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Developing a State-Wide Retention Policy

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Developing a State-Wide Retention Policy

Matthew Revitt, University of Maine

RUSA STARS Hot Topics

January 9, 2016



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Project Background

- Most libraries were running out of space and unlikely to get additional storage
- Wanted a shared approach to managing legacy print collections for the long-term
- Looking to be leaders in the print collection space

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Building on Collaboration and Trust

- MaineCat has encouraged resource sharing
- State-wide delivery – 1.25 millions items/year
- Colby, Bates and Bowdoin are consciously building a shared collection of new print materials and e-resources
- Trust in commitments and continued access

MAINE
INFONET

MAINECAT



URSUS

Solar



MARVEL!
Maine's Virtual Library



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Project Partners

Colby **Bates**



Bowdoin



UNIVERSITY OF
SOUTHERN MAINE

MAINE
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Grant Proposal & Goals



grant of \$821,065 to create a shared print collections strategy, grant period 2011 to 2015:

- **Identify long-term retention commitments from libraries**
- Implement on-demand services in union catalog
- Define sustainable business model for beyond grant & partners



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Data-Informed Approach to Retention Decisions

- While data is vital to the decision-making process it didn't solely drive our retention decisions
- MSCS's four guiding questions:
 - 1 What monographs should be designated for long-term retention?
 - 2 What is an equitable and/or common-sense distribution of retention responsibilities?
 - 3 What monographs are candidates for incorporating into on-demand services by virtue of public domain availability in the HathiTrust or Internet Archive?
 - 4 What monograph copies could optionally be deselected, once retention decisions have been finalized?



MSCS Scope

- **Primarily monographs**
 - Excluded: government documents, e-books, non-print formats, maps, and scores
 - Only titles published or added pre-2003



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The Data – Where Was It?

- Local
 - 5 ILS catalogs
 - 8 libraries
 - All Innovative Interfaces systems
- National
 - OCLC
 - HathiTrust
 - Internet Archive



The Data – Clean-Up

- OCLC reclamation
 - Cleaned up holdings and OCLC numbers
 - Facilitated match across partners



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The Data – Extracted Fields

Bib Level Identification

- Local record number
- OCLC number

Item Level Identification

- Item record number
- Created date
- Barcode
- Itype (value in the item record that defines circulation policies)
- Volume and copy
- Item call number
- Location

Usage

- Total checkout and total renewal
- Year to date circulation
- Last year circulation
- Last checkin date
- Out date
- Last out date
- Reserve notes
- Internal use count
- Icode2 (item record suppression code contributed to union catalog)
- Circulation status



The Need for Vendor Support

- Additional data cleaning—normalizing, de-duping, and filling in missing data
- Matched titles to external data sources—OCLC WorldCat (U.S. and State Holdings), HathiTrust Public Domain and In-Copyright items, and Internet Archive
- Data reports
- Consulting support

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Circulation Counts

	MCSC Title-Holding Counts	All Libraries	%
1	All Circulating Title Holdings	2,719,754	100%
Circulation Count			
2	Total Charges = 0	845,939	31%
3	Total Charges = 1	466,371	17%
4	Total Charges = 2	303,588	11%
5	Total Charges = 3	206,610	8%
6	Total Charges = 4 to 9	511,040	19%
7	Total Charges = 10+	386,206	14%
8	Last charge after 2010	357,660	13%
9	Last charge after 2007	671,815	25%
10	Last charge after 2005	841,009	31%



MSCS Title-Holdings Compared to OCLC WorldCat Holdings in USA

WorldCat Counts	# Title Holdings	%
0-9 Holdings in USA	145,296	5%
10-19 Holdings in USA	94,162	3%
20-49 Holdings in USA	213,827	7%
50-99 Holdings in USA	290,443	10%
100-199 Holdings In USA	507,552	17%
200+ Holdings in USA	1,668,732	57%



MSCS Title-Holdings Overlap with the HathiTrust & Internet Archive

MSCS Title-Holding Counts	All Libraries	%	Bangor Public Library	%	Colby	%	University of Maine Orono	%
Hathi Trust Digital Library & Internet Archive								
Hathi Trust Public Domain Match	175,123	6%	23,387	7%	23,590	6%	40,741	6%
Hathi Trust In-Copyright Match	1,075,523	37%	73,745	23%	160,597	40%	273,250	40%
Internet Archive Match	403,032	14%	80,608	26%	44,982	11%	64,268	9%
In Internet Archive not in Hathi	183,883	6%	49,617	16%	16,292	4%	21,839	3%
In Hathi not in Internet Archive	1,052,720	36%	70,324	22%	157,983	40%	277,187	41%

MSCS Title-Holdings Overlap

	Title-holdings in 1 library	1,118,151	38%
	Title-holdings in 2 libraries	684,395	23%
	Title-holdings in 3 libraries	462,446	16%
	Title-holdings in 4 libraries	325,959	11%
	Title-holdings in 5 libraries	190,215	7%
	Title-holdings in 6 libraries	82,224	3%
	Title-holdings in 7 libraries	40,179	1%
	Title-holdings in 8 libraries	15,550	1%



To retain, or not retain, that is the question

- MSCS committed to retain holdings/items if any of the following criteria were met:
 - Any circulation, internal, or reserve use
 - Specific edition has less than 10 holdings in the U.S.
 - “local interest” title-sets
- Considered, but eventually rejected:
 - Digital availability
 - Rarity in Maine

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Drowning in the Data

- Are we retaining the right stuff?
- Piles of books
- Too many lists!
- Publishers (29,331 items had commitments reversed)



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Retaining Copies

Criteria	Number of copies retained
1-3 uses	1 copy
4+ uses	2 copies
“Local Interest” titles (regardless of use)	2 copies
“Rare” in OCLC (under 10 holdings)	At least one copy at each holding library
Copy held in Special Collections	Any copy in Special Collections locations plus 1 circulating copy (if applicable)



Allocating Retention Responsibilities

- 1 If Colby College holds a title, titles are marked committed to retain.
- 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.
- 3 Given that rules 1 and 2 are satisfied, the remaining commit to retain allocations were done in an “equitable” fashion, where every library committed to retain a percentage of titles proportional to their collection size.
- 4 ALL Maine State Library’s “local interest” title-holdings are marked committed to retain.

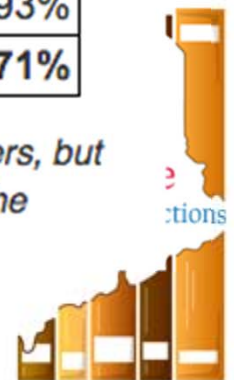


The Numbers are In!

The following table shows the total numbers and percentage of titles that were included in the MSCS monograph collection analysis that were subsequently committed to retain by MSCS libraries.

Library	Analyzed by SCS	Retained	Percentage
Bangor Public	314,100	159,253	50.70%
Bates	436,124	183,639	42.11%
Bowdoin	492,011	218,805	44.47%
Colby	399,442	265,246	66.40%
Maine State Library	126,569	62,025	49.00%
Portland Public Library	189,834	95,520	50.32%
University of Maine	683,311	311,230	45.55%
University of Southern Maine	248,604	126,624	50.93%
Total	2,920,014	1,422,342	48.71%

Note: the figures for retained includes series which were not include in the SCS numbers, but the numbers of series are so small that it didn't really make a significant difference in the percentages.



Terms & Conditions of Retention Commitments

- Documented in Memorandum of Understanding:
 - 15-year retention period, with 5-year reviews
 - Libraries retain ownership
 - Distributed storage
 - Items lend according to existing ILL and circulation rules
 - Disclose retention commitments in catalogs
 - Follow workflows for lost or damaged items
 - Required to retain only copy of retain titles
- Policy and procedures for removing and transferring retention commitments

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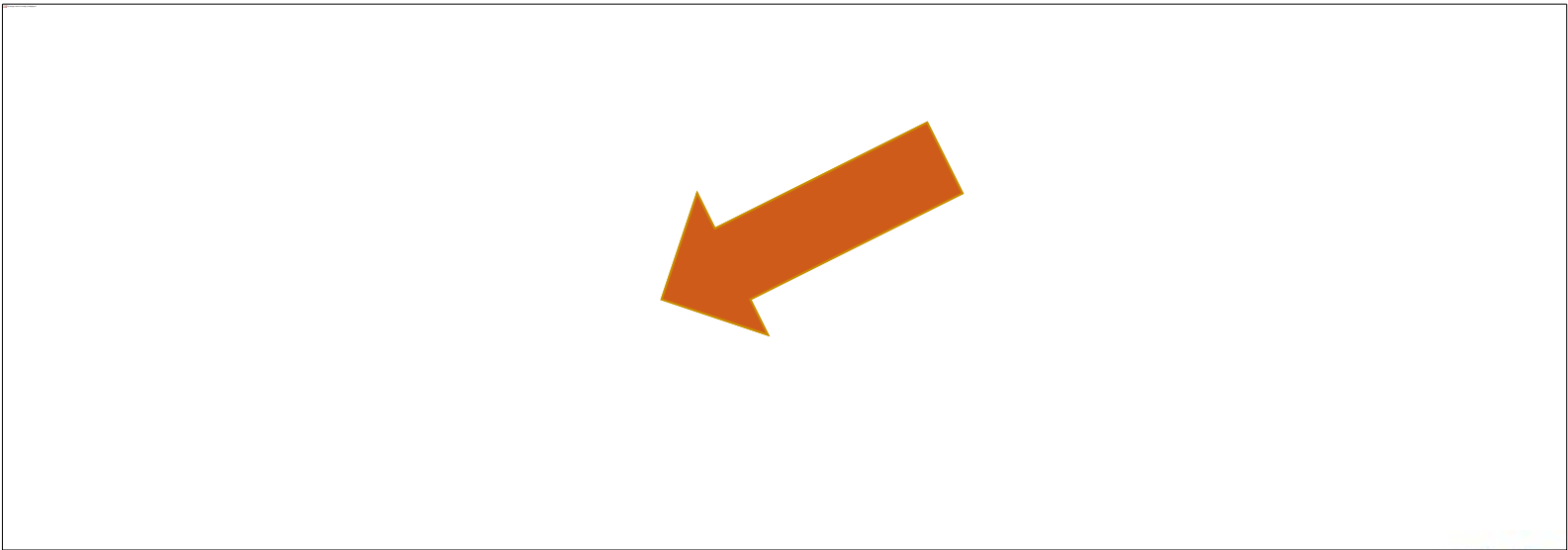
Disclosing Retention Decisions

Disclosure has not been a straightforward process!

- National and International – OCLC WorldCat
 - OCLC shared print symbol
 - MARC 583 Action Note
 - MARC 561 Ownership and Custodial Note
 - MARC 852 Location
- State – Central union catalog: MaineCat
 - Currently commitment note pulled from OCLC
- Local – Three catalogs
 - MARC 583, 561 & 852
 - MARC 856 commitment note URL in OPAC

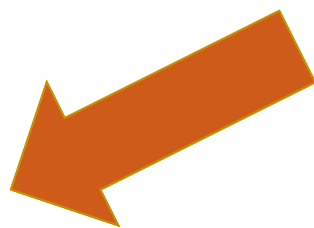


Retention Commitment in OCLC Local Holding Record

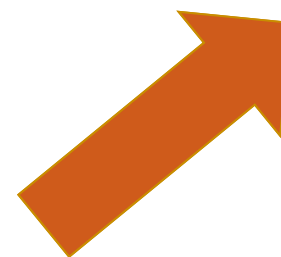


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Display in WorldCat



OPAC Commitment Note



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Sustaining MSCS

- Extend membership to other Maine libraries
- Developed MSCC collection analysis service, provide spreadsheets which show libraries weeding and retention candidates – 31 new libraries & 1,000 additional retention commitments
- Contributing to regional and national projects

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Thank you!

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