the review of lists of single-item bibliographic records (before the 583 commitments were added to local catalogs), the Collection Development Committee provided specific examples of titles their institutions were being expected to CTR that they felt were inappropriate.

Initially, there was some debate about whether the retention criteria should be altered to be less conservative; particularly the criterion that titles will be CTR if they had any usage in their history. Instead of changing the criteria, the Project Team and Collection Development Committee decided that some fine-tuning of the CTR lists was required to correct mistakes/anomalies and reverse commitments on publishers of outdated and superseded textbooks, manuals, test preparation guides, travel guides, and some paperback versions of popular fiction. The partner libraries wanted the freedom to deaccession these titles in the future.

Selection criteria: Titles held by three or more MSCS libraries

The MSCS Collection Development Committee has been analyzing the remaining title-holdings held by three or more libraries. The Committee agreed to look at titles that met the following criteria:

- Publication year < 2003
- MSCS institutions holding > 2
- Circulating titles only
- No Special collections
- No HathiTrust Public Domain
- No title-sets with zero aggregate uses
- 10+ U.S. Holdings in OCLC

The Committee decided that these titles will receive a CTR because they had recorded uses. The Committee looked at usage ranges to decide how many title-holdings should be committed across the MSCS group. The Committee agreed to retain one title-holding across the MSCS group for each CTR title-set with 0-3 uses and two title-holdings for each CTR title-set with 4 or more uses.

The Committee have also agreed that to be consistent with the first step of analysis and CTR:

- Two title-holdings of all local protected 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.

Selection criteria: journal/serial/series titles

MSCS has also begun analyzing journal/serial/series titles. As with monographs, the focus is on retention and preservation of material. However, MSCS also does not wish to duplicate existing preservation efforts of repositories such as Portico that can be trusted to preserve the content. The Directors' Council also wanted to ensure that MSCS libraries did not make blanket commitments without first looking title-by-title at what the libraries would be expected to retain. This is possible because of the small amount of titles that are in-scope.

SCS have only been assisting MSCS with the analysis of monographs, so MSCS have been working with their contracted systems librarian to pull serial and journal data. The systems librarian extracted anything coded as a serial in the catalog based on a combination of MARC fields. The varying local cataloguing practices mean that MSCS are not only analyzing journals and serials, but also monograph series. The Committee agreed that titles that had been excluded from the monograph collection analysis should be included in the journal/serial analysis to ensure they didn't 'fall between the cracks' of what is considered a journal and monograph. The Collections Development Committee have been provided with lists of titles that fall into these categories and are currently deciding which titles should receive a CTR.

Remaining titles also in PORTICO, JSTOR, Proquest, and American Antiquarian Society Historical Periodicals 1-5 have been taken out of consideration for retention. Finally, the systems librarian compared the remaining titles with OCLC WorldCat holdings to pull out for review titles where there are less than 50 holding libraries in OCLC WorldCat. The Collections Development Committee have been provided with lists of titles that fall into this category and are currently deciding which titles should be CTR. The Committee is also investigating opportunities for making group level retention decisions where there is holding overlap.

Management model

MSCS have chosen a distributed model, which means that CTR titles will continue to be retained across distributed individual libraries, rather than one central storage facility. The CTR titles will remain available for lending. Having decided how many CTR title-holdings will be retained, the Collection Development Committee is currently working with SCS on algorithms for how retention responsibility will be allocated across the libraries. The Committee have debated a number potential allocation factors, for example: the disparity in partner loan periods (which means Colby, Bates, and Bowdoin may always retains a title-holding where they have one), subject strengths, Colby's extra storage space, and the State Library's desire to CTR all local protected category titles.

MSCS representatives have been actively involved in the planning stages of the Northeast Regional Library Print Management Project, which, once operational may impact MSCS's management model.

Documenting retention decisions

As of December 2013, MSCS have added retention statements to just over a million title-holdings in the local systems of partner libraries in the item MARC fields 561, 583, and 852.

In November 2013, MSCS submitted a batch loading request to OCLC for loading retention commitments into Local Holding Records for titles designated as shared print. MSCS will become the first shared print project to have commitments for monographs loaded. MSCS hopes these commitments will soon be publicly viewable. As a result of MSCS library director opposition to the ILL fees associated with using the OCLC shared print symbol in both ILLiad and WorldCat Resource Sharing, MSCS have decided that until a more practical model is developed to 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 encountered issues with the display and transfer of 583 to the central union catalog, MaineCat. In May, the system vendor, Innovative Interfaces, Inc. confirmed that they would fix the issues within the next 12 months.

As a short-term work-around, MSCS will use the OCLC WorldCat API and JavaScript to perform a check of OCLC and display when an item is in shared print, which seems to solve the issue of non-transfer from local catalogs.

The disclosure of retention commitments for journals and serials will be a more manual process, as holdings will need to be individually encoded for those titles that do not already have closed holdings in the record.

The Center for Research Libraries (CRL) have added MSCS to their Print Archives Preservation Registration (PAPR) directory of shared print projects and MSCS have been put on the waiting list to add holding information for CTR journals and serials.

The MSCS systems librarian has begun documenting the process for adding and removing retention commitments, so in the future libraries can complete the process themselves. Some partners already want to proactively make retention commitments for certain titles they haven't been assigned a CTR for example, new acquisitions.

Website

The MSCS website and Twitter feed are continually updated with news, project updates, meeting summaries, presentations, guidance, and reports. MSCS news is also published on the University of Maine's Fogler Library Facebook page.

Presentations/Outreach

To communicate the work of MSCS project, representatives have presented at conference and professional meetings and had articles published. MSCS Project Team members presented at the:

- WebWise Conference "Lightning Lunch", March 7, 2013.
- Timberline Conference, May 19, 2013.
- *Library Journal* webcast "Data-Driven Libraries Part 1: Analyzing Data to Manage Print Collections", June 6, 2013.
- ALCTS "Shared Print Monographs" ALA 2013 pre-conference event, June 27, 2013.
- Print Archive Network forum, June 28, 2013 (also submitted written update report).
- IFLA Conference, August 19, 2013 (also paper published by IFLA online). Presenting at IFLA provided MSCS with a unique opportunity to report to a global audience on the work of the project. With representatives of institutions from 35 countries, no other venue could provide as widespread an audience. The presenters were also able to speak to different librarians than those often met repeatedly at domestic conferences. MSCS's involvement at IFLA has helped to raise the profile of the project.
- New England Library Association Conference, October 21, 2013.
- Charleston Conference, November 8, 2013 (also paper published in the Conference Proceedings).

MSCS have been written about in the following publications:

- *Library Journal* who in March 2012 published an online article on MSCS titled "Major Maine Libraries, Public and Academic, Collaborate on Print Archiving Project". A number of library web feeds have linked to the article. LJ has continued to monitor the work of MSCS and have published updates in their *information docket*.
- *Maine Policy Review*, May 2012.
- *Bangor Daily News*, August 2013.
- 2013 ACRL Environmental Scan section "Radical Collaboration in Large Regional Print Repositories".
- *Against the Grain* column "Curating Collective Collections", September 2013 edition.
- *Chronicle of Higher Education* article titled "Short on Space, Libraries Look to One Another for Solutions", October 2013.

- IFLA presentation paper titled “Rethinking Library Resource Sharing: New Models for Collaboration” as an example of shared print projects.

MSCS plan on submitting a paper to the Acquisition Institute at Timberline Lodge for their 2014 conference. MSCS also plan to use the wrap-up of the grant as an opportunity to organize a national event to use the experiences of MSCS and others involved in shared print as a building block for future work. In November 2013, CRL confirmed that they are willing to partner with MSCS to co-organize a full-day shared print session at the 2014 ALA Annual Conference.

Business model

Beyond the grant period, the Maine Shared Collection Strategy will be known as the Maine Shared Collection Cooperative (MSCC). The MSCC Memorandum Of Understanding has been signed by an institutional representative, for example a Board of Trustees or Provost, at all of the MSCS partners.

The Project Team are working on plans for the sustainability of MSCC beyond the grant period and recruiting other libraries to join. Specifically: governance structure, staffing, timeframe for extending membership, membership requirements, collection analysis, and ongoing retention commitment disclosure.

Advisory Board visit

The MSCS Advisory Board visited Maine in May 2013 and attended MSCS committee meetings. MSCS have also submitted six month update reports to the Board.