

University of Wisconsin Libraries

Last Copy Retention Guidelines

The University of Wisconsin Libraries have a total collection of over 15 million volumes in support of the teaching, learning, and research needs of our faculty, staff, and students. We are committed to the innovative discovery, management, and access of these resources. The UW Libraries have successfully employed the concept of One System, One Library in order to maintain and improve our world-class collection. One System, One Library has allowed the UW Libraries to achieve efficiencies in collection management in an environment of flat or reduced budgets, rapidly increasing costs, and pressures for library space to support changing needs. However, the expanding commitment to providing 24/7 access to scholarly information electronically, the exemplary ILL and document delivery service within the State, the development of new resource discovery tools, and the significant costs associated with archiving low-use materials has made it no longer necessary to retain a final physical copy of all resources in each library or within the state.

The purpose of this document is to provide individual libraries with recommended criteria for retention of last copies of serials, monographs, and state documents and last copies of audiovisual, microform, and other formats. This document provides libraries the ability to de-accession items in collections. It is expected that libraries will make adjustments to the criteria to reflect local collection development policies, needs, collection strengths and space constraints. Future directions in scholarly publishing will continue to influence retention decisions.

General Criteria for Retention or Withdrawal

While there are some criteria that apply specifically to a particular format, there are some general criteria that should be considered for all format types when deciding what to physically retain and what to withdraw. General criteria include (but may not be limited to) the following:

- Importance of the physical object
- Usability of format for ease of access, reading, storing, copying, etc.
- Usage
- Space Constraints
- Condition of paper and binding
- Out-of-date content
- Obsolete format
- Preservation challenges
- Alternate formats
- Local duplication in any format
- Statewide duplication in any format

- Current and anticipated user needs
- Representative subject coverage appropriate to local and UW System libraries (e.g. Wisconsin-related)

Serials (Journals, Magazines, and Newspapers):

Libraries are committed to providing access to content in any format; including print, electronic, microform or other. When more appropriate formats are available, it is not necessary to retain a final print copy locally. Moving forward, it is expected that UW Libraries will participate in national, regional, or statewide agreements to retain and preserve print content in either open accessible shelving or in remote storage facilities. Space for collections is a growing concern and is at a critical point in some libraries. Issues or volumes may be de-accessioned if one or more of the following criteria apply:

- Local duplication in more than one format (including electronic or microform)
- Statewide duplication in any format
- Duplication as part of a national retention initiative
- Duplication as part of a campus or statewide print retention agreement
- Participation in consortial storage facilities and agreements such as that of the CIC
- Content availability in subject or institutional repositories
- Minimum of 5 print holdings in the US

Libraries may want to consider the following when making de-accession decisions based on electronic surrogates:

- Electronic content must include ownership with perpetual access rights
- Electronic backfile is complete; including tables of content, indexes, supplements, back/front matter, advertisements and other materials
- Title is included in CLOCKSS, Portico or other electronic sustainable dark archive
- Ongoing costs of maintenance or access fees for electronic content
- Licenses or other contracts allow for:
 - Use of electronic content for interlibrary loan and document delivery
 - Use of electronic content for course packs, presentations, and other teaching and learning needs
- Electronic content should be of highest quality with color images and high resolution scans
- Title was published in Wisconsin or is about Wisconsin
- Completeness of holdings in single location – Libraries should move volumes to other libraries in the UW System to complete a serial run
- Determination of whether the title is important for accreditation of campus academic programs

Monographs:

Due to many of the considerations mentioned in the introduction, it is no longer necessary to retain the last copy of all monographs. Rather, the last copy status will be reserved for monographs that meet one or more of the following criteria:

- Titles published prior to 1900
- Titles published in Wisconsin
- Titles written by a Wisconsin author(s)
- Titles about Wisconsin
- Titles in subject areas for which UW Libraries are known to have collections of national importance
- Titles with other editions in collections that serve a historical research function
- Limited editions or unique printings
- Book plates, meaningful marginalia or other distinctive characteristics
- Monographs with inscriptions or signatures
- Monographs that are part of a large or significant donation
- Inclusion of advertisements or other materials bound in with the volume
- Titles with significant monetary or artifactual value (e.g., provenance, binding, illustrations, etc.)

Because monographs as physical objects may have significance beyond their intellectual content, we do not recommend digital or other “surrogates” as equivalent to print for the purpose of last copy.

Additional Recommendations:

- When a last copy is a non-circulating copy, it is preferable to also keep a last circulating copy when OCLC lists fewer than 5 copies held in U.S. libraries.
- A last copy that is in poor physical condition and cannot be restored may be considered for withdrawal if OCLC lists at least 5 copies held in U.S. libraries.

Other formats (AV, Microforms, State Government Documents, and others):

Audio Visual:

Retention decisions regarding audio-visual formats should adhere to the general, serials or monographs criteria listed earlier in this document. However, special consideration should be given to these formats as they are heavily dependent on the equipment required to use them. Libraries should keep in mind that equipment/formats may become obsolete quickly and, should they choose to retain the item, it may be necessary to also retain and maintain the required equipment or transition the content into a useable format (keeping in mind copyright restrictions).

Microform:

Retention decisions regarding microform materials should adhere to the general, serials or monographs criteria listed earlier in this document. Content in a microform format can be considered to be an archival version.

Government Documents:

Madison is a regional federal depository while many other campuses are selective federal depositories. The expectation is that they will continue as depositories making all documents available to other UW libraries. The Wisconsin Historical Society in Madison and others serve as regional state depositories for state government documents. All other UW libraries may choose to retain only those documents that they deem pertinent to their campus collection.

Other:

Libraries collect many types of materials (pamphlets, maps,, etc) beyond traditional materials such as serials and books. It is not possible for a policy to address all items, and libraries should therefore use the general criteria and their best judgment using local collection development policies, needs, collection strengths and space constraints.

Withdrawal of Last Print Copy Procedures:

1. Determine holdings of identical titles locally, statewide, nationally and worldwide from Voyager and OCLC records.
2. Confirm the duplication of the physical items and any electronic versions.
3. Verify the condition of all physical items and that the title, editions and printings match.
4. Examine for any distinctive characteristics such as bookplates, meaningful marginalia, advertisements, and any other characteristics described earlier in the policy.
5. For those physical items withdrawn:
 - a. Update records in Voyager, OCLC, and other catalogs as necessary based on local policy and procedures
 - b. Offer serial volumes or monograph editions to specific CUWL libraries where gaps are known in order to fill a serial run or complete a monograph set of all editions and printings
 - c. Send lists of locally withdrawn last copy titles (noting all information necessary) to the CUWL CDC list giving people a minimum of two weeks to respond. This applies to last copies only.
 - d. Any library that believes that a last copy must be kept in the state of Wisconsin (rather than withdrawn by another library), should accept that last copy and retain in their own collection.
6. Physically withdraw items based on state or UW System requirements and local procedures.

Additional Procedures:

- CUWL Libraries should distribute information about current or proposed consortial agreements for print serial or monographic collections.
- CUWL Libraries should communicate information about off-site storage or preservation facilities that are being planned or currently used.
- A task force develops a communication plan for CUWL Libraries to use in sharing this information with faculty, staff and students. Additionally, the communication plan must include specific information for sharing information about withdrawals & retention with CUWL Libraries.

Recommendations:

- That CUWL explore statewide memberships in CLOCKSS and Portico.
- That CUWL develops a future statewide storage model
- That CUWL charge a task force to look at purchasing and digitization on-demand options on a state level.

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