Monograph Validation Strategies in Shared Print Programs: Variations and Value

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Monograph Validation Strategies in Shared Print Programs: Variations and Value

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Abstract
In 2013, the Central Iowa Collaborative Collections Initiative (CI-CCI) entered into a shared print monograph retention agreement which resulted in a project to fully validate the assigned retention commitments. While shared print retention programs are becoming increasingly common, they often do not include a process for verification of availability and condition of volumes. This article focuses on the validation aspect of the CI-CCI program and the rationale behind it, and examines how other print collaborative projects view and approach validation. Finally, the article concludes with a summary and an analysis of the value of this effort.

Why Write About Retention Validation?
The term “validation” here will be used to refer to the process of confirming the physical presence of items in the library which may or may not include an evaluation of the condition of those items. Similar terms that have been applied to this process are “verification,” “physical verification,” and “condition evaluation.” After surveying the literature and studying similar print collaborative projects, it is clear that there are varying approaches to validation, with most projects being of sufficient size and scope that a validation project is deemed to be untenable. There is interest in the perceived value of such a project given associated costs and time factors, and we will attempt to address those issues.

Michael Garabedian expressed concerns about deaccessioning duplicates that have artifactual value and how libraries might make physical condition the primary measure by which to identify the retained volume. Retaining the “best copy” is important, Garabedian notes, because “if one of the goals of shared print is to allow participating libraries to deaccession duplicate copies in order to free up space, then in a real sense we are creating scarcity where none existed before.” This “condition first” approach is certainly interesting and has merits, but was not the approach CI-CCI took; rather, CI-CCI considered condition only after retention assignments had been made and assessment focused on physical condition as opposed to a volume’s attributes as the “best copy.” Indeed, most projects that involve condition evaluation, either alone or as part of validation, concentrate on ensuring that items are free of mold, insects, or other contaminants.

We have chosen to focus on the validation process because it is an aspect of shared retention projects that generates some disagreement among participating libraries. While library collaboratives and consortia generally agree that reducing the amount of duplication among partner libraries is a good and valuable goal, if done thoughtfully and purposefully, there is less unanimity when discussing the value of verifying that each item a library commits to retaining on behalf of the partners is actually still on the shelf and in loanable condition.

As we spoke with other librarians involved in shared print retention projects, it became clear...
that very few were conducting physical validation of their retention commitments, and that those who were often used some level of sampling to determine what percentage of their retention items might be unaccounted for. This did not necessarily come as a surprise—the 144,000 retention volumes in the CI-CCI project represent a small fraction of most print retention collections—as much as a revelation that CI-CCI might be unique in its attempt to validate 100 percent of its retention commitments.

**CI-CCI Project Background**

Following the lead of some larger print collaborations such as the Michigan Shared Print Initiative (MI-SPI), in 2013 a small group of central Iowa libraries formed a shared print monograph collaborative. Only six months elapsed from initial discussion to the signing of the Memorandums of Understanding (MOU) by each institution’s Chief Academic Officer and Library Director. The initial five institutions were: Central College, Drake University, Grand View University, Grinnell College, and Simpson College. All five schools are within fifty miles of each other in the center of Iowa, with FTEs ranging from 1,388 to 4,400. In 2014, the University of Northern Iowa joined the group. CI-CCI does not share an integrated library system or discovery tool, and relied on local staff and funds to undertake the project.

One of the main drivers of the collaboration was a common philosophical commitment to the concept of implementing a “shared library collection” in order to maximize both shelf space and acquisition expenditures (to be implemented in a future phase of the project). The goals of the collaborative were enumerated in the MOU:

- First, to responsibly reduce the size of local print collections by reducing duplication among the participating libraries so that library space may be freed up for other uses.
- Second, to create and maintain a distributed, shared collection of these titles to ensure that circulating copies of them are retained within the group.
- Third, to coordinate acquisitions with the goal of developing a shared collection among the participants to reduce duplication and to leverage acquisition funds.
- Fourth, to establish an environment where exploration and additional areas of collaboration can flourish.

**Why Perform Retention Validation?**

The first major project the group undertook to implement this approach was to free up shelf space by reducing duplication of older and seldom-used holdings across the group. When CI-CCI was being formed and the MOU drafted, retention validation was not at the forefront of any group member’s thinking. The group hired Sustainable Collection Services (SCS) to perform the collection analysis. SCS presented several retention scenarios, some of which involved retaining multiple copies of a given volume within the group. Between the small number of member institutions (five) and the relatively small size of the members’ individual collections, retaining multiple copies would have reduced the number of withdrawal candidates to a degree that would not have allowed the libraries to reclaim sufficient space to make the project worthwhile. As the first stated goal of the Collaborative is to “responsibly reduce the size of local print collections...so that library space may be freed up for other uses,” the group agreed to a one copy retention scenario. Of course, withdrawing materials was at the discretion of each individual institution, with no requirement that this be done.

As the project developed, each library communicated with and sought input from their respective teaching faculties. Drake, for example, conducted forums to discuss with teaching faculty the “shared collection” concept in general, the
CI-CCI project specifically, and their implications for the library’s collection. From these discussions arose three main concerns:

1. **Loss of access to scholarly content.** Teaching faculty expressed concerns about withdrawing all but one copy in the group without first verifying that the copy was on the shelf and in loanable condition.

2. **Delivery time.** After examining workflows and consulting with UPS, CI-CCI determined that a 24-hour (weekday) turnaround between CI-CCI institutions was achievable. While that alleviated some of the concern about wait times, we continue to work on how to consistently deliver on that promise.

3. **Shortened loan periods.** Relying on an interlibrary loan from another CI-CCI institution means a reduced loan period, but faculty members wanted longer loan periods. Due dates for faculty vary among CI-CCI libraries, but can be as long as the academic year. This led CI-CCI to adopt a 120-day interlibrary loan period among our members.

We recognized that, while nothing is a guarantee, satisfying our stakeholders and alleviating their concerns would require a high level of confidence that our retention commitments were accounted for. Validation of all retention commitments seemed to be the best way to provide that confidence, and CI-CCI decided on the following criteria for one-copy retention in the shared collection:

- Published before 1991,
- Zero (0) recorded uses since 2005,
- At least one non-CI-CCI library in Iowa also holds a copy.

CI-CCI decided to embark on a prospective collection development model as well which will be discussed later in the article.

**The CI-CCI Validation Process**

CI-CCI decided very early in the process that spreadsheets would not be an efficient method of organizing and tracking the validation process. Instead, the Library Applications Developer at Drake created a local database to store all of the data delivered in the SCS analysis, loaded each institution’s retention commitments, and built a web application to interact with the data.

Because we wanted the web application to have a clean, responsive, user-friendly interface, we did not want to clutter the screen with unnecessary data. CI-CCI discussed which fields from the SCS data would be necessary and useful for locating the correct item on the shelf. Unsurprisingly, the group arrived at Call Number, Title, and Barcode. While SCS collected this data from all CI-CCI institutions, Call Number proved to be a bit tricky because, depending upon the Integrated Library System that generated the data, there could be up to three different call numbers:

- An item level call number, from the item record;
- A local call number, from the MARC 09X field in the bibliographic record;
- An LC or Dewey call number, from the 050 or 082 field in the bibliographic record.

Not all libraries provided data for all three types of call numbers, so the solution was to display the call number in a logical hierarchy.

During the review process, library staff assigned one of four statuses to each item:

- **Verified on Shelf** – The item is currently on the shelf and in good condition.
- **Not Found** – The item is currently not on the shelf.
- **Poor Condition** – The item is in need of repair or is otherwise not fit for lending (see below).
- **Verified Not on Shelf** – The item could not be located in the library and is not checked out, or is damaged and not being replaced.

We chose to distinguish between **Not Found** and **Verified Not on Shelf** because an initial check of the shelf for an item would not necessarily account for that item being checked out, mis-shelved, or simply overlooked. Staff could pull up a list of only **Not Found** items and check the shelves a second time or compare the list against current loans. Once the library established that the item was indeed missing, they assigned a status of **Verified Not on Shelf**.

The validation process also included reviewing item condition and CI-CCI largely relied on local practices for this determination. Rather than establish group guidelines for assessing and rating condition, the group agreed that each institution would use its normal process of evaluating whether a book was too damaged to circulate. If so, the book was assigned a status of **Poor Condition** in the web application. As with **Not Found**, **Poor Condition** was used as an interim status while the library used local practices to either repair, replace, or withdraw the item. After repair or replacement, we changed the status to **Verified on Shelf**; otherwise, we assigned **Verified Not on Shelf**. Eventually, every item in the retention database received a status of either **Verified on Shelf** or **Verified Not on Shelf**.

CI-CCI considered the above process to be sufficient for evaluating the completeness of each monograph. Validating periodicals, which was not in the scope of CI-CCI’s project, tends to be more detailed. A monograph volume represents one entity and verifying its presence in the library is generally sufficient for validation. By contrast, a bound serial volume may contain multiple issues that must be individually validated in order to accurately assess the volume’s completeness.

One of the advantages of the web application was that, as workers validated each item, the application interacted directly with the database in real time and provided visual feedback. Selecting a status sent the update to the database and the default white background changed to a different color when the update was applied. (See Figure 1.) There was no need for additional data entry, file uploads, or determining where yesterday’s work left off so today’s work could begin. At any given moment, any CI-CCI member could see the current status of the validation process. (See Figure 2.) In addition, we designed the application to allow multiple users to conduct simultaneous validation without risking duplication of effort.

CI-CCI performed validation during the spring of 2014. Training took approximately 3-5 minutes per worker. At the beginning of the process, workers averaged 70-100 items per hour, but they became more efficient as they gained experience. For the entire project, across all CI-CCI libraries, the mean number of items validated per hour was 132.

The validation process initially resulted in approximately 3.5 percent of items unaccounted for or in poor condition. Rather than remove those items from the retention project, CI-CCI instead decided to use the SCS data and the web application to allow members to trade their commitments. Having loaded the SCS data for each institution into their own database, we could determine not only which library was assigned to retain a given item, but also which other libraries had holdings for that item. It should be noted that SCS now has a product, GreenGlass for Groups, which can provide this data, but in 2013 SCS had not yet begun development. As a result, we extended the web application to convert the list of unverified items into a list of trade-eligible items based on each institution’s reported holdings. This “horse trading” phase, as it became affectionately known, re-
sulted in 2,475 traded and validated commitments that would have otherwise been abandoned.

By the end of the project, CI-CCI had validated more than 98 percent of our retention commitments. Interestingly, this figure is nearly identical to results that Garabedian reported in his condition survey: “98 percent of all the books I examined reasonably could be candidates for use in a shared print repository” based on condition, and is very similar to the 97 percent availability metric found by Eastern Academic Scholars’ Trust during their validation sampling.

After completing the retention project, CI-CCI libraries used the web application to export lists of their retention commitments which could in turn facilitate updating the MARC 583 Preservation Action Note in the library’s local bibliographic and/or holdings records. Each library also planned to create an OCLC Batchload project to update its OCLC holdings. This process involved obtaining a separate “shared print” OCLC symbol, under which our shared print holdings would be reflected. We discovered, however, that OCLC’s “one library, one symbol” model did not function well for shared print programs, particularly if the items were part of circulating collections. In order for shared print holdings to be registered under the new shared print symbol, we would need to remove our regular symbol. This meant that libraries using ILLiad for interlibrary loan would need to purchase a separate ILLiad license and maintain a separate workflow for each symbol, as the ILLiad software cannot accommodate multiple OCLC symbols. While OCLC was willing to waive the separate license fee, CI-CCI was not comfortable creating extra work for our interlibrary loan departments. Happily, other shared print retention programs had the same concerns, and OCLC realized that a different solution was required. They began developing a Shared Print Registration service, and CI-CCI offered and was selected to be a beta partner in that development. At the time of this writing, work is ongoing, and we remain optimistic about the new service’s potential as an effective registration tool for shared print programs.

Other Print Monograph Retention Programs

We developed a brief survey and sent it to 25 programs we identified as being involved with shared print monograph retention at some level. To build this list of programs, we consulted the Print Archives Preservation Registry (PAPR) and communicated with Ruth Fischer of SCS. Using the survey results, along with available online documentation from each program, we have identified the following program types:

- Collection analysis with local retention.
- Centralized storage of low-use material.
- Collection analysis with centralized storage.

Collection Analysis with Local Retention

In addition to the programs listed below, the CI-CCI retention project falls under this category. This type of program involves an analysis—usually by a third party such as SCS—of the combined collections of participating members, with a goal of reducing duplication. Candidates for analysis meet certain criteria, such as being published before a certain date or circulated fewer than a certain number of times. When a volume is held by more than one member of the group (or two, or five, depending on the group’s policies), that volume becomes a candidate for withdrawal. Usually the volume is assigned as a retention commitment to one or more institutions to ensure that the group has continued access to that title in the “shared collection” concept. Local Retention refers to the fact that the retaining institution will maintain the title as part of their local collection and make the title available for lending to the other group members.

The Virtual Library of Virginia (VIVA)
VIVA did not conduct validation, listing the high cost-benefit ratio as the main rationale. They did, however, conduct a collection analysis with SCS. The analyzed holdings of the eight participating institutions were split by SCS into two categories: Safe to Weed and NOT Safe to Weed. A maximum of two holdings were deemed NOT Safe to Weed for every title currently owned by one or more of the eight participants. For titles that did not circulate, only one copy was retained. The copies that are NOT Safe to Weed were specifically allocated to the participating institutions.

Eastern Academic Scholars' Trust (EAST)

EAST performed collection analysis with SCS and did validation sampling across nearly all participating institutions. Each of the 40 institutions that performed validation was provided a list of 6,000 titles, which were randomly selected from the holdings they reported to SCS. EAST had not yet assigned retention commitments at the time of validation, but all of the titles identified were within the scope of the retention profile. EAST arrived at the number of titles—6,000—very deliberately. With the help of a statistician, they determined that validating that number of titles—regardless of the number of an institution’s total holdings—would produce a <1 percent margin of error if more than 90 percent of the items were verified to be on the shelf.

EAST used a custom web application to facilitate the validation process. In addition to verifying the presence of an item on the shelf, workers also assessed condition based on a set of established guidelines. A description of EAST’s validation process can be found at http://eastlibraries.org/validation. The validation tool, created by Sara Amato, is available on GitHub: https://github.com/samato88/EastValidation-Tool.

After analyzing the validation data, EAST determined that 97 percent of all monographs in the sample set of 240,000 titles were accounted for, and 90 percent of titles were in average or excellent condition. These results “provide[d] increased confidence across the EAST member libraries and their local stakeholders that titles which will be retained by EAST libraries and made available to scholars and researchers at other EAST libraries will be available and in usable condition.”

Maine Shared Collections Cooperative (MSCC)

MSCC hired SCS to analyze their collections. The original group ended up with 1.3 million retention commitments and determined that it was not feasible to validate such a large number of volumes. Multiple retention copies were kept to offset the risk of loss of access. New members to the group, mostly public libraries, are being asked to validate a small number of titles.

According to MSCC Project Manager Matthew Revitt, “We don’t require validation in Maine and the only libraries that have actually checked their shelves to ensure a title is there and in an acceptable condition for retention are those smaller libraries that have joined the Cooperative post-IMLS grant and are committing to retain . . . on average 58 titles, so it’s much more feasible for them to carry out this work than it was for the grant partners who retained titles in the hundreds of thousands.”

The MSCS Project Team and Collection Development Committee decided that it would not require partner libraries to validate items that they committed to retain, but the systems librarian provided guidance for adding retention information in the MARC 583 field regarding validation and condition checking should libraries decide to do this work. So far no MSCS libraries have plans to conduct any concerted validation or condition checking, but if libraries do identify damaged retained items they are expected to follow their usual workflows and procedures for repairing and replacing them.
Michigan Shared Print Initiative (MI-SPI)

Though MI-SPI did not participate in the survey that was distributed, we include their collaborative in this analysis. MI-SPI did not require validation of retention copies, but did require that “two separate designated participant libraries that already own and have recorded holdings of the title” retain a copy.14

Statewide California Electronic Library Consortium (SCELC)

SCELC has hired SCS and will start gathering data and perform the analysis in September/October 2016. While they are not requiring validation at the outset, they recognize the importance of verifying the existence and condition of retention commitments and are encouraging member libraries “to work toward a validation program based on studies performed in other consortia.”15

Like most other large consortia, SCELC is looking to mitigate risk by assigning multiple retention copies where feasible: “In an initial discussion, the SCELC Shared Print Working Group decided to retain a) all unique holdings (held in one library only); b) all copies, when there are holdings in two or three libraries only; c) three copies, in cases where there are more than three title holdings within the group retained at the three libraries whose copies have circulated the most.”16

ConnectNY Shared Print Archive

ConnectNY hired Sustainable Collections Services to analyze their collections. The group has assigned two copies of each retention title and has not required validation. They have made efforts to “identify uniquely held titles and establish a last copy policy for the consortium.”17

Colorado Alliance Shared Print Trust

The Colorado Alliance of Research Libraries (The Alliance) is in the process of evaluating sampling methods, but has not yet performed sampling. The Alliance Shared Print Trust is an effort of the Alliance’s fifteen member libraries to collaboratively store print materials. Members who sign the Memorandum of Understanding agree to retain materials for twenty-five years, but no member is forced to participate, and item storage is distributed (the Alliance does not have a central storage facility).18 Participating libraries that wish to withdraw items identified as the last copy in the Alliance consortium must offer the item to the other participants to store locally.19

HathiTrust

HathiTrust is working towards a distributed print monograph archive,20 and likely will be doing some of the collection analysis work both internally and externally. They are planning a two-phased approach; in the first phase, they will be matching library holdings to HathiTrust holdings. During the second phase, which is anticipated to be completed by fall 2017, they “will determine an approach and a development partner or vendor to analyze and prioritize the next round of retentions.”21

HathiTrust has not, as of this writing, assigned retention commitments. According to Lizanne Payne, the Program Officer for Shared Print Initiatives, “As of [the] current planning stage, no physical validation is anticipated, but [that] could change. For monographs, the quantity often is so large that physical validation of all retained holdings would not be feasible. [It] would be far too labor-intensive and costly. Sampling could be used to adjust the number of copies retained, i.e., retain more if sampling revealed a relative high percentage of missing or poor condition [volumes], but even sampling is costly and may not reveal enough new data to be worth the cost.”22

Centralized Storage of Low-use Material
This type of program involves sending volumes of low-use materials to a dedicated storage facility. Submitting material to storage is usually done at the discretion of individual participants, and items are identified based on criteria established by each member, rather than on a profile or criteria applied to the group as a whole. Because this model involves transferring the materials themselves, accounting for the physical item is a foregone conclusion. Most programs in this category, however, do require some level of completeness evaluation (e.g., no volumes missing, bindings are intact, etc.), as well as condition assessment (e.g., no mold, mildew, dirt, or insect infestation).

**Consortium of Academic Research Libraries in Illinois (CARLI)**

The CARLI Last Copy Program does not assign retention commitments based on criteria such as age or circulation activity. Rather, when a CARLI Library wishes to withdraw an item that it identifies as the last copy in Illinois, it can donate the item to the Last Copy Program. The University of Illinois at Urbana-Champaign either accepts the item or offers it to a participating library; the recipient becomes the retaining library. Because the Last Copy Program deals with items in hand, no validation is necessary, but the items are reviewed for completeness (e.g., no missing volumes) and condition (no mildew, mold, or insects).

**Florida Academic Repository (FLARE) Scholar’s Trust**

FLARE Scholar’s Trust is a stored collection of low-use physical materials. The program operates on a single copy policy, so participating libraries wishing to withdraw low-use materials that are already held in the Repository may rely on the stored copy. Monograph validation consists of verifying intellectual completeness of the volume, and items may be in poor condition but must be free of mold and insects.

**Minnesota Library Access Center (MLAC)**

MLAC is a centralized storage facility for low-use, primarily print, monographs and journals. While each library decides what to deposit, MLAC guidelines stipulate that items sent for storage “must have been determined to have lasting value” and that submitting material to MLAC “is not a substitute for responsible de-acquisition decisions.” In terms of validation, items must be intact or appropriately enclosed, and must be free of dust, mold, mildew, and insects.

**Tri-University Group of Libraries (TUG)**

In 1996, TUG purchased a building to house low-use items from the collections of each of the Group’s members: the University of Guelph, the University of Waterloo, and Wilfrid Laurier University. The TUG Last Print Copy program has identified and assigned retention commitments. Related to the issue of validation of retention copies, TUG has conducted sampling for completeness.

**Collection Analysis with Centralized Storage**

**Washington Research Library Consortium (WRLC)**

WRLC, a consortium of nine universities, worked with Sustainable Collection Services in 2014 with goals of “eliminating unnecessary duplication . . . identifying unneeded materials for withdrawal . . . [and] identifying materials which are not widely held as candidates for long term preservation.” They included monographs from circulating collections that were published before 2005, which resulted in approximately 5.3 million analyzed volumes. WRLC members have committed to retaining monograph titles for which there are ten or fewer U.S. holdings (as reflected in WorldCat at the time of their SCS analysis). Further, participating libraries have agreed “to retain no fewer
than two copies of each edition of a monograph, in addition to all monographs for which there is a single copy among the Participating Librar-
ies.”29 Prior to their collection analysis, WRLC already had the Shared Collections Facility, a centralized storage facility, which was used primarily to retain periodicals. The group’s preference is to move retention copies to this facility, but that decision is left to each member library. Copies beyond the two retention commitments are left to the owning libraries to manage.30

Prospective Collection Development and Retention

Prospective collection development and retention refers to the forward-looking aspect of collaborative collection building, while the other models we have discussed refer to the collaborative drawing down of collections already in place. Equally important is the building of non-redundant collections in order to maximize shelf-space and acquisitions dollars. In this model, schools ascertain what partner schools are acquiring and then adjust their purchases accordingly. Titles acquired under this model become retention titles and are subject to agreements that are in place between the consortia members.

Shared print programs may consider periodic validation projects as part of prospective collection development. Newly acquired titles are more likely to be used, and therefore at greater risk of loss or damage, than titles in a retrospective retention project. Because participating libraries may forgo a purchase based on ownership by other members, it will be important to verify the existence of such volumes at regular intervals. The Colorado Alliance of Research Libraries, for example, has internally discussed a model wherein retention commitments would be assigned as “soft” commitments, and after future validation (say, in ten years) would become formal commitments.31

While there are programs actively discussing or involved in prospective collection development, we are highlighting two here on which we were able to find the most information.

University of California Libraries (UCL) Shared Print

The UCL Shared Print program is among the collaboratives that are actively engaged in prospective collection development. Cooperatively purchased monographs “are designated as Shared Print monographs. The Shared Print monographs are subject to specific acquisitions practices, descriptive standards, retention commitments and access policies.”32

There are a number of monographic series that groups within UCL Shared Print have agreed to purchase collaboratively. “UC Bibliographer groups, individual UC Libraries, extramural partners and the California Digital Library (on behalf of the UC Libraries) have entered into . . . cooperative collecting agreements. These agreements represent formal commitments to collaboratively build print collections.”33

Central Iowa Collaborative Collections Initiative (CI-CCI)

CI-CCI recognized that it is equally important to reduce redundancies going forward as it is with our legacy collections, and in 2015 implemented a prospective collection development strategy. The group selected a common vendor, YBP Library Services, and is using the GobiTween interface to determine holdings of the group before a purchase decision is made. When a CI-CCI library is among the first two CI-CCI institutions to purchase a title, that library automatically commits to retain the title. The decision to purchase is always left to the library, even if two CI-CCI libraries already own a title. The group is also tracking purchases not made at the local level when GobiTween shows holdings by at least two other CI-CCI schools; by tracking
such decisions, the group hopes to ascertain how many acquisitions dollars are saved using this approach. With only one year of experience and data using this approach, we have yet to determine how successful this method will be, but CI-CCI remains committed to a prospective collection development strategy.

The metrics by which the performance of YBP will be measured include cost (average price per book), turnaround time (average time from order placement to delivery), and general responsiveness to suggestions and questions. After the first year, the group, working with YBP, is still trying to identify the cause of some major differences in turnaround time among members. The overall prospective collection development success metrics CI-CCI has developed to-date include:

- **Savings realized by deferring purchases of titles owned by two or more schools.** Were schools able to utilize this savings to fund more specialized collections?
- **Delivery time of materials between institutions.** Is the delivery time between institutions sufficient to satisfy local users who would like a copy of a book?
- **Workflow.** Utilizing a common vendor has required each institution to change and adapt their internal workflows. How has this impacted each institution?

The group will track instances where a third copy of a book was intentionally purchased in order to inform future prospective collection development activities such as subject area specialization by institution.

**Value of Validation**

One of the survey questions was: “How useful do you consider validating your retention commitments to be?” Responses ranged from Slightly Useful (Washington), Moderately Useful (CARLI, Maine, Colorado, UCL Shared Print), Very Useful (SELC, TUG, WEST), and Extremely Useful (EAST, FLARE). In retrospect, CI-CCI still considers the validation process to have been Extremely Useful. Every institution’s collection and situation is different, and during the CI-CCI validation process, Drake University discovered that hundreds of volumes in their B and C call number ranges that had been previously deaccessioned were inadvertently included in the SCS data. Another CI-CCI institution realized during validation that their retention commitments included some locations that should have been excluded from the collection evaluation data.

Having performed full validation allows us to apply sampling models to our data to determine just how successful sampling might have been for CI-CCI. Applying EAST’s sample size of 6,000 items per library, we randomly selected that number of retention commitments from the database for each CI-CCI member and examined the validation rates. For every institution, the sampling success rate was identical to the full success rate, and ranged from a low of 97.1 percent to a high of 99.4 percent. A separate analysis, which included the withdrawn items mentioned above, again found the sampling and full success rates to be identical, but the rates dropped to 91-92 percent. (See Table 1.)

From this analysis we conclude that sampling can indeed provide an accurate estimate of the overall availability of a library’s collection. While full validation did not result in higher success rates, it did enable CI-CCI to quickly identify and correct problems in the data that sampling may not have revealed. Also, CI-CCI not only knows that 1.8 percent of our commitments are unaccounted for, but also which items belong to that group. In a one-copy retention model such as ours, it is important that we are able to identify those items.
The programs that responded to the validation survey rated the value of validation very differently. Even programs that are considering some level of validation gave a “Moderately Useful” rating. The highest ranked reason for performing validation was “few retention copies are being held within the group,” which speaks to the need for mitigating the risk of missing retention commitments.35

Those programs that did not or do not plan to perform validation ranked “multiple retention copies held within the group” as a common factor, indicating that duplication reduces the risk of a given title being unaccounted for across all participants. The cost of validation—even if it was only sampling—was also cited as a deterring factor for not performing validation.36

In CI-CCI’s case, where there was only one assigned retention commitment library per title, fewer than 2 percent of items were unaccounted for at the end of the validation project. As mentioned above, CI-CCI was able to ascertain exactly which titles were unaccounted for, and remove those titles from the retention commitment dataset. The group discussed whether to replace some or all of the titles, but decided they were not unique enough to warrant replacement. Validation was valuable to CI-CCI because, upon completing the project in 2013, members could be confident that the titles were on the shelf in loanable condition, and other group members could make withdrawal decisions accordingly. Furthermore, CI-CCI retention commitments will soon be recorded in OCLC, and we are confident they are correct, which is also a benefit to potential borrowers. If CI-CCI had not performed validation, member libraries would have potentially lost access to more than 5,000 of our retention commitments (the initial number of titles not found or in poor condition before trading and item repair), and would not have known which titles those were. To be fair, those titles are probably available from other institutions outside CI-CCI, but the group was not comfortable making that assumption, especially given the aforementioned faculty discussions and the fact that many larger academic libraries continue to actively draw down their collections.

Validation, as a stand-alone concept, is inarguably valuable. Whether or not it makes sense for any particular collaborative project depends on project goals and resources (both human and financial). Validation sampling, as performed at EAST, TUG, and in the Garabedian study, can also be extremely useful, as it gives retention programs a relatively high level of confidence to predict that non-sampled retention commitments are also in place.
Figure 1. Screenshot of various status designations in the web application.

<table>
<thead>
<tr>
<th>Status Designation</th>
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<td>0202751127930 Great twentieth century Jewish philosophers: Schneur, Rosenzweig, Buber, with selections from their writings. Edited and with introductions by Bernard Martin.</td>
</tr>
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<td>Poor Condition</td>
<td>Local: B162 i52 1985 Guide to Buddhist philosophy / Kenneth K. Inada, with contributions by Richard C. Shon, Shotoo Kida, and David Kakudahana.</td>
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</tr>
<tr>
<td>Not Found</td>
<td>0202908050940 A history of ancient philosophy / Giovanni Reale, edited and translated from the fifth Italian edition by John R. Catan. V.4</td>
</tr>
</tbody>
</table>

Figure 2. Web application dashboard displaying validation progress.
Table 1. Sampling (6,000 volumes) vs. Full Validation Success Rates in CI-CCI

<table>
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<tr>
<th>Institution</th>
<th>Random Sampling</th>
<th>Random Sampling, including withdrawals</th>
<th>Full Validation (# of volumes)</th>
<th>Full Validation, including withdrawals (# of volumes)</th>
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</thead>
<tbody>
<tr>
<td>A</td>
<td>98.1%</td>
<td>98.1%</td>
<td>98.1% (20,143)</td>
<td>98.1% (20,143)</td>
</tr>
<tr>
<td>B</td>
<td>99.4%</td>
<td>99.4%</td>
<td>99.4% (46,754)</td>
<td>99.4% (46,754)</td>
</tr>
<tr>
<td>C</td>
<td>97.1%</td>
<td>91.9%</td>
<td>97.1% (23,415)</td>
<td>91.9% (24,741)</td>
</tr>
<tr>
<td>D</td>
<td>98.8%</td>
<td>98.8%</td>
<td>98.8% (14,511)</td>
<td>98.8% (14,511)</td>
</tr>
<tr>
<td>E</td>
<td>97.3%</td>
<td>91.3%</td>
<td>97.3% (38,471)</td>
<td>91.3% (40,971)</td>
</tr>
</tbody>
</table>

5 Michael Garabedian, “Condition Considerations: An Inquiry Into Recording Conditions in


12 Matthew Revitt, email to the authors, August 3, 2016.


21 Lizanne Payne, email to the authors, August 15, 2016.


25 “Packet for Depositing Libraries,” MLAC, accessed September 8, 2016,
30 Mark Jacobs, email to the authors, September 16, 2016.
31 Michael Levine-Clark, email to the authors, September 18, 2016.