

On-site Shelving Strategies



CRERAR
D'ANGELO, LAW
ECKHART
MANSUETO
REGENSTEIN
SSA

“Groundbreaking research thrives on ready access to a wealth of scholarly materials—and inspiring spaces for their exploration. The Joe and Rika Mansueto Library gives us both.”
- Judith Nadler, Director and University Librarian

The Joe and Rika Mansueto Library

Home

Using Mansueto

Hours
Retrieving Books
Grand Reading Room

News and Overviews

Dedication
A Chicago Icon
Mansueto Opening
Mansueto News
Media Kit
Overview
Audio Tour

Design and Technology

Book Retrieval Video
Construction Video
Renderings and Floor Plan
Automated Storage and Retrieval System
Preservation Department
Glass Dome
FAQ
Mansueto by the Numbers

History and Vision

President's Message
Director's Message
Joe and Rika Mansueto
Groundbreaking Ceremony
Libra Extra
Background Documents
Photographs
Project Timeline

Project Team

Overview
Helmut Jahn

Giving Opportunities

Background Documents

Presentation to the HK Systems Logistics and Material Handling Conference

This [powerpoint presentation](#) was given September 16, 2008.

Report to the University Board of Trustees

[Selections](#) [PDF] from a report for the Board of Trustees meeting on May 11, 2005.

Library Report on Shelving Facility

[Final report](#)* [PDF]. In November 2004 a group of Library staff outlined provisional candidates for storage in a new addition, projected growth of the Library collections, and additional requirements for a high-density automated shelving system.

Faculty Task Force on Space for the Collections

In 2003 the Provost commissioned an ad-hoc committee of faculty members to examine and review options for increasing shelving space. Chaired by Richard Helmholtz (Law), the members included Lauren Mets (Biological Sciences), Sam Peltzman (GSB), Steven Pincus (Social Sciences), Stephen M. Stigler (Physical Sciences), and Elissa B. Weaver (Humanities). The Committee worked closely with their colleagues, Library staff, and SBRA.

The final report included 2 appendices: one comparing costs between an on-site and off-site facility, and an appendix from the Library Committee on Collection Development.

[Faculty Committee Report on Library Expansion, March 2004*](#) [PDF]

[Appendix on Costs*](#) [PDF]

[Appendix from Committee on Collection Development*](#) [PDF]

Feasibility Study

In 2003-04 [Shepley Bulfinch Richardson & Abbott*](#) (SBRA) did a feasibility study examining the various options for increasing Library shelving capacity. SBRA met with various Library and University staff over the course of fall 2003 and winter 2004.

[SBRA Shelving Facility Study*](#), April 2004: SBRA initially compared an on-site addition to Regenstein and an off-site high-density facility. [PDF]

[SBRA Appendix to Shelving Facility Study*](#), April 2004 [PDF]

After SBRA issued their report, the Library and University asked them to explore

Library Web Site
University Web Site

further options for an on-site addition. SBRA accordingly compared their original on-site option (Alternative I) with a smaller on-site addition utilizing both compact shelving and an automated storage and retrieval system (ASR or ASRS, Alternative II), and an addition that was totally ASRS (Alternative III).

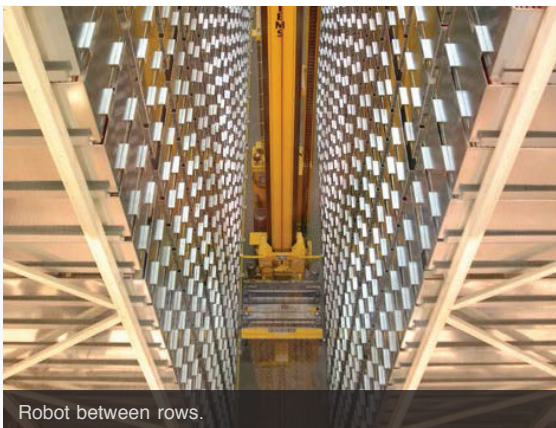
[SBRA August 2004 Addendum to April 2004 Shelving Facility Study*](#) [PDF]

* Documents available only to University of Chicago Community.

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Contact: **Rachel Rosenberg**, Director of Communications, ra-rosenberg@uchicago.edu.

The screenshot shows a web page for the University of Louisville's Ekstrom Library. At the top right, there are links for "LOUISVILLE.EDU" and "MY ACCOUNTS". On the left, it says "U of L Libraries" and "Ekstrom Library". The main heading is "EKSTROM LIBRARY". Below that is a breadcrumb trail: "Home / Ekstrom Library / Virtual Tour". The main section is titled "Robotic Retrieval System" with a red square icon. The text describes the RRS as a storage and retrieval system for 1.2 million volumes. There are three links: "Frequently Asked Questions", "Requesting RRS Materials", and "Interesting Facts". A section titled "Scheduling Tours" thanks visitors and provides contact information for Alice Abbott-Moore, the RRS Supervisor, with her phone number (502) 852-7621. The bottom of the page is a light blue footer area.



Robot between rows.

Where: Ekstrom Library West Wing, First Floor

Hours: Available [hours that Ekstrom Library is open](#).

Tour Policies

One week notice is required to schedule a tour. We will do our best to accommodate.

Tours are available during the hours: 10 AM - 4 PM, Monday - Friday.

For high school students and adults, the room limit is 20 people maximum.

For grade school visitors:

- The touring school is to provide chaperons who will need to be mindful of the children's surroundings and help with safety.
- The room limit is 10 people maximum. If groups are too large to divide up, the group will remain in the lobby to view demonstrations of the RRS.

NOTE: If any group is deemed incapable of behaving in a safe and appropriate manner, the RRS tour will be conducted from the lobby outside of the Circulation Desk.



Geisel Collections Consolidation Planning Update (Spring, 2013)

Collections

[About the Collections](#)

[Budget and Planning](#)

[Collection Consolidation](#)

[Collection Consolidation Q&A Feedback](#)

[Collection Consolidation Update 3/15/2012](#)

[Collection Consolidation Update 6/1/2012](#)

[Collection Consolidation Update 9/27/2012](#)

[Collection Consolidation Update 1/22/2012](#)

[Contact Us](#)

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[Featured Library Collections](#)

[Help Build Our Collections](#)

[News about the Collections](#)

[Mandeville Special Collections](#)

[Special Collections](#)

[Scopus: UC San Diego Evaluation](#)

As we near the end of the 2012-13 academic year, the Library is embarking on its third year of significant efforts to consolidate our physical collections. During this time, we have continued to communicate our consolidation proposals through the Library website and, as a result, have received numerous faculty comments and suggestions. This feedback has been instrumental in helping us to determine where best to locate materials and how best to organize collections to support faculty and student research and teaching. In response to feedback this year, we have integrated the Chinese, Japanese, and Korean materials formerly in the International Relations and Pacific Studies Library with our East Asian language collection and we have decided to keep the materials currently in the Science and Engineering Library in the Geisel building.

Your continued feedback will also help us to meet long-term goals for library user space, including the addition of new and enhanced study and computing spaces. While consolidating our physical materials has been necessary to accommodate our smaller footprint on campus, an additional major objective of these efforts has been to meet the needs of students and other library users for more dynamic and flexible study, community, and well-equipped spaces. We have taken significant steps toward this goal with the introduction of a 24/5 study commons in Geisel Library last year and the addition of new high-tech study spaces—both individual and group—in Geisel. In addition, 126 workstations were added in fall quarter, and we have added more than 260 new study seats.

Installation of Compact Shelving in Geisel

The Library is nearing completion on the installation of compact shelving on the first floor of the East Wing of the Geisel Library (the space which has been known as the Science & Engineering Library). In a move which began this spring and will continue through the summer, the Library plans to consolidate into this shelving a continuous run of the current bound journal volumes from the Geisel and SIO collections. The journals currently housed in the Biomedical and Arts Libraries will remain there at present. Phase one of the compact shelving will continue to house monographs in the Q-Z call number ranges, including the Scripps materials. As we've communicated previously, we will be proposing that journal volumes older than 1990 continue to be stored and shelved in the offsite Library Annex, where they can be paged and/or articles from them can be scanned as requested. Since some faculty expressed concern about access to those pre-1990 volumes that have a high usage rate, we are planning to keep on site-- on an exceptional basis--those pre-1990 titles that demonstrate a high rate of usage. We have also been actively acquiring more digital backfiles for many of our journals in all disciplines. By the end of the summer, we will be sharing a list of these substantial acquisitions.

We believe that these strategies will provide Library users with better access to journals that were formerly dispersed in various locations within Geisel and across the campus at IR/PS and Scripps Libraries. We are hopeful that this next phase of our collections consolidation and expanded digital access projects will improve collection services to our patrons. While some physical journal volumes may not be immediately available when they are in the process of being moved, we hope the expanded digital access and accurate catalog indicating the status of materials being moved, will provide you with effective access to anything you need.

Transfer of Scripps Materials to Geisel Library

In July 2012, following the closure of the Scripps Institution of Oceanography Library, we initiated efforts to consolidate the Scripps print collections into the Geisel Library. That major endeavor, which has involved the moving of approximately 150,000 books as of April, 2013, is expected to be completed by Fall of 2013. Until that effort is completed, Scripps materials can continue to be paged from Geisel Library and delivered to the Scripps campus. As communicated previously, the Scripps Archives and Library Annex, located on the 3rd floor of the Eckart building on the Scripps campus, will continue to provide access to Scripps special collections and archives during the week, by appointment. To make arrangements, please direct queries and questions to the Special Collections and Archives Program, (858) 534-2533.

If you have feedback on the Library's collection consolidation efforts, please send your comments to us at: <http://libraries.ucsd.edu/collections/consolidation/consolidation-qa>



Policy: 320 **Page** 320.1
Subject: REMOTE/LIMITED ACCESS STORAGE and ANNEX

Approved by: Management Group
Contact: Associate Director,
Services to Libraries

Approved: March 20, 1995
Revised: Feb. 1997
July 16, 2004, Jan. 19, 2006
February 21, 2012

Prepared by:
Revised by:

PURPOSE

The storage of materials is not intended as a substitute for weeding. Decisions concerning storage will inevitably connect with decisions concerning conversion to alternate formats. Any such decisions will be made considering the overall requirements of the library system as well as those of the individual units.

POLICY

Responsibility for storage of materials rests with the Associate University Librarian, Services to Libraries, or his/her designate. Decisions regarding items to be placed in storage are the responsibility of Unit Heads. Decisions regarding access to materials held in storage for borrowers rest with the Head, Discovery & Delivery Division in consultation with the Unit Heads.

Storage may not be used for the storage of items from other University facilities or departments unless authorized by the University Librarian.

Current Storage Locations

1. Libraries' Storage Annex (adjacent to the Elizabeth Dafoe Library)
 - houses material from all unit libraries
 - no public access is provided
2. Dafoe Storage (Room 23)
 - houses material from the William R. Newman, Elizabeth Dafoe, Donald W. Craik Engineering and Albert D. Cohen Management libraries
 - no public access is provided

Policy 320: REMOTE/LIMITED ACCESS STORAGE**Page 320.2**

The following libraries, which have storage facilities within or near the unit, store their own materials only and do not provide public browsing access: the Architecture/Fine Arts Storage (E3-175 Engineering); E. K. Williams Law Library; Sciences and Technology Library; Fr. H. Drake Library, St. Paul's College; and the Deer Lodge Centre Library.

General Storage Selection Guidelines

- Items which are seldom used.
- Only items which are catalogued and barcoded, or are in some other way made accessible to the public (eg. inventories, listings), will be placed in storage.
- Only one copy of a UML item should be held in storage and it should ideally be the last remaining copy (see Last Remaining Copy).
- Avoid duplicates [*see* stricter guidelines below for the Libraries' Storage Annex]
 - A unit holding more than one copy of an item because of its high usage should retain all copies in the unit.
 - When an item is duplicated in more than one UML location and it is determined by one unit that the item remain on the open stacks, remaining copies in other locations should not be placed in storage. A choice should be made to retain the item in the unit, offer it to the unit retaining their copy or discard it from the collection. Last remaining copy: If all other copies have been discarded, the last remaining copy may be a candidate for storage.
- Journals:
 - The decision regarding storage of journals remains the responsibility of the unit, as does the determination of the specific cut off dates (the year at which certain volumes remain in the unit and earlier volumes go to storage) for the print journals for that specific library.
 - As per the criteria for the last remaining copy (see above), only the last remaining print copy of a UML journal should be held in storage.

Additional Libraries' Storage Annex Selection Criteria and Guidelines

- Must be dust- and mould-free, and have a good binding
- Various editions can be stored, but only one copy of an edition
- Where there are overlapping subject responsibilities between units, only when the subject

Policy 320: REMOTE/LIMITED ACCESS STORAGE**Page 320.3**

of the work is *that unit's primary collecting responsibility* (e.g. Native Studies for Dafoe, Catholic Studies for St. Paul's, legal materials for Law, etc.), can the unit send a copy of a title to the Annex where there are other circulating copies in the system. If the primary unit's copy is in poor physical condition, another unit's copy should be considered in its stead

- Similarly, duplicate copies of a title located in a library where there is no selector for that subject (i.e. literary titles in the Sciences and Technology Library) should not be sent to the Annex
- Units are strongly discouraged from sending over-sized materials to the Annex, and may only do so with the approval of the Coordinator, Collections Management
- New titles acquired by a liaison librarian may not be catalogued and sent directly to the Annex without the approval of the Coordinator, Collections Management
- A unit may send "Library Use Only" material to the Annex (that is not over-sized), only if there are no other copies in the system. A slip designating "Library Use Only" must be firmly attached to the item by the home unit when it is sent to the Annex.

Journals

- Print journals with no electronic access
- Print journals for which the Libraries has electronic access only through an aggregator such as Ebscohost
- Journals with plates, illustrations, tables, poor quality digitization, etc., where the print copy is still required despite electronic availability
- One copy of a Canadian journal even if digitized

PROCEDURES

For Circulation, *see* Libraries' Circulation Policies

For Preparation of Materials to go to the Libraries' Storage Annex, *see* [Cataloguing Checklist for Annex Preparation](#), and [Moving Monographs to the Annex Workflow](#)

For Withdrawal of Materials from the Libraries' Storage Annex, *see* [Withdrawing Materials from the Annex, Withdrawal Workflow, and Withdrawing Items from Annex Excel Template](#)

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Bound for the bookBot: Books on the Move

Books on the Move

[For Faculty](#)

[Benefits of the Book Move](#)

[Detailed Move Schedule](#)

What's involved in the book move?

- 1.5 million books are planned to be moved into the Hunt Library bookBot in Summer and Fall 2012.
- Mostly Engineering and Textiles materials will move.
- All D. H. Hill Library study spaces, teaching labs, and meeting rooms will remain open.

What's Moving?

Mostly Engineering and Textiles Materials

Week of December 17, 2012

- The Textiles Library collection will be moved to Hunt.
- Engineering and Textiles reference collections and recent Engineering publications (2007 to present) will be moved to Hunt. This collection will be available on open shelving in the main reading room and on level 4 of the Hunt Library once the new library opens on January 2, 2013. Between December 17 and January 2, the collection is available by request through the Libraries' catalog.

Thumbnail of 3000m bookBot Relay v 3000m bookBot Relay

Have Questions?

It's easy to ask.

Use the [ASK US](#) link at the top of any page of our website.

Number of items in the bookBot:

1,446,117

As of 1 minute(s) ago.

How will I get the books I need during the move?

- Most materials will not be moved, so you will get them the way you always have.
- For materials that are moving to the Hunt Library: Search the Libraries' catalog. If the book you need is "Being transferred to bookBot," click to request it. It will be ready for you to pick up within 24 hours at the campus library of your choice.


How will I get books at the Hunt Library after the move?

- For materials that are moved to the Hunt Library: Request a book from the Libraries' online catalog. The bookBot retrieves it. And it will be ready for you at the Hunt Library service point within 5 minutes, or at another campus library of your choice within 24 hours.
- Up to 40,000 volumes of the latest Engineering and Textiles research materials will be available on open shelving at the Hunt Library when it opens in January 2013.

What about textbooks on reserve?

When the Hunt Library opens, all Engineering and Textiles textbooks on reserve will be held at the Hunt Library.

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D. H. Hill Library | Hunt Library | Design Library | Natural Resources Library | Veterinary Medicine Library


Giving to the Libraries

The Pennsylvania State University Libraries

Collection Retention Working Group: Report and Recommendations

Membership:

- Ann Snowman, Chair
- Christopher Walker
- Dawn Childress
- Sandy Stelts
- Debora Cheney
- Nonny Schlotzhauer
- Rick Hart
- Sue Kellerman
- Janet Hughes
- Kevin Harwell

Collections Retention Policy Working Group Report

Introduction

In recent years research libraries have experienced a seismic paradigm shift in the way our collections are viewed. Libraries find themselves at the brink of a new era of collection development and emerging service models designed to meet the needs of the user in the library or in the cloud. Attentively engaged for decades in building deep collections to meet the needs of local users while ensuring that these vast collections would be preserved for future generations of scholars, selectors now recognize that, with the exception of their respective special collections and some collections of unusual strength in curriculum-focused disciplines, they have been building nearly identical collections. This realization has been facilitated by use of analytical tools such as WorldCat Collection Analysis bolstered by decades of cooperative cataloging. Massive digital conversion projects such as the Google Book Scanning Project and HathiTrust further increased awareness. Finally, numerous reports and conferences, included in our list of Sources Consulted, from ARL, OCLC, ITHAKA and the CIC, articulated the idea of shared print repositories, including the CIC Shared Print Repository.

Trends

The volume of content in readily accessible **digital formats** has grown exponentially, and users' preference for digital has grown with it. Print circulation has subsequently diminished, calling into question the need to collect extensively in tangible formats when, if needed, a copy may be available from a consortial partner willing to lend it. Consortial partnerships create broad access to a great array of content. **Interlibrary loan** programs have grown more flexible, more timely and less labor intensive along with this digital expansion, reinforcing our willingness to rely on a "just in time" access model as opposed to a "just in case" collection development model. The trend to **greater accountability** in higher education compels us to demonstrate our value and to use our resources more carefully than ever, and to consider options never before considered or available. As user demands for space to pursue new methods of scholarship and collaborative learning create **pressure to reconfigure libraries** and services, we turn our attention to the space occupied by on-site collections and begin to ask whether much of this material can be relocated off-site, if they are required at all, and how we might leverage partnerships among libraries for shared print storage. Ultimately, we must ask ourselves whether we can justify these costs over the long-term, when a shared storage model will alleviate ongoing expense for on-site and off-site storage, while also freeing up space for new collections and services.

The Penn State University Libraries are examining these issues in the context of national efforts by research institutions to collaborate more effectively. Initiatives currently underway include developing consensus on national standards for the preservation of resources stored in tangible and digital formats and evaluating the potential for reliable access to shared collections, including the Center for Research Libraries (CRL) Print Archives Preservation Registry (PAPR), the CIC Shared Print Repository, and the PALCI agreement to store print-format backups of digitized science and technology journals.

In late fall 2011, the Collections Retention Policy Working Group (CRPWG), a subgroup of the Collections Services Advisory Group (CSAG), was charged (see Appendix A) to formulate a retention policy for the next ten years and make recommendations for implementation.

Work of the Collections Retention Policy Working Group

In addition to bi-weekly discussions, the Group reviewed a variety of publications, presentations, webcasts, and pre-conferences. The Group also benchmarked against other CIC institution retention policies, consulted a number of resources and reports related to print retention, and explored definitions and methods for identifying trusted digital and print repositories (see Sources Consulted for a complete list).

For several reasons, the Group came to the understanding that retention policies for journals/periodicals should be considered separately from retention policies for monographs. First, online journals have been part of libraries for several decades and therefore have had more time for issues such as adherence to standards, licensing, preservation, access and other issues to be resolved. Second, many more libraries have licensed online journals than e-books, so there is a greater corpus of archived copies, collaborative agreements and other “backups” in place. Third, the content of journals, unlike that of most books, is often sought as a discrete unit, requiring no context, such that the whole (i.e. volume) is oftentimes less important than the parts (i.e. articles). Fourth, individual copies of journal issues are less likely to have marginalia, bookplates or other additions that would make one copy more valuable than another.

During the course of its discussions, the members of the Group realized that using our annexes effectively requires that selectors think differently about long-term and permanent retention of collections. In the past, annex space was largely seen as a place to move collections out of the way as the stacks filled. No detailed policies or guidelines exist to inform use of the annexes; nor have we carefully considered retention policies for PSUL collections and materials that have been digitized.¹ In addition, while some subject and campus libraries have done an effective job

¹ The only document which articulates what is retained in the Libraries’ annexes is included in the “working guidelines” section of the University Libraries’ Policy Statement for the Annex Storage Facilities, May 2008

of moving duplicate format titles from the stacks to the annex, few selectors have considered withdrawing materials that are reliably accessible in other formats or in trusted repositories. Many of our current rationales are outmoded and require re-examination.

Collections Retention Policy Working Group and the Space Consultants

In early 2012, space consultants were contracted to provide an assessment of the Libraries' collections in relation to the use of library spaces. They applied the guiding principles from the Libraries' Administration, which focused on student-centeredness, change in usage patterns from print to digital formats, Special Collections space needs, integration of new technologies, expansion of curriculum demands in health sciences, STEM discipline space needs, the integrity of named spaces, employee workspaces, and ongoing space needs assessment.² Independently, CRPWG came to similar conclusions; however, our recommendations go much further:

- The Libraries' will need additional storage capacity in the near future,³ but if we increase user space by moving books out of public spaces, the pressure for annex storage will increase and the available annex space will diminish more quickly than currently projected;
- Tangible format collections will continue to grow,⁴ but we can extend the life of our current remote storage facilities by evaluating and weeding currently annexed collections and establishing guidelines or policies for future annexing of materials;
- Current remote storage facilities do not meet long-term preservation standards,⁵ which limits our effective use of the space and our role in consortial or statewide initiatives;
- The space consultants recommend a team to facilitate shifting large quantities of materials to the annex; however, the Group also recommends expanding the oversight and responsibilities of this team to facilitate efficient and consistent collection maintenance.

(available at: <https://www.libraries.psu.edu/psul/toolboxes/companion/intranet/annexstmt.html>). This section provides some guidance but may need to be updated and then evaluated on a regular basis for currency and appropriateness.

² The Libraries' Administration has identified *Guiding Principles* for evaluating our use of library space.

Available at: <https://www.libraries.psu.edu/psul/groups/intranet/space-planning-team/guiding-principles.html>

³ Boomgarten and Straley, p. 18.

⁴ However, as are leaders in peer libraries, Penn State Libraries' administration seeks ways to better manage its physical space during an extended period of rapid technological change, even as the traditional print collections will continue to grow." Boomgarten and Straley, p. 3.

⁵ "None of the four annex facilities offers the optimal storage environments provided by an HDI-type facility. Systems appear to provide basic environmental protection, fire safety and physical security, but observations by the consultants and reports from staff indicate roof leaks, temperature/humidity swings and physical security concerns. Scientific Stores annex notes the greatest swings in temperature/humidity." Boomgarten and Straley, p. 19

The Space consultant's report suggests the PSUL must find a different balance among collections and user services and library space.⁶ As we consider potential changes in practices and operations, our organizational ethic of stewardship of limited resources amid competing demands will need to expand in concept. Our libraries must provide access to collections, deliver resources when needed, and provide spaces where our students can work with and discover our wide range of collections and related services. We know tangible format collections will continue to grow, but it is clear that we must begin to manage the space in our annexes and libraries so that we might repurpose a portion of this space for use other than housing collections which may be duplicated within our own institution, available in alternative formats, or preserved and readily available in other institutions. We must shift our focus from an ownership model to one that balances access to needed resources with ownership and preservation where appropriate. This will require us to consider, develop, and enhance services, but will also challenge us to consider what must be locally retained and what can be accessible to our users either online or via delivery services.

Penn State's leadership roles and responsibilities as a premier research institution

Throughout CRPWG's discussions we continued to return to the following: What are the roles and responsibilities of a top ten research library in preserving the nation's scientific, technical, and cultural heritage? Who are our primary constituents? What is our level of responsibility to diverse constituent groups, including Penn State faculty and students, Pennsylvania residents, and consortial partners? The roles and responsibilities we adopt should guide our policies and approaches to collection development and management.

The time has come for PSUL to provide greater leadership in defining consortial or shared print obligations and strategies. Defining Penn State's role will help us make collection retention decisions. CRPWG identified several PSUL agreements and responsibilities (See Appendix B: *Appendix B: The University Libraries' Roles and Responsibilities*). There is still an opportunity to develop a national leadership profile in collection retention issues; however, the conditions of our remote storage facilities impact our ability to be leaders in preservation and retention of materials with consortial partners. As we plan for the long-term life of our collections, we must not delude ourselves that our materials in offsite storage are secure or retained in appropriate housing conditions.

Retention policy and guidelines

⁶ Boomgarten and Straley, p. 14.

We must learn to think about our annexes as an extension of our collections, rather than a “hall closet” where collections are out of sight, out of mind and no longer managed as part of the whole. We must begin to think about how we can extend the life of the annex space we currently have and use that space more effectively. Many of CRPWGs recommendations are made with the idea of extending the life of the annex from the current 6-7 year projection to a 10-12 year projection. (See Appendix C: *Overview of annex space and annexing activities (annual annexing plan.)*)

The purpose of a retention policy is to:

- Provide guidance in balancing the use of available library space (including our public buildings/spaces and our annexes) for collections and users;
- Ensure that we maintain quality collections, which support the teaching, research, and learning mission of the University;
- Guide selectors in their role as stewards of our collections, ensuring access and preservation for current and future students and scholars;
- Assist the Libraries in adapting to changes taking place in academic libraries;
- Integrate our collection development goals with our collection management and retention activities.

Orphaned, Invisible, and Formerly Distinguished Collections and Formats

Ecologist Garrett Hardin argued in "The Tragedy of the Commons,"⁷ when multiple individuals act independently and rationally according to their own self-interest, they will ultimately deplete a shared limited resource, or it will fall into decline, because while everyone is responsible, no ONE authority is ultimately responsible.

CRPWG has identified a number of ways in which this situation is happening in the Libraries through **orphaned, invisible, and formerly distinguished collections** such that no single group/person is responsible for annexing policies, long-term preservation issues, etc.

- Annexed collections: Access Services is responsible for the physical maintenance of the annex and its collections, but not for making policy related to what materials can be annexed or what materials can/should be de-accessioned.
- Digitized collections: The role of the Digital Content Strategist need to be emphasized more. This person provides oversight for this growing collection in all its forms. The big

⁷ "The Tragedy of the Commons" Wikipedia (http://en.wikipedia.org/wiki/Tragedy_of_the_commons)

picture and long-term implications need to be emphasized, not only of what we have digitized from our own collections, but what we are now purchasing from other sources.

- Microforms collections: Oversight of microforms collections should be managed centrally to achieve more effective use of space, related equipment, especially as discovery for these collections has improved, or could be improved through cataloging, and the expanding availability of digital alternatives. More consistent decisions about the use and retention of microforms are needed.
- Media collections: There is no policy or clear responsibility for the oversight and long-term preservation and access or plan to re-format or view media in outmoded formats. Close attention to appropriate equipment for long-term usability is needed.
- Formerly distinguished collections (collections which are no longer of local importance or used), including these examples:
 - Australian/New Zealand collection—is this a collection of distinction that should be retained in the University Libraries collection?
 - Donor collections, endowment purchases, and book-plated collections—how will we address these holdings over time? For example, Behrend’s Lincoln Collection (a local book-plated collection) no longer supports instruction or research;
 - Materials purchased to support academic programs no longer emphasized in the curriculum (e.g., Supreme Court collections on microfilm; local government collection donated by a professor, or the historical corporate report collection on microfiche).
- Gift materials may be costly collections to house over time and should be scrutinized with the same care as purchased/licensed resources for their role and contribution to strengthening the Libraries collections, supporting the curriculum, and enhancing our partnerships and agreements with other libraries.

Trusted Repositories and the PSUL Collections

The Space Consultants Report recognized there is a need for education and comprehensive discussions about collection management and annexing issues, especially in regards to developing trust in cooperative archiving.⁸ We need to find ways to advance how we consider and manage our collections from the very beginning of the acquisition/selection process, not just once our stacks and buildings are full to the brim.

As we educate ourselves and develop our understanding about local usage patterns, collection strengths, and space concerns, we will also better understand how best to use our library spaces

⁸ Boomgarten and Straley, pp. 36-37.

and annexes. PSUL selectors should consider whether consortial relationships and repositories may provide sufficient access by applying the following criteria:

- Reasonable access to content in a trusted print or digital repository is available, ensuring enough copies to meet the needs of consortial partners (see Appendix D: *Definitions* for a definition of “trusted digital repository”);
- Services to support reasonable access are robust and well-developed;
- Nature of the original source may require the physical format be retained (e.g., prints, images, other materials which may not be well-served by digital access);
- In some disciplines, retention cutoff dates based on year of publication— but should be clearly articulated for long-term planning;⁹
- Enough tangible format copies exist in North America to ensure the survival of lightly held materials;
- Formal depository and repository responsibilities: government information, USAIN, land grant cultural preservation, CIC-Shared Print Archive, and other consortial retention commitments [see Appendix B: *PSUL Roles and Responsibilities*];
- PSUL Collections of Distinction: areas of special distinction developed through purposeful acquisition or by accident (see Appendix D: *Definitions* for a definition of “collections of distinction.”)

Data-Driven Assessment

On a single day, April 2012, only 76,229 volumes from the circulating collection were checked out—a remarkably low overall percentage of our collections. CRPWG notes that circulation data, however, are only one criterion for evaluating the use and role of the collections.

Additional data is needed to develop a fuller understanding of the role our collections play in teaching, research, and preserving collections which meet the needs of scholars.

Accurate data about local use of our collections is hard to come by and trust. Data about the extent of the uniqueness of our collections, as compared with peer institutions, is not readily available (or is laborious for individual selectors to compile). Therefore, the group recommends the development of a better approach to providing selectors with the data necessary to assess, not only the use, but also the uniqueness of the PSUL collections and its role in supporting teaching and learning at Penn State, the Commonwealth, and with other consortial partners. This would allow selectors to make decisions informed by data, rather than ‘what if’ scenarios.

There is considerable in-house skill and access to data for collections analysis; however, it may not be sufficient for the scope of analysis that will be required to implement a comprehensive

⁹ Boomgarten and Straley, p. 15.

retention plan. As CRPWG learned about collaborative projects being developed at other institutions, we found that OCLC holdings analysis combined with local circulation data informs retention decisions. Consultants were brought in to provide the data to support the initial decisions about what is/should be retained.

Conclusion

Libraries face many challenges in the coming years in terms of collections use and formats. Our goal is to create a living, breathing collection that serves the needs of our students and researchers. At the same time, we must respond to changes in library services and use of library spaces, and corollary changes in higher education teaching and learning taking place now and into the foreseeable future. Ultimately, CRPWG members came to understand the University Libraries will need to make a concerted effort to:

- Meet the needs of changing service models and emerging usage patterns
- Provide optimal management of limited public and annex storage space
- Retain collection strengths and distinctiveness.

There are five overarching themes to our recommendations:

- I. Find appropriate balance for space committed to user, collection, and service needs
- II. Support the role of selectors in making data-informed decisions to manage collections in all locations
- III. Develop centralized, efficient processes for collection development and management
- IV. Increase leadership in cooperative decision making
- V. Define Penn State's responsibility as a leading research library in relation to other ARL and CIC institutions and within Pennsylvania

Collections Retention Policy Working Group Recommendations

I. Define Penn State's responsibility as a leading research library in relation to other ARL and CIC institutions and within Pennsylvania

Recommendation: Define PSUL's mission and philosophy regarding collection development, management, and preservation of our cultural heritage, core collections, and collections of distinction (short term).

Recommendation: Define PSUL's responsibilities regarding access and preservation of collections within the various spheres of responsibility: *Penn State research and teaching, Pennsylvania, CIC, ARL* (short term).

Recommendation: Develop criteria for identifying and reviewing unique, distinctive, and other core collections. *Collection status helps selectors understand the role of these collections in larger initiatives, and could be recorded in appropriate sources, such as the CRL Print Repository* (short term).

Recommendation: Upgrade the quality of our remote storage facilities to enable PSUL to be a leader among our consortium partners for preservation and retention of materials

II. Find appropriate balance for space committed to user, collection, and service needs

Recommendation: Evaluate and identify reference titles to convert to digital equivalents.

Allocate or reallocate funds annually to purchase digital equivalents of print reference sources (continuous).

Reinstate the Electronic Resources Task Force (or a similar group) focused on reference sources that could be converted to digital formats for space and access reasons (short term).

Develop a process for identifying and selecting reference titles for this conversion (short term).

Recommendation: Minimize print holdings footprint in the annex, stacks, and campuses and increase swing-space in annex for major reconfiguration

De-duplication of journals: Where there are multiple print runs of serials/periodicals that are also available in trusted digital repositories, identify and withdraw duplicate print runs considering runs held at all library locations (short term). Establish a "last copy" process for journals similar to that for monographs (short term).

De-duplication of print monographs: identify duplicate copies of monographs to consider for withdrawal (continuous).

Transition to digital access; fewer physical formats retained: Evaluate and identify for withdrawal widely held journals/serials runs that may no longer be heavily used in physical formats, but which are accessible in trusted print or digital repositories. *This*

should be done carefully and with reliable and relevant data provided to selectors to inform decisions (continuous).

Evaluate inventory system (locator system) in the annexes to improve flexibility and efficiency (medium term).

Recommendation: Develop scenarios for long-term use of the annex based on changing uses of central library spaces, shared repositories, de-accessioning, and new acquisition models (medium term).

Recommendation: Evaluate materials delivery services and discoverability and ensure they meet current user needs (continuous).

Recommendation: Establish guidelines and best practices for deciding on the use of annex space in light of space concerns, new acquisition models, and cooperative and shared collections (short term).

Recommendation: Begin planning for additional storage capacity that meets archival storage standards and ensures more effective management of remotely stored materials (long term).

III. Support the role of selectors in making data-informed decisions to manage collections in all locations

Recommendation: Commitment to appropriate and sufficient data for retention decision-making.

Selectors need good data on circulation, in-house usage, as well as holdings information from appropriate repositories and national holdings in order to make withdrawal and annexing decisions as part of de-duping and withdrawal projects. (continuous).

Recommendation: Allocate staff resources to gather data, assess, and analyze collections and the use of space. This was also recommended in the space consultants' report.¹⁰ (continuous).

Recommendation: Develop an assessment toolkit/website with links to trusted print and digital repositories, retention agreements and other resources that will support selectors' collections assessment needs, including agreements for: CIC, HathiTrust, PALCI Print Repository, USAIN, government and international organization documents depository requirements. (short term).

Recommendation: Develop educational programming and discussions about collections management, annexing, de-accessioning, and the reliability of consortial repositories (short term and continuous).

IV. Centralized, efficient processes for collection development and management

¹⁰ Boomgarten and Straley, p. 29.

Recommendation: Create a Collections Coordinator position to oversee collections issues, strategies, and assessment (urgent).

Recommendation: Create a collection management processes team to centrally manage the de-duping, moving, and withdrawing workflow and related processes. This team will support the decision-making process of the selectors to facilitate a more consistent and efficient workflow (short term).

Recommendation: Generate and distribute regular reports related to collection maintenance.

Reinstate the missing/lost and withdrawal process (short term).

Missing items reports should be reviewed on a regular basis and titles evaluated for replacement (continuous).

Duplicate item lists should be reviewed on a regular basis and materials evaluated for retention and location (continuous).

Recommendation: Generate regularly scheduled collections reports for review as determined by selectors, which will include reports on duplication, circulation, and other relevant data to aid selectors in identifying materials for annexing and withdrawal (continuous).¹¹

V. Increase leadership in cooperative decision-making.

Recommendation: Identify and review existing and proposed consortial and print retention agreements to ensure awareness and adherence (continuous).

Recommendation: Adopt a more proactive role in defining consortial or shared print obligations, standards, and strategies (continuous).

Recommendation: Develop standard policies, processes, and workflows for current and future consortial agreements (short term).

Recommendation: Register and participate in the CRL Print Archives Preservation Registry (<http://www.crl.edu/news/8274>) (short term).

Recommendation: Assess the need for closer consortial relationships with Commonwealth partners (short term).

Recommendation: Explore and move forward on shared print repository and consortial relationships within Pennsylvania, PALCI, ARL, etc. (medium term).

¹¹ For example, in a phased approach by call number ranges, annually or biannually.