Board of Governors
Program Steering Committee

Summary and Response to HathiTrust Print Monograph
Archive Planning Task Force Final Report

15 June 2015

The HathiTrust Print Monographs Archive Planning Task Force was charged in Spring 2014 to prepare recommendations for a shared print program in response to Ballot Proposal 1, approved at the 2011 Constitutional Convention. The Task Force submitted its report and recommendations in March 2015. The HathiTrust Board of Governors and Program Steering Committee have endorsed the major recommendations of the Task Force and now wish to share the report broadly both within the HathiTrust community and beyond, and to offer opportunities for discussion and comment. Their report follows this short summary and response.

The Task Force is to be commended for addressing a complex topic comprehensively and thoughtfully, and for making clear and specific recommendations on a number of important and sometimes controversial issues.

The program as envisioned is complex, and will be shaped and implemented over several years. The Task Force report provides a detailed blueprint for how this process might proceed, but it is likely that some of these details will be rethought and reframed as the program develops. For example, while the availability of monographs in the archive for circulation is a basic feature of the program, the suggestion that such borrowing be unmediated will require further consideration of feasibility and cost. Similarly, estimates of program costs may change, and the impact of the program on the current financial model will need more consideration. Budget projections have been redacted from this version of the report. Although the Task Force provided an estimate of costs, the Board and PSC both felt that the implementation plan needs further development before we can confidently project the potential costs of the program.

Nevertheless, agreement on the basic outline and principles will allow this work to begin quickly. The PSC has recommended that work begin on several fronts to test and validate these principles:

1) Seek community input: The Task Force report is being made available on the HathiTrust website, and will be announced to member representatives and through appropriate listservs, with formal channels for providing feedback.
2) Establish a Shared Print Operating Committee (SPOC). Early creation of this committee is a key Task Force recommendation. The SPOC will provide a venue for reviewing feedback and conducting the further planning and analysis needed to begin implementation.
3) Initiate discussions with potential Archive Holders. A basic premise of the program is that a number of libraries and repositories will assume responsibilities as Archive Holders, making commitments to retain and make available print copies of the monographs that comprise the HathiTrust corpus. The report describes the role of Archive Holders in some detail. Early

discussion of that role will be important to test the validity of the premise and the feasibility of the proposed model.

4) Assess the probable scale of retention commitments. The report suggests that it should be possible to quickly secure retention commitments for a large percentage (50%) of the HathiTrust corpus, based on discussions with some exemplary repository holders. Early discussions with potential Archive Holders will test and refine this assessment, and help to identify any policy or procedural barriers to securing these commitments.

5) Initiate discussions with OCLC. Thanks to its central role in aggregating data on library collections, OCLC might play a key role in any program of shared print collection management. Early discussions of the potential relationship between that role and the HathiTrust program will be important to the program's success.

Initiation of these steps over the next few months will also lay the groundwork for hiring a program officer to oversee further development of the program.

HATHITRUST PRINT MONOGRAPH ARCHIVE PLANNING TASK FORCE
Final Report

March 20, 2015

PREFACE

Following the approval of a 2011 ballot initiative calling for the development of a distributed print monographs archive, HathiTrust charged a Print Monographs Archive Planning Task Force (hereafter referred to as "Task Force") in the spring of 2014 to make initial recommendations for a program that would serve both members and the broader scholarly community. The Program Steering Committee asked that the Task Force complete our work and provide a report in early 2015. We first met in June 2014 and herewith submit a report that summarizes our recommendations with respect to the composition, phased construction, operating systems, business model, and governance of the HathiTrust Shared Print Monograph Program (HTSPMP). In supporting appendices, our report offers greater detail that implementation teams may find useful.

Throughout the course of this effort, we regularly referred questions and thoughts about our progress and solicited feedback on draft portions of the document from the HathiTrust's Executive Director and individual members of the Program Steering Committee. As we conclude our work, we are keenly aware of the urgency of this initiative in the minds of many in the community. Implementation of this repository program will require that some institutions balance human-resource and financial commitments to the HathiTrust's effort with commitments to other state and regional resource-sharing and print-retention agreements. We urge the HathiTrust leadership to be proactive on behalf of the membership in assuming national leadership in this arena so that members and their partners may make their choices to maximum advantage of all concerned.

We are grateful to have had this opportunity to shape the future of collections collaboration and hope our work will guide HathiTrust in implementing this important program.

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Acknowledgments

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1. EXECUTIVE SUMMARY

This summary of the proposed HathiTrust Shared Print Monograph Program (HTSPMP) serves at once as an entry point to the shared collection and a mechanism for conceptualizing the broader program required to create it. Further details about all aspects of the program appear in the following report and its appendices.

1.1 The Character of the Repository

The repository or shared collection mirrors the monographic holdings of the HathiTrust digital archive and is built from and regionally distributed amongst the collections of its members. The repository consists of lendable materials from general, circulating collections housed in a combination of active shelving and high-density facilities; because it is a shared, lendable collection built on publicly disclosed retention commitments, the repository serves the members, as well as the public good through the members' many partnerships. The repository is governed, managed, developed, and financially supported by HathiTrust, not by a subset of members; membership in HathiTrust equates to membership in the repository, although not all members need serve as Archive Holders. The costs of developing and maintaining the repository's technical infrastructure and operational staff are borne centrally by HathiTrust, with members contributing in-kind to build it and, at least during the first years of the program, receiving no subsidies for retaining volumes.

The retained collection will be established with an initial target of matching 50% of the digital collection of monographs, roughly 3,000,000 titles, and will be built from large commitments by a group of volunteer libraries. The initial build-out of the repository will not be driven by a risk model that might focus on scarcely held titles or the establishment of a minimum number of copies. Most of the repository's early requirements in terms of retention commitments, materials housing standards, verification, and access or delivery mechanisms will be relatively lightweight as the repository is built. This lightweight approach will rely on a recognition of common interests and values, low-cost voluntarism, and services currently in place among members. The Task Force believes that most HathiTrust members will be slow to make collection management decisions around reducing the size of their print collections in favor of partnered access to retained copies, and that many will choose to become Archive Holders during the course of the project.

1.2 The Development of the Repository Program

A phased, iterative development process will be both helpful and necessary. The Task Force's plan assumes that the repository may catalyze, rely on, or strengthen, and in some cases may supersede, existing archiving and resource-sharing arrangements, but it will avoid disturbing members' numerous other relationships and affiliations.

In a Startup Phase, HathiTrust will hire a Shared Print Program Manager, a programming and analytical position to support the HTSPMP. The Shared Print Program Manager will convene a Shared Print Operating Committee (SPOC) to guide implementation of the HTSPMP. The SPOC will liaise with the existing Collections Working Group and Program Steering Committee and report through the Program Manager to the Executive Director.

After this Startup Phase, the repository will take shape in Phase Two with a volunteer group of libraries making retention commitments. These initial libraries will work with the SPOC to develop the proof of concept for the repository, policies and services, and the processes that will enable analysis of the collection for further incorporation of retention commitments. Initial partners will commit to retain large subsets of their collections in order to quickly reach the 50% goal. Strategic decisions will be made about insourcing or

outsourcing systems development for disclosure, analytics, knowledge base, and resource-sharing capabilities needed to support the program. Disclosure and collection analytics capabilities (systems infrastructure) will begin development in this phase, in parallel to the initial archiving activities. OCLC will be a key early partner in the HTSPMP, providing essential infrastructure for disclosure, metadata flows to the HathiTrust Knowledge Base, and potentially for discovery and resource-sharing capabilities.

In Phases Three and Four, the program will expand the number of Archive Holders and retention commitments as well as support more advanced access services. Throughout the process, Archive Holders will be required to perform work to disclose retention commitments in OCLC and a HathiTrust Knowledge Base. These phases will include the routinization of archiving decisions into annual archiving cycles to ensure the pace of growth. They will also include the rollout of key systems infrastructure including a HathiTrust Knowledge Base for discovery of retention commitments as well as group and local analytics capabilities.

The retained print collection may grow or incorporate additional retention models or new partners, as well as any new requirements, fees, or services that HathiTrust members deem necessary. In Phases Three and Four, core and enhanced services will be available to members, and HathiTrust may define new categories of membership both to support the retained collection and draw more libraries to participation in HathiTrust.

More complete descriptions of the developmental phases may be found within the body of the report and its appendices; however, it is important for readers to understand that the Task Force's recommendations focus on a Phase Two that seeks to build momentum through achieving a critical mass of commitments followed by the development of analytical tools to support further growth and service development. The building blocks of this program are policies and governance structures that the Task Force suggests become a defining feature of HathiTrust membership.

1.3 The Transformative Role of the Repository Program

That the retained collection will be persistent accords with the mission of the HathiTrust digital archive and the historic mission of many HathiTrust members. Moreover, the size, prominence, geographic distribution, and many affiliations of HathiTrust members and the position the HathiTrust itself occupies in the library community will establish the repository as a component of nationwide and potentially international programs of print retention and management. Developing the repository will require a new, broadly usable technical infrastructure that will enable disclosure of retention commitments, easy discovery of those commitments, and local/consortial collection management decisions based on commitments. The repository will thereby help shape the shared print policies, governance structures, and financial regimes that will enable the coordination of retention and archiving efforts across consortia and regions. It will encourage a community-wide approach to management of the collective collection by producing a critical mass of public retention commitments, defining new preservation and collection management standards, and catalyzing enhanced service development.

HathiTrust will be a leader, therefore, in print retention as it has been in digital preservation. Through the repository, HathiTrust stands poised to make further, transformative impacts on the management of libraries and the mechanisms by which they provide services to their constituents. The repository will fulfill HathiTrust's purpose of creating a "new paradigm by which research libraries and other academic libraries

can develop shared reliance on a scholarly print record that is collaboratively stewarded and supported as a public good."[1]

1.4 Summary of Recommendations

In order to accomplish its goals for collections collaboration, the Task Force recommends that HathiTrust:

1. Establish a Shared Print Monographs Program that aims to support every monograph in the digital corpus with an equivalent print copy held in trust for a specified period of time, under terms and conditions that ensure its availability and safe-keeping for the membership.
2. Seek retention commitments for at least 50% of the monographs in the HathiTrust corpus within one year after completing the setup phase for the program.
3. Allow multiple overlapping retention commitments to ensure that "enough" copies are secured, both to avoid a "single-copy" model and to ensure that the HTSPMP does not interfere with existing print retention commitments.
4. Ensure and enable access to the repository by requiring unmediated borrowing from Archive Holders available to all HathiTrust members.
5. Secure commitments from a group of Archive Holders tasked with providing certain services.
6. Hire a Shared Print Program Manager (SPPM) to convene a Shared Print Operating Committee (SPOC) and establish appropriate reporting relationships for said individual and committee. Hire additional support staff, as needed, likely a Collection Management Analyst and a Metadata and Resource Sharing Analyst.
7. Update the bylaws to reflect the HTSPMP and the roles and responsibilities it entails for the board of governors.
8. Establish the repository as a "light" archive through disclosure of long-term retention commitments at the title and holdings level in OCLC WorldCat.
9. Develop and publicize a HathiTrust shared print disclosure policy that incorporates the OCLC Metadata Guidelines for Shared Print.
10. Develop the repository in a series of phases over the next five years:
    a. A preliminary startup phase for hiring the program manager and establishing the SPOC as well as the policies, governance, and financial structures to support implementation.
    b. A first year of making key technical decisions around repository analysis, retention commitments, and disclosure techniques with a goal of supporting a 50% retention level.
    c. A subsequent three or four years to expand repository commitments and enhance resource sharing and access services
11. Insource or outsource development the necessary systems infrastructure to support retention decisions, discovery, and access. Recommended infrastructure includes a knowledge base for retention commitments, a collections analysis capability to facilitate decisions about what to archive next, and resource sharing.
12. Prepare a Memorandum of Understanding (MOU) for endorsement by all members to codify terms and conditions of participation in the shared print program.
13. Support the development and operationalization of the HTSPMP and its core infrastructure, using existing funds or assessing fees through an equitable cost-sharing formula.

The Task Force considered, but does not recommend that HathiTrust:

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[1] HathiTrust "Print Monograph Archive Planning Task Force Charge" at http://www.hathitrust.org/print_monographs_archive_charge.

- employ a risk model in the initial phases of developing the repository, focusing instead on achieving at least one commitment for the largest possible number of titles; or
- pay subsidies to Archive Holders for retaining committed volumes. In part, the initial costs of establishing the HTSPMP are already significant. More substantially, the value proposition for a subsidy depends on agreement to a risk model (i.e., incorporation of print-only titles and alignment of digitization and/or validation efforts around those) and the accumulation of more information about how the retained collection is used and the costs incurred by Archive Holders serving it.

2. THE MONOGRAPH REPOSITORY: COMPOSITION AND BENEFITS

Charged with investigating the mechanisms by which HathiTrust might develop an "archive" of print monographs, the Task Force quickly found itself challenged on several fronts by such questions as "what is a monograph?", "what is an archive and how does it behave?", and, not least, "what do we mean by access?" It was clear from the language of the Task Force's charge it was to focus on developing a dynamic monographic collection. The repository it recommends, therefore, enables HathiTrust to build a progressively more comprehensive program that promotes both the preservation and use of retained materials as well as additional services and collection initiatives. Based on its discussions, the Task Force is recommending a foundation of collaboration upon which the members can make local decisions about print retention, while also benefiting from shared access to materials in the repository (see Appendix A).

Few foundations, however, are maintenance free, and the Task Force is sensitive about the use of the word "archive." The Task Force feels that few institutions will embrace the indefinite commitment and protected status that the term "archive" implies. In contrast, the Task Force seeks to create a more open, accessible collection, thereby embracing HathiTrust's original goal to "stimulate redoubled efforts to coordinate shared storage strategies among libraries." With that in mind, the Task Force recommends that HathiTrust establish a print monographs "repository," an active collection that will carry with it many of the trappings that attend the notion of an organization sustained by its membership with regular maintenance and attention to the underlying program. The repository will be an evolving program requiring ongoing maintenance and will develop over time through its governance rather than through static, indefinite commitments.

The HTSPMP will, then, be a shared collection of print volumes that correspond to those that have been digitized and deposited into the digital corpus. By ensuring that a number of reliable custodial institutions make meaningful, public commitments to retain print copies of every title that has been deposited into HathiTrust and by developing services that support local decision-making and access, HathiTrust will provide libraries with the policy and material foundation necessary to transform their management of print monograph collections.

The following elements distinguish a collection that will:

- be established through an initial round of large, 25-year retention commitments that will quickly secure 3,000,000 unverified copies[2];
- be a comprehensive collection with multiple circulating copies and editions of items on Archive Holders' browseable shelves or in their high-density storage facilities;
- initially include only volumes from general, circulating collections, adding specialized, non-circulating monographs when digital lending and rescan mechanisms are developed and broadly implemented;
- include all items cataloged as monographs in the digital corpus regardless of publisher (whether commercial, government or public, or academic), language, place of publication, or subject;
- develop through an iterative process of collection analysis that targets titles for addition; and

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[2] The Task Force considered applying a risk model to the development of the collection from the outset, but in the course of its work came to agree that achieving a large quantity of commitments was a more important initial goal. The terms of its charge, in particular, the requirement that the repository mirror the digitized corpus, suggested as much. These volumes have been handled recently enough to produce a high degree of confidence in their existence, and in being digitized they have met a baseline standard for integrity and physical condition. Moreover, that these retained items must be accessible to the broader membership means that the Task Force is, implicitly, focusing on circulating collections. HathiTrust members and other libraries hold millions of volumes that have not been digitized, and are therefore at higher risk of loss of both access and content, and volumes in the digitized corpus could still be at risk in terms of physical access due to scarcity. A risk model should be considered, therefore, in later phases of repository development. A risk model will be especially important if HathiTrust considers developing a repository service for print copies without corresponding digital surrogates. For these reasons and per the last two bullets on page 8, the Task Force's recommendations foresee evolving the selection criteria for the collection based on an understanding of risk that seeks at once to avoid loss and increase access.

- grow based on informed criteria such as optimal numbers of copies, geographical distribution, protection of scarce and unique titles, ongoing digitization, validation for existence and condition, and the movement into the repository of items not in the collections of Archive Holders or not yet digitized.

The Task Force anticipates that building this dynamic foundation will require several phases, including an initial period of organization, the development of an aggressive build-up that seeks to expand coverage significantly, and a long-tail during which members fill gaps in repository coverage. In addition to mirroring the development of HathiTrust's own digital corpus and enabling the startup of a meaningful repository in short order, building the foundation as described will pose several strategic advantages in the next five years:

- The repository will ensure long-term retention and ongoing access to digitized print resources invaluable for scholars and scholarship.
- The program will enable members to access tools that will allow informed decision-making for collection development, management, and delivery of monographic content in print form, in addition to the digital form.
- The program will improve member's access to the print monograph collection through enhanced services, timely delivery, and unmediated resource sharing.
- By demonstrating rapid success at scale, the program will provide a foundation for further development of a broader national coordinated print monograph retention program.

3. IMPLEMENTATION PHASES

Implementation of the HathiTrust Shared Print Monograph Program (HTSPMP) consists of four phases that will maximize early impact and provide a path to long-term sustainability. The Task Force offers this high-level description of the Implementation Model in order to paint a picture of both the necessary work and the ways in which different project elements and needed development activities might be sequenced and related to each other. The four phases of implementation, broadly viewed, include **Startup**, **Launch and Commitments**, **Infrastructure-Building**, and **Operationalization**.

The Shared Print Operating Committee (SPOC) should consider milestones of 50% collection commitment into the repository by the end of the Launch and Commitment Phase; a functioning Group Analytics Capability by the end of the Infrastructure-Building Phase; and a robust user-initiated resource-sharing service, plan for repository build-out, and long-term sustainability plan by the end of the Operationalization Phase. Phase activities may overlap, but each phase builds on the work of earlier phases; phases require progress on multiple subtasks in parallel, but some tasks have to be completed before a new phase can begin. Appendix B shows the relationships among the interdependent activities occurring within each phase.

The four phases should build on the initial budget model and establish benchmarks for program costs and repository holder costs. In subsequent phases, the launch of the collection analysis and lending services should further illuminate the value proposition for members, enabling HathiTrust leadership and governance bodies to develop a long-term funding plan. A stable, sustainable funding strategy and vibrant service development plan are needed for any program operating at the scale and with the network-level impact the HTSPMP will have.

3.1 Phase One: Startup (6-8 months)

The Startup Phase should begin with planning and budgeting, fully define the work of the next two implementation phases, and end with the creation of the SPOC. Startup phase milestones should include:

- budgeting for subsequent phases;
- hiring of a project manager and additional staff;
- creating and convening of the SPOC and other groups;
- making strategic decisions about systems insourcing and outsourcing for the Knowledge Base and group and local analytics; and
- development of functional requirements for information systems and services, including engagement with OCLC to begin planning for ingest of retention commitments and technology development scope.

Appendix C on HathiTrust-supported costs discusses insourcing and outsourcing and provides more detailed, estimated annual budget figures (see also Table 1).

3.2 Phase Two: Launch and Commitments (12 months)

This phase should begin when the SPOC is prepared to recruit Archive Holders. The Launch and Commitments Phase includes an open call for initial Archive Holders, which will include a description of roles, responsibilities, and key characteristics for this volunteer group. Milestones in this phase include:

- building a community of Archive Holders;

- deploying group analytics capabilities;
- establishing a basic resource-sharing system (perhaps OCLC "group access capability");
- the realization of retention commitments to 50% of the titles in the digital collection; and
- preparation of disclosure and access policies.

3.3 Phase Three: Infrastructure-Building (12 months)

While initial Archive Holders and retention commitments are put in place, HathiTrust will also develop and deploy group and local analytic services for making retention decisions and begin to engage in routine, annual archive cycles. Ideally, this phase enables collection analysis of the retained monographs in order to determine what to archive next, establishes a plan for a second build-out of the repository through routinized analytics and pick list generation, and provides membership access to retained collections through a user-initiated request system. Through group analytics it would be ideal if the HTSPMP could understand the scale and scope of the initial set of secured print collections, allowing it to plan for scaling the collection commitments and assessing the success of previous phases. This will enable planning for a further collection build-out by adding copies, titles, and repository holders to grow the collection; increase confidence that multiple copies will be available for use and preservation; enhance geographic coverage to reduce delivery times; and enhance the collection in other ways.

Additional milestones in this phase include deployment of a HathiTrust resource-sharing system and defining support for advanced resource-sharing capabilities. This phase will likely involve development work to fully enable unmediated resource sharing with disclosures at the holdings level and inventories managed at the item level.

3.4 Phase Four: Operationalization (12 months and ongoing)

This phase draws on the experience gained in previous phases and begins to operationalize services and ongoing growth of the repository. The Operationalization Phase creates a culture of routinization for the repository program throughout the Archive Holders group. Local analytics to support deselection decisions will be developed in this phase. User-initiated resource-sharing will commence in the Infrastructure-Building Phase, but it seems likely that further access and sharing services will be possible and desired by the membership.

While the tasks to be completed in this phase are difficult to project, the Task Force envisions:

- reviewing policies and procedures implemented thus far;
- being able to deploy services supporting local collection analysis against the retained collection;
- establishing a regular cycle of adding archiving commitments as well as new repository holders;
- identifying service enhancements and new services for development;
- setting sustainable funding in place;
- adding Archive Holders;
- developing a plan for future collecting and defining policies often required in shared print groups for transfer of holdings (including from unaffiliated libraries), last copy programs, etc.; and
- operationalizing initial services and support processes for deploying a second generation of services for such activities as unmediated resource sharing, expedited delivery of print, digitization, user-initiated (re)scan-on-demand, and print holdings verification for condition, etc.

Figure 1. Model of Repository Growth

Secured % of digital corpus

Based on this general understanding of the goals and core focuses of activity in each of the four phases of construction of the repository program, the Task Force notes several key questions and issues for implementation in Appendix D.

4. OPERATIONS MODEL

The base Operations Model for the HathiTrust Shared Print Monograph Program (HTSPMP) includes retention disclosure, collections analysis, and resource sharing. This section provides a broad overview of each of these functional areas, with more information in the Infrastructure section and appendices.

4.1 Retention Disclosure

The Task Force recommends disclosure of long-term retention commitments at the title and holdings level in OCLC WorldCat according to OCLC Metadata Guidelines for Shared Print (**https://oclc.org/services/projects/shared-print-management/metadata-guidelines.en.html**).

The Task Force further recommends that HathiTrust develop and publicize a HathiTrust shared print disclosure policy that incorporates these guidelines.

Following the OCLC Metadata Guidelines provides a variety of benefits:

- The retention disclosure (LHR) metadata serves as the basis for local and group analytics.
- The print retention symbol facilitates resource sharing through existing and emerging OCLC channels.
- Integration of metadata standards into normal workflows and multiple ILS environments

Implementing the metadata guidelines involves several key steps:

- Establish a new OCLC symbol to represent the library's shared print holdings with appropriate settings to facilitate resource sharing.
- Create LHRs with appropriate MARC fields (583, 561, etc.).
- Batch ingest into local ILS and OCLC.
- Update holdings records to meet OCLC Shared Print Metadata Guidelines.

4.2 Collections Analysis: Retention and Replacements Decision Support

While the Task Force recommends getting to a large set of retention commitments quickly, HathiTrust members and governance groups will need to develop the capability to inform the membership of the continued growth of the retained collection and its potential impact on their local holdings decisions. The Task Force expects that the archive will grow over time to match the ongoing growth of the digital corpus, meet usage demands, and ensure the pace of securing retention commitments across the community. Decisions will need to be informed by some form of HathiTrust-wide analytic reports, followed by a group criteria-setting effort and dissemination of group criteria to HathiTrust Archive Holders in machine-actionable ways.

The Task Force recommends that HathiTrust develop mechanisms to support:

- local and group (HathiTrust-wide) decisions about what to retain next. Such decisions need to be made on an annual basis, informed by analytics; and
- decisions to replace lost or damaged items, not through traditional library procurement processes, but rather through an alerting function to request additional retention commitments, leveraging the strength (and duplicate copies) of the community of Archive Holders.

4.3 Collections Analysis: Deselection Support

The Task Force anticipates that HathiTrust members will, at some time, want to be able to deaccession some copies, informed by retention commitments made in the network. Deaccessioning would be an institution-specific activity and occur with differing regularity. The Task Force recommends, therefore, that HathiTrust develop a mechanism to support local comparisons with repository titles to inform local deaccessioning projects.

4.4 Access and Resource Sharing

The HTSPMP will consist of loanable books that are available to all members through an unmediated borrowing system. The Task Force believes that a core benefit of participation in HathiTrust will be the ability to borrow from a large pool of materials that have a clear retention commitment, guaranteeing their availability well into the future. Because HathiTrust includes a variety of different types of libraries and is focused on attaining commitments across a very broad aggregate collection, the Task Force anticipates that members of all types will benefit from improved access to materials that are outside of their immediate regional or consortial inter-lending systems, as well as to items that are outside the scope of their locally-held collections.

The initial recommendations for the HTSPMP do not include holdings validation or verification, but resource-sharing data may be a leading indicator of the need for these services. If resource-sharing transactions are either fulfilled or denied at particular levels, it may serve as an indication that validation is more or less necessary. This may be explored by the Collection Management Analyst and a Metadata and Resource Sharing Analyst, along with appropriate working groups engaged by the SPOC or Program Steering Committee (PSC).

5. INFRASTRUCTURE MODEL

The Task Force identified the Infrastructure Model needed to support the development of the HathiTrust Shared Print Monograph Program (HTSPMP) and its annual archiving campaigns, as well as key relationships, particularly with OCLC and resource-sharing providers that will be necessary.

Briefly, the Task Force recommends that HathiTrust develop or otherwise procure infrastructure to support:

- retention disclosure (in OCLC and a HathiTrust Knowledge Base);
- collection decisions (local and group collections analysis capabilities, e.g., from OCLC Sustainable Collection Services (SCS) or Intota); and
- unmediated resource sharing (e.g., from Rapid, Relais, ILLiad (OCLC), or VDX (OCLC)).

The Task Force further recommends that HathiTrust develop strategies for determining when and with whom to insource or outsource development of infrastructure components and engaging OCLC on large-scale metadata exchanges and possibly other elements of the infrastructure.

In later years, additional infrastructure to consider might include a rescan-on-demand request capability and a payment management system to Archive Holders (via OCLC IFM).

Throughout this section, the Task Force leaves to a future design phase the key strategic questions of which systems and collaborations provide the most efficient and effective solutions.

5.1 Knowledge Base and Collections Analysis

Managing a distributed repository held by disparate member institutions requires a well-supported information systems infrastructure that operates at the scale of 11 - 50 million records, and takes into account the myriad cataloging practices, resource-sharing networks, and ILS systems involved. While this report remains agnostic as to the types of systems, development approach, or hosting approach required, it does identify three key pieces of infrastructure necessary to support the shared print program: a **Knowledge Base**, **Group Analytics Capability**, and **Local Analytics Capability**. Depending on whether these services are insourced or outsourced, HathiTrust may need to add **System Administration Capacity**. These capabilities should be designed in such a way that they are interoperable with common resource-sharing networks and other shared print disclosure mechanisms and platforms. These elements depend upon disclosure of retention commitments in local ILS and in OCLC.

- **Knowledge Base.** A registry of archived titles and holdings that includes a public display of archival status, holdings, and location in a HathiTrust interface; creates management reports about archived holdings accessible to HathiTrust members; and has a single, direct data feed from OCLC. In later years, the Knowledge Base might enable user-initiated (re)scan-on-demand infrastructure for the HTSPMP.
- **Group Analytics Capability.** A capability that compares archived titles and holdings with unarchived titles and holdings to support archiving planning; development of selection criteria for what to archive in the next year; archiving proposals; replacements proposals to alternate Archive Holders; and, if implemented in the future, Archive Holder subsidy projections/payments. This capability generates pick lists based on group criteria set by the SPOC. The Collection Management Analyst uses the system to support the SPOC's collection development decisions and other committees' planning decisions. HathiTrust members may use some report features. This capability

requires substantial support for ingest of unarchived bibliographic and holdings records from HathiTrust members as well as normalization of data. This capability may also require support for ingest and normalization of usage data (sources TBD) and third-party data (e.g., book industry data). If Archive Holder subsidies are implemented in the future, this capability could interface with OCLC's IFM system to manage finances with multiple Archive Holders and between HathiTrust members and Archive Holders in many-to-many relationships. This capability also interfaces with the Knowledge Base and Local Analytics Capability.

- **Local Analytics Capability.** This capability supports archiving commitments with individual Archive Holders, replacements commitments, and deselection decisions at individual HathiTrust member institutions. The capability distributes annual archiving proposals (picklists) to Archive Holders based on criteria identified during group analysis. Individual institutions may perform additional analyses to refine their proposed lists and make commitments. This capability may formulate retention disclosure records to supply to OCLC and local ILSs. This system interfaces with the Group Analytics Capability.
- **Systems Administration.** This includes cloud services, DBA, monitoring, upgrades, metadata licenses, and negotiated API bandwidth for the above items.

5.2 HathiTrust's Relationship with OCLC, Insourcing, and Outsourcing

The Task Force considered various third parties that have some of the necessary infrastructure as well as suitable existing systems to support this work. This deliberation included collaborating and communicating with OCLC (see Appendices E and F). OCLC figures as a critical partner in HathiTrust's shared print program, particularly for disclosure, Knowledge Base development and analytics, and also potentially for financial management with Archive Holders further down the road (see Appendix F). Section 1.4 (Summary of Recommendations) describes the consolidated recommendations throughout this and other sections that may guide the scope of the relationship that HathiTrust cultivates with OCLC.

HathiTrust may choose to insource some or all of the systems development required for the HTSPMP, particularly for analytics. There are currently no solutions in the marketplace that can perform all of the functions needed. The Task Force considered HathiTrust's existing databases, but found them insufficient even for high-level planning; they would have, however, good potential for some functions, particularly the Knowledge Base, given sustained development. Third parties for analytics capabilities include OCLC SCS and Intota Assessment (with Bowker Book Industry Metadata). Each has different capabilities, strengths, and weaknesses.

Some important sub-functions that might be outsourced now are the following:

- holdings and usage metadata retrieval from OCLC via extended API (SCS);
- data-normalization for bibliographic, holdings, circulation, and lending/borrowing data (SCS, Intota); and
- local analytics deselection decision-support tools (SCS).

The first two items are core to the Group Analytics Capability and/or Knowledge Base. The last item is important, but could conceivably be contracted locally and independently by HathiTrust members, as needed.

Strategic decisions will need to be made early in a systems design phase about outsourcing (and interfacing with third party solutions) or fully insourcing for some elements of the capabilities described. Insourcing requires programming and technical project management staff, while outsourcing requires

contract/relationship management and some, but fewer, central programmers and technical project management staff.

5.3 Resource Sharing Infrastructure

The success of the repository in transforming the management of physical collections will rest on the ability of member libraries to demonstrate to their users that access to the distributed print resource is not just an assurance but is actually enabled as a service. To create a cost-effective service offering and meet the expectations of members, resource sharing should be unmediated, so that user-initiated requests are automatically forwarded to the prospective lender. The resource-sharing system should be integrated with members' existing ILL systems by leveraging the disclosures made in OCLC as the mechanism for identifying items available for loan.

The Task Force recommends that the HTSPMP select a resource-sharing system from among those already in use by a substantial quantity of the members, including Rapid, Relais, Illiad (OCLC), and VDX (OCLC). Close attention should be paid to the efficacy of these systems in existing unmediated resource-sharing projects (e.g., E-Z Borrow, OhioLink, Borrow Direct, etc.), the system's item-awareness and load-leveling capabilities, and its support for protocols that will allow easy integration of the HTSPMP requests in members' discovery environments (such as NCIP, OpenURL RTM, ISO ILL standards, etc.).

The relationship between the resource-sharing systems and the Knowledge Base also deserve attention. The basic information required by each system is similar in many ways, and there may be a strategic advantage in bringing together usage information with retention commitments and other data about Archive Holders.

Recommended infrastructure:

- **Discovery and Routing.** A capability to discover committed-to-retain copies among all other copies and initiate resource sharing among HathiTrust members and Archive Holders. This capability should be able to detect retained copies at the title, holdings, and item level based on the disclosures in OCLC, and, ideally, item availability.
- **Request.** A capability to allow borrowers to initiate requests for materials, unmediated by library staff, and then dispatch requests to Archive Holders using a load-leveling process agreed on by the members.
- **Delivery.** A capability to provide the Archive Holder with the bibliographic and holdings information required to retrieve the requested item and the borrower-associated information required to deliver the item to the borrowing institution and patron.
- **Reporting.** A capability to produce aggregate and individual management reports about use of the shared print resources across HathiTrust.

A phased approach and direct engagement between HathiTrust and a preferred provider will be necessary to fully develop and enable discovery at holdings-level and item-level transactions for unmediated resource sharing.

5.4 HathiTrust's Relationship with Resource-Sharing Capabilities

As noted at the beginning of this section, the Task Force leaves to future design phases the key strategic question of which systems and collaborations provide the most effective resource sharing solution. Because members already work with third-party services for their resource sharing outside of the HTSPMP, the Task

Force recommends that SPOC select a best-fit, resource-sharing system already in wide use among the members, and that HathiTrust work with that vendor to develop additional capabilities within their offering to meet the needs of the HTSPMP.

6. BUSINESS MODEL

The HTSPMP may rest on a spirit of library collaboration and trust, but it nonetheless involves costs. One key assumption that underpins the Task Force's suggested business model is that all HathiTrust members participate in and support the HTSPMP. Another assumption is that the program will evolve and require ongoing development and support.

The Task Force has designed the Business Model to support the goals and aspirations of the program as described in this report. The Model makes the following assumptions about the scope of HathiTrust membership and the repository, the services and infrastructure necessary to sustain it, and the timeline for its development:

- Members: 104
- Archive Holders: 10 to 30 approximately
- Projected Archive Collection Size: 6 million titles/13 million copies
- Development Timeline: 5 years

Changes in these factors will require adjustments to the Business Model.

6.1 Types of Costs and Costs Borne by HathiTrust

The Business Model describes resources to support the ongoing development of the HTSPMP and related services. The Task Force recognizes that the initial development of the repository will include costs borne by HathiTrust, including the possibility of subsidies for local setup of services. Although not considered feasible for the initial developmental phases, the potential for HathiTrust to develop fee-for-service arrangements for specialized services should remain for future consideration.

In general, absorbed costs envisioned during the development phase are those borne in kind by HathiTrust members. Absorbed costs include any costs related to OCLC reclamation projects that ensure as complete and accurate holdings on OCLC as possible; disclosure of retention commitments by Archive Holders; cataloging adjustments related to participation in the repository; expenditures related to maintaining retained items; contributing holdings to Archive Holders, including transportation costs; loaning items to members; and deselecting materials from local collections. The Task Force strongly encourages all HathiTrust members to do reclamation projects to get holdings into OCLC if not already there, regardless of a member's intention to serve as an Archive Holder.

The Business Model focuses on the costs borne by HathiTrust. A key assumption is that the initial focus will be on support for program management, infrastructure to manage collection retention decisions, and resource-sharing integration. Later, gradually, support for enhanced services such as holdings verification and (re)scan-on-demand may be included based on member feedback and desirability; support for these services is only built into the proposed budget inasmuch as there are central costs for infrastructure or policy/procedure development related to them. Direct subsidies to Archive Holders are not built into the proposed budget.

The costs borne by HathiTrust are summarized in Table 1 for three areas, Program Management and Communications, Systems Development and Support (some of which may be outsourced), and Resource Sharing (shared print setup/infrastructure, not transactions). Within each of these program areas are items about which HathiTrust will need to decide whether to assume a negotiating and/or fiscal agent role for capabilities and services on behalf of Archive Holders (e.g., resource sharing one-time setup fees or ongoing rates). For the systems development and support needed during early phases of development, HathiTrust will

need to determine whether to outsource or insource the development of certain infrastructure capabilities (e.g., aspects of the Group Analytics Capability or aspects of the Local Analytics Capability, particularly for deselection decision-support).

6.2 Proposed Budget and Membership Fees

The Task Force recommends that HathiTrust collect funds from members in the form of membership fees to support program management and communications, systems development and support, and resource sharing. The method for incorporating the HTSPMP support into the overall HathiTrust membership fee calculus is not an area the Task Force focused on. However, if useful, HathiTrust might consider levying fees, as other print archives do, based on percentages or on tiers of overall library operations budgets or library materials expenditures; overall library operations budgets may be preferable as the benefits of participation in print archiving accrue to many sectors in any individual libraries' operations (collection development, access services, preservation, etc.).

A five-year total estimate for costs to be borne by HathiTrust in the building of the HTSPMP is provided. A key assumption is that members will prefer stable annual fees for supporting projected services or adjustments to infrastructure development to annual increases or peaks and valleys as services are adjusted upward or downward in certain areas.

6.3 Subsidies to Archive Holders

The Task Force considered and rejected direct subsidies to Archive Holders. Although subsidies were suggested in the ballot initiative, at this time, the Task Force does not recommend direct subsidies for Archive Holders because of lack of consensus about the basis for those subsidies and, more important, concern over the long-term sustainability of those fees within the current HT budgetary structure. The Task Force feels that its several concerns about subsidies are likely to be a microcosm of the broader HathiTrust membership. Feedback received thus far on this issue from member representatives indicates a general lack of support for subsidizing storage; however, the Task Force wishes to summarize our deliberations for the purpose of documenting issues that arose in our discussions (see Appendix G).

The Task Force agrees that if HathiTrust chooses to make such payments to Archive Holders in the future, they should be for current services performed and on some formulaic basis that is uniformly and easily measured across all Archive Holders. The Task Force also agrees that payments should also be made in the form of subsidies for disclosures and other operational costs, not as a full-cost recovery or capital investment, and that HathiTrust consider use of the OCLC IFM financial management capability (with some adjustments to establish a shared print credit-debit structure) to distribute funds.

7. GOVERNANCE

The HTSPMP will be an integral and inseparable element of membership in the HathiTrust, as all members will be repository members. It will therefore require a governance structure that provides oversight, goal setting, and operational direction for the retained collection and related services.

The Task Force makes the following four recommendations regarding the governance of the HTSPMP:

- The program's governance should be integrated within broader HathiTrust governance structures with slight adjustments to the Board of Governors and bylaws.
- HathiTrust should create new roles and groups to support the HTSPMP, including an SPOC, shared print program staff, and a new role for members who will commit to being Archive Holders. The Task Force recommends that HathiTrust hire a Shared Print Program Manager and other dedicated staff to manage the program.
- HathiTrust should consider options for insourcing or outsourcing the needed information technology structures as well as development personnel to support the necessary technical infrastructure.
- HathiTrust should promulgate a Memorandum of Understanding (MOU), signed by all members, to codify the terms and conditions for participation in the HTSPMP. The MOU should speak directly to the roles and responsibilities of Archive Holders, but should also establish a common understanding of all member roles and responsibilities.

7.1 Governance and Organizational Structure

This section describes the organizational elements needed to manage the HTSPMP. A guiding principle for the Task Force's approach is the incorporation of these elements within the HathiTrust governance structure. In addition to adjustments to current governance bodies occasioned by inclusion of the HTSPMP in the mission of HathiTrust and by the creation of a new committee and positions to support the program, the Task Force anticipates that HathiTrust will develop a new role among its members for Archive Holders. The interests of this new role will be important to recognize in the existing HathiTrust governance and operating structures, but those structures also need to recognize the interests of members that do not become Archive Holders. Both sets of interests are important in that members may perceive very different value in the repository. As time goes on, more members may become Archive Holders than volunteer in the initial phase of development, but it is important that governing and operating bodies represent the range of interests in the repository in the early phases of development.

Draft job descriptions and a draft MOU are included in Appendices H and I.

- **Board of Governors (adjustment).** Consider adjusting the composition of the Board of Governors as needed to include members who represent the variety of interests in the repository since the Board provides primary strategic leadership and defines financial support for HathiTrust programs.
- **Shared Print Operating Committee (SPOC).** Establish a new, standing committee reporting to and appointed by the Program Steering Committee and consisting of individuals with appropriate expertise to shape shared print initiatives and strategies for Board discussion and decision-making. This committee would be the primary project and implementation team for the HTSPMP. This group will liaise with the Collections Working Group and Program Steering Committee. The Shared Print Program Manager will be the non-voting Chair of the committee; the Collection Management Analyst and the Metadata and Resource-Sharing Analyst will be non-voting members.

- The Task Force recommends appointing HathiTrust member staff who are deeply familiar with shared print initiatives to the SPOC. The committee's membership may include AULs for collections and access services, storage facility directors, and shared print program managers.

7.2 Shared Print Program Staff (new positions)

The Task Force recommends that HathiTrust hire at least two, potentially three, positions depending upon the choices made around insourcing or outsourcing some or all of the collections analysis infrastructure. Brief job descriptions are included as Appendix H.

- **Shared Print Program Manager (SPPM).** Reports to the HathiTrust Executive Director and convenes SPOC. The position will chart strategic directions for the HTSPMP and articulate shared goals and benefits of participation. The position oversees and manages the program and budget, brings strategic issues to the Program Steering Committee, and establishes high-level policies and procedures. The position coordinates with other entities (e.g. OCLC, service providers) and the Program Steering Committee. Because the SPPM manages messaging and general shared print communications, they will need substantial communications support from the broader HathiTrust structure, including public relations, news releases, branding, website, e-mail list, and wiki support and maintenance.
- **Collection Management Analyst.** Reports to the SPPM. Works with individual HathiTrust members and Archive Holders to implement policies and procedures; works with the proposed Knowledge Base and Group and Local Analytics Capabilities to analyze holdings, distribute picklists, and manage commitments; coordinates with OCLC and other extramural partners on metadata transfers, resource sharing, and systems interoperabilities; and regularly communicates and interacts with individual member institutions.
- **Metadata and Resource-Sharing Analyst.** Reports to the SPPM and works closely with the Collection Management Analyst. This position will work primarily with print cataloging metadata, facilitate ingest of metadata into the Knowledge Base and analytics capabilities, and support analytics related to the retained collection and resource sharing. The position will probably be managing the files from many libraries, normalizing metadata, and connecting with the OCLC API, and other third parties to obtain additional metadata. The position will also work with third- party vendors and resource-sharing networks.

7.3 Technical Infrastructure Development Team, Insourcing, and Outsourcing

To develop technical infrastructure for the HTSPMP as described in this report, HathiTrust will need some form of development team, including a technical program manager, programmers, and systems administrator. The nature and structure of the team and its activities may vary depending upon the decision to insource or outsource elements of infrastructure development and ongoing support. See the Business Model section on supported services and costs for more discussion of insourcing/outsourcing.

7.4 Memorandum of Understanding

The Task Force recommends that HathiTrust members execute a Memorandum of Understanding (MOU) to codify the terms and conditions for participation in the HTSPMP, service expectations, and roles and responsibilities of members and the HathiTrust as an Administrative Host. A draft MOU is included as Appendix I. It is modeled after the Western Regional Storage Trust's (WEST) MOU and modified for HathiTrust's context. The Task Force further recommends that the MOU be signed by all members with the possible addition of a rider for Archive Holders.

Withdrawal of a HathiTrust member, and particularly an Archive Holder, will have important implications. The Task Force assumes the broader HathiTrust membership agreement addresses withdrawal of a HathiTrust member and therefore focuses the withdrawal clauses in the draft MOU on withdrawal of an Archive Holder.

HathiTrust may wish or need to adjust service expectations for Archive Holders or create additional categories of Archive Holders to recognize and compensate for enhanced services. The MOU includes articles for enhanced services and their provision in order to address such issues as they arise.

7.5 Suggested Bylaw Changes

The Task Force recommends that the Governing Board review the HathiTrust bylaws to ensure they fully reflect the change in mission involved in adding print to digital collection management. The Task Force makes this recommendation particularly because the HTSPMP is to become an integral and inseparable element of membership in the HathiTrust. Such changes could be incorporated in the next scheduled review of bylaws. Suggested changes would focus on the "purposes" section of the bylaws. A redline of the recommended bylaws changes is included as Appendix J.

8   CONCLUSION

In this report, the Task Force has designed a foundation for a shared print monograph repository that will be laid in phases over roughly five years. Moving quickly to motivate print retention commitments at scale will be a key hallmark of success, demonstration of value to members, and proof of concept for nationally-coordinated print retention of a substantial portion of the print resources underpinning scholarship and knowledge creation. This plan enables HathiTrust to succeed rapidly and iterate the repository's growth from an initial collection of large commitments by a volunteer group of members through its refinement using an infrastructure of analytics, policy development, and assessment strategies to reach 100% of the current monograph holdings in the digital archive. Early demonstration of success in creating retention commitments should attract resources for further development of the archive program and its services.

As the HathiTrust's digital and physical collections grow, this foundation will dynamically enable creating, as the members choose, a superstructure of service enhancements, collection development programs, relationships with other shared print agreements, and new forms of HathiTrust membership. The program will not merely enhance preservation, it should improve ongoing access to print collections and motivate growth in the scanned corpus and the proportion of distinctive print collections under active management for retention. Unmediated borrowing with appropriate duplication and geographic distribution for rapid access will be important elements in achieving this aim.

The repository is grounded in its community's belief in the importance of collaborative management of print monograph collections, the importance of ongoing access to the print record, and sharing. The partnership that cares for the repository is a nation-wide, loose-tight organization with a mission, governance structure, and tools that contextualize and enable local and consortial planning and decision-making. The repository relies on research into the composition of the collective monograph collection; it therefore represents a shift in thinking about collections from what a library has to what a library can provide access to, and reconfigures the assumptions that libraries make about or practices they observe in collection management.

Successfully developing the HTSPMP will also strengthen the confidence scholars, researchers, and the broader society place in member libraries to intelligently and effectively manage the print collections that encode human knowledge and fuel ongoing scholarly discourse. Explicit, transparent commitments to print retention along with investments in access and delivery to the shared collection need to be communicated to library users and supporters.

Beyond the importance of creating the repository itself, the centrality of HathiTrust members in the library community and the size of the repository will create the circumstances for weaving a technical and policy fabric that will bring together long-standing programs of resource-sharing and cooperative housing of library collections and the many current shared monograph projects underway across North America. In reshaping the collections landscape and the ways in which libraries develop and manage their print monographs, the repository will further the ability of HathiTrust members to adjust their service portfolio according to the changing needs of the readers and scholars who rely on them.

9 APPENDIX A
THE VALUE PROPOSITION BEHIND COOPERATIVE PRINT RETENTION

Establishing a widely-distributed, multi-institutional shared print monograph program is a crucial building block in the library community's role of maintaining the cultural and scholarly record. A HathiTrust Shared Print Monographs Program leverages members' investments in the HathiTrust digital corpus, opens new avenues for members to engage in local and regional print collection management activities, and creates new incentives for libraries and consortia to join the HathiTrust. The Program must launch quickly and deliver value to all members. Early success in creating the repository and related analysis services is crucial to building support for members' ongoing investment in the program, to accelerating the emergence of a North American ecosystem for large-scale print retention, and to promoting a more rationalized model for collection management. The value will align with the mission and priorities of members while also contributing to the creation of a community asset that functions as a significant new public good.

Stakeholder groups will gain the following benefits from the HathiTrust's creating, maintaining, and growing the repository:

1. HathiTrust members who are initial Archive Holders:
   - help shape the program;
   - gain prestige from being an early adopter;
   - provide leadership and service to the library community;
   - assert the importance of their historic role as curators of research collections; and
   - use their HathiTrust retention commitments to shape regional partnerships.
2. All HathiTrust members:
   - have the ability to assure readers, scholars, librarians, and campus administrators of the HathiTrust's collective collection management role and ongoing access to materials;
   - benefit from analytical tools and enhanced access services which will be developed as part of the program;
   - have the ability to make collection management decisions for best use of local resources of space, budget, and staff;
   - help shape the national shared print program by participating in the largest-scale print retention program to date;
   - achieve an understanding of the composition and network role of collections at local, regional, and national level; and
   - contribute to the retained collective collection through scarce/last copy protocols that may develop.
3. Non-HathiTrust libraries involved in or thinking of entering shared print agreements have:
   - a model and protocols to follow;
   - an expanded network of colleagues and expertise to rely on; and
   - encouragement to engage in or complete a retention program, including making a decision to join HathiTrust and its program.
4. The library community at large has the ability to:
   - assure readers and scholars of the HathiTrust's collective collection management role and ongoing access to materials;
   - develop technical infrastructure for using retention data in broad collection-shaping decisions; and

- provide the impetus for the development of new and expanded programs for collective responsibility for the print corpus; emergence of a national/continental program.

5. Scholars and readers have the:
    - knowledge that major research libraries with historic commitments to readers and scholars are providing thoughtful and informed collective stewardship and ongoing access to materials; and
    - knowledge that the HathiTrust's program will catalyze other retention efforts that will benefit scholars for decades to come.

6. Campus administration has the:
    - assurance of the collective long-term commitment, stewardship, and access to a rich print collection for students and faculty;
    - flexibility to make resource-allocation decisions (space, staff, budget) based on the retained collection, especially the potential for avoiding or reducing the costs of local housing of materials; and
    - potential for an expanded digital corpus (and consequently a retained print collection) for supporting the needs of the sight-impaired, for doing research on digitized texts, and for creating further cost-effective inter-institutional relationships and services.

10 APPENDIX B
HATHITRUST SHARED PRINT MONOGRAPH PROGRAM (HTSPMP) DEPLOYMENT

First Five Years: Phasing				
	Phase 1 - Startup: 6-8 months	Phase 2 - Launch: 1 year	Phase 3 - Infrastructure: 1 year	Phase 4 - Operationalization: 1 year
Collection Analysis Subproject	*(Below) Budget development and staff hires commence while Governance/policy subproject begins requisite policy work.*	● Aggregate metadata for retention commitments, explore tools, develop and populate knowledge base(s) ● Develop initial collection analysis capability – focus is group analytics capability development.	● Collection analysis development advances –focus is local analytics capability. ● Deploy collection analysis of archive commitments. Assess: o Overlap with digital collection o Levels of duplication o Geographic profiles o Distribution of preservation ratings among secured items ● Additional development or testing based initial development outcomes.	● Plan next phase of service development – collection analysis ● Deploy member-directed overlap analysis service ● Additional development or testing based on development outcomes of infrastructure phase.
Archive building Subproject	*(Below) Budget development and staff hires commence while Governance/policy subproject begins requisite policy work.*	● Engage with OCLC, other partners as needed ● Assemble set of initial archive holders from volunteers meeting criteria ● Archive holders disclose initial retention commitments and preservation ratings	● Develop collections plan for adding commitments to print archive, including a plan for expanding archive holders, optimal copies, geographic distribution etc. ● Implement process for onboarding new members to HT into SP program, as part of onboarding process	● Plan ongoing archive development including annual ingest cycles, new archive holder recruitment, etc. ● Launch strategy for new or enhanced scanning and archiving activity ● Determine strategy for non-archive holders to contribute collections to archive holders ● Develop plan for validation ● Explore digitization of specialized editions, last copy programs, rescan on demand, etc.
Resource sharing subproject	*(Below) Budget development and staff hires commence while Governance/policy subproject begins requisite policy work.*	● Establish initial resource sharing plan using existing ILL capabilities. ● Define initial delivery/sharing policy ● Define a discovery policy (e.g. supporting patron discovery and request) ● Explore infrastructure options ● If possible - deploy sharing on existing infrastructure	● Deploy unmediated resource sharing system.	● Assessment of delivery of resources. ● Determine development of advanced delivery services
Funding subproject	● Establish budgets for full five years of project phases. ● Hire Program Manager and launch recruitment of rest of staff team: developer(s), collections analyst, communications specialist, etc.	● Begin gathering data on program management costs, archive holder effort, in-kind contributions, etc.	● Analyze initial commitments data to support sustainable fund structure in Operationalization	● Final determination of compensation strategy for archive holders ● Launch of sustainably funding strategy for program
Governance/policy sub-project	● Establish organization structure and processes for program; integrate into existing organization and governance ● Establish Shared Print Operations Committee – project staff and key experts drawn from membership ● Determine how to handle task areas – some may need their own groups or different leadership.	● Define MOU, roles responsibilities, environmental standards ● Define initial archive holder onboarding policy / process ● Define a disclosure policy ● Define initial collections plan ● Make symbol use decisions	● Possible period of adjustment of item or even archive holder commitments ● Define new member onboarding process in light of print program ● Refine archive holder recruitment and onboarding policies	● Review of policies and procedures used in Startup

Roles and Responsibilities of HathiTrust Archive Holder

HathiTrust Print Archive Holders are institutions that retain print collections and provide services on behalf of members of the HathiTrust. In general, Archive Holders are responsible for the following activities:

- retaining print materials for an agreed upon retention period (20 years);

- disclosing retention commitments in OCLC according to OCLC metadata guidelines for print repositories;
- registering or declining retention commitments within an agreed-upon routine timeline such as an annual archive cycle and updating retention commitments if copies are determined to be lost, damaged, or otherwise un-loanable;
- providing access to retained materials, including lending them to users at other HathiTrust member institutions;
- implementing resource-sharing infrastructure agreed upon by HathiTrust and required for lending monographs within the program;
- performing the necessary archive services as specified and developed by HathiTrust;
- complying with policies and standards developed and agreed upon by HathiTrust;
- receiving and managing funds intended for archive services;
- preparing progress reports and other ad hoc reports for HathiTrust;
- responding to HathiTrust member inquiries and offers for holdings contributions;
- coordinating with HathiTrust and other HathiTrust Archive Holders; and
- willingness to participate in governance of the archive.

Additional Optional Services

In addition, the Task Force recommends introducing the concept of "enhanced services" to create an avenue for some, but not necessarily all, Archive Holders to implement additional future services developed by HathiTrust that may involve additional compensation. During the Operationalization Phase, service expectations beyond those described above (e.g., retention, routine disclosure, and resource sharing) should be further defined. See also the discussion in the Business Model section related to Archive Holder subsidies for more information on what the Task Force considers enhanced services and what might be compensated in the future.

Added Responsibility

Implementing agreed-upon enhanced access and collection management services which might include, but are not limited to, receiving and retaining last copy holdings from unaffiliated institutions, holdings verification, condition verification, (re)scan-on-demand, and potentially other services.

11 APPENDIX C
SERVICES AND COSTS SUPPORTED BY HATHITRUST

The costs borne by HathiTrust include the following areas, described in more detail below:

- Program Management and Communications
- Systems Development and Support (some of which may be outsourced)
- Resource Sharing

Program Management and Communications

Program management includes staff to manage and administer the shared print budget, operations, and institutional relationships. Three (3) shared print program staff are recommended, including a Shared Print Program Manager, Collection Management Analyst, and Metadata Resource-Sharing Analyst, as well as a part-time administrative assistant. Support for communications is included in the proposed budget (e.g. two meetings per year for the SPOC at a conference (such as ALA), telecommunications, webinars, public relations, news releases, a shared print logo, website, e-mail lists, and wiki).

Systems Development and Support

The Business Model includes funds for systems development and support for the Knowledge Base, Group Analytics Capability, Local Analytics Capability, and Systems Administration described in the Infrastructure section.

Resource Sharing

The Business Model includes funds for resource sharing. The funds are intended to support:

- a one-time setup fee for the shared print symbols used to disclose retention commitments after which Archive Holders would be expected to pay the annual fee; and
- development by a preferred provider for the unmediated resource-sharing network. A three-year fund is proposed in the detailed budget. While certain providers may be nearly capable of supporting HathiTrust's scale and scope, some investment in systems development is needed to fully enable unmediated sharing. The funds are not intended to support resource sharing transactions.

12 APPENDIX D
KEY ISSUES AROUND IMPLEMENTATION

How could the HathiTrust Shared Print Monograph Program (HTSPMP) recruit and assemble repository holders?

The onboarding of repositories and work of disclosure should focus on getting to scale quickly by broadly recruiting repository holders and providing them with tools to disclose collections. It is suggested that collections analysis not be a heavy-weight process during the first phase but that retention commitments are made without custom information provided by HathiTrust about what has and has not been scanned. This requires that potential archive holders be able to identify scanned titles by any means possible, locally. This requires an initial focus on rapid deployment of substantial numbers of title commitments and concurrent development of needed analytics infrastructure and resource-sharing services. During the Startup Phase, the process emphasizes working with willing institutions in a more experimental mode with the goal of building an initial sizeable base of shared print holdings. Subsequently the process will leverage reporting and analytics to act strategically to grow the repository, the corps of Archive Holders, and to deliver new services to members.

What factors might drive the initial selection of repository holders?

Recruiting the first cohort of repository holders will be critical to creating a "big bang" set of archiving commitments. To achieve this, the initial call should be extended to all HathiTrust member institutions. Willingness to make retention commitments at scale will be the primary requirement for participation as a HathiTrust repository holder. Expectations for repository holders are described above, but specific criteria are proposed for participation in the initial cohort:

- Institution Type
    o Institution must be current HathiTrust members.
    o A diversity of participants of different sizes, mission, etc. within keeping with other criteria are sought.
- Repository Type
    o Partners with collections in climate controlled/limited access facilities are a priority, but at least some partners planning to commit collections from both limited access facilities and collections on open shelving are also sought.
    o Partners able to only offer collections on open shelving are acceptable.
- Geographic Distribution
    o HathiTrust seeks a diversity of participants from different regions.
    o Multiple repository holders in the same region are acceptable.
- Breadth of Contribution
    o Partners should be willing to commit 25% of the monographs in their collections matching with HathiTrust scanned titles.

What are the roles and responsibilities of Archive Holding Institutions?

As member institutions that retain print collections and provide services on behalf of all members of the HathiTrust, at a minimum, Archive Holders are responsible for the following activities:

- retaining print materials for an agreed upon retention period (set by policy - suggested: 20 years);

- disclosing retention commitments in OCLC according to OCLC metadata guidelines for print repositories;
- registering or declining retention commitments within an agreed upon routine timeline such as an annual archive cycle and updating retention commitments if copies are determined to be lost, damaged or otherwise un-loanable;
- providing access to retained materials, including lending them to users at other HathiTrust member institutions;
- implementing resource-sharing infrastructure agreed upon by HathiTrust and required for lending monographs within the program;
- performing the necessary archive services as specified and developed by HathiTrust;
- complying with policies and standards developed and agreed upon by HathiTrust;
- receiving and managing funds intended for archive services;
- preparing progress reports and other ad hoc reports for HathiTrust;
- responding to HathiTrust member inquiries and offers for holdings contributions;
- coordinating with HathiTrust and other HathiTrust Archive Holders; and
- willingness to participate in governance of the archive.

Additional Optional Services

In addition, the Task Force recommends introducing the a suite of services that enable some, but not necessarily all, Archive Holders to implement additional future services developed by HathiTrust. These could involve additional compensation or transaction payments. During the Operationalization phase, service expectations beyond those described above (e.g. retention, routine disclosure, and resource sharing) should be further defined. See also the discussion in the Business Model section related to Archive Holder subsidies for more information on what the Task Force considers enhanced services and what might be compensated in the future.

Possible Added Responsibility:

- During the Operationalization Phase, Archive Holders might implement agreed upon enhanced access and collection management services which could include but are not limited to receiving and retaining last copy holdings from unaffiliated institutions, holdings verification, condition verification, (re)scan-on-demand, and potentially other services.

What is the optimal way to onboard the first cohort?

Archive Holders in the first phase will be contributing substantial title and copy commitments as well as participating in planning and policy development. Effort should be made to ensure a diverse pool of founding repositories (e.g. geographic, size, repository type) but willingness and capability to do the needed work described in the roles and responsibilities section above will ultimately define the cohort. Repository holders in the first cohort will need to generate their own collection analysis against HathiTrust holdings to locally define their set of records corresponding to print retention commitments. This information will be used to build the initial Knowledge Base, forming the basis for the first group analytics work. The basic process for the first cohort will be select, commit, disclose locally and in OCLC. Verification of holdings is not recommended in the first phase.

How should the HathiTrust Shared Print Monograph Program (HTSPMP) add holders in future phases?

During the fourth phase, additional content commitments and additional repository holders will be targeted through the use of analytics leveraging the Knowledge Base and findings from the group analytics of the initial repository collection. While calls for new titles may continue to be open to all members, outreach to institutions identified as particularly able to enhance the scale of the collection, preservation or access functions may be particularly encouraged as the selection process becomes aligned with the documented needs of the monograph repository. During this phase, decision points may include number of added copies needed, additional repository holder diversity needed or availability of new collections. A centralized process will be needed at the operationalization state to fill in gaps left from the initial repository building process. This process should ultimately unfold as a regular archive cycle and targeted deposit requests.

13 APPENDIX E
HATHITRUST'S RELATIONSHIP WITH OCLC FOR PRINT ARCHIVING

HathiTrust will work with OCLC to support print archiving. Collaboration across a number of areas will be essential for the success of the program. New opportunities for HathiTrust/OCLC collaboration may present themselves as the program develops. Opportunities include:

- Disclosure of long-term retention commitments at the title and holdings level in OCLC WorldCat.
- Easy and rapid ingest of large volumes of Local Holdings Records (LHRs) containing retention commitments. Any issues around capacity for large-scale rapid ingest of LHRs will need to be addressed by OCLC (Estimate 30 Archive Holders, with files in the hundreds of thousands of records each, annually).
- Collaboration around flow of disclosure metadata. In order to maximize efficiencies, HathiTrust and OCLC will need to work together to streamline workflows around metadata flow in terms of sequencing and syncing between local ILS, OCLC, the HathiTrust Knowledge Base and resource-sharing systems.
- Libraries will need local analytics to support individual library deselection decisions based on the HathiTrust retention commitments. This may be an opportunity for OCLC to develop additional capabilities into their existing analytics product. HathiTrust might choose to outsource the deselection support component of local analytics to OCLC.
- HathiTrust will need group and local analytics capabilities for retention decision support. These may be areas that HathiTrust decides to insource, outsource to an entity other than OCLC, or work with OCLC or OCLC Research to incorporate into a HathiTrust member analytics product.
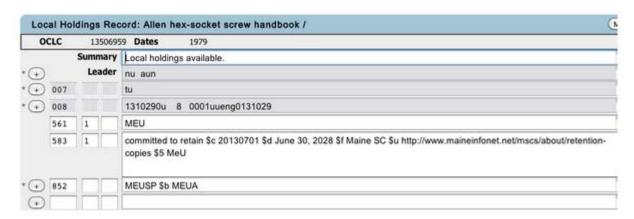
The Task Force makes the following recommendations:

- All HathiTrust libraries, but particularly those libraries considering participating as Archive Holders, should do an OCLC Reclamation Project to improve accuracy of holdings and increase the accuracy of the local and group analytics.
- HathiTrust Archive Holders should follow the OCLC Metadata Guidelines for Shared Print when documenting print retention commitments (**https://oclc.org/services/projects/shared-print-management/metadata-guidelines.en.ht**). HathiTrust should develop and publicize a HathiTrust shared print disclosure policy that explicitly incorporates these guidelines.
- HathiTrust builds the group and local analytics capabilities necessary for retention decision support. Consider whether to outsource elements (metadata ingest and normalization) to a third party and focus on discovery, reporting, and picklist development.
- HathiTrust supports Archive Holders in setting up an unmediated resource-sharing network and Group Access Capability based on the retained resources disclosed in OCLC. If OCLC WorldCat Resource Sharing, its successor, and/or ILLiad (under OCLC umbrella) are identified as the means for enabling unmediated resource sharing, HathiTrust might support the one-time setup fees and consider whether to negotiate terms of ongoing support and development on behalf of HathiTrust members and Archive Holders.
- HathiTrust will work with OCLC to ensure that emerging metadata disclosure policies for monographs support unmediated, item-aware, and availability-aware resource sharing.

Implementing the metadata guidelines involve several key steps:

- Establish a common vocabulary specific to the HTSPMP for use in the metadata (e.g., retention period, program name, selected preservation terms from the PDA vocabulary, URL for the program initiative documentation, etc.).
- Establish a separate OCLC symbol to represent each library's Shared Print holdings with appropriate settings to facilitate resource sharing.
- Create Local Holding Records (LHR) with appropriate MARC fields, including: MARC 583 Action Notes to describe specific action(s) for each set of holdings, MARC 852 for location information, and 561 for identifying the original owner of material that was contributed to the HTSPMP.
- Batch ingest retention statements into local ILS and OCLC.
- Transfer holdings from existing OCLC symbol to new HathiTrust Shared Print Symbol.

This is an example LHR for a title being retained as part of the Maine Shared Collections initiative:

Local Holdings Record: Allen hex-socket screw handbook /				
OCLC	13506959 **Dates**	1979		
	Summary	Local holdings available.		
* (+)	**Leader**	nu aun		
* (+) 007		tu		
* (+) 008		1310290u 8 0001uueng0131029		
561	1	MEU		
583	1	committed to retain $c 20130701 $d June 30, 2028 $f Maine SC $u http://www.maineinfonet.net/mscs/about/retention-copies $5 MeU		
* (+) 852		MEUSP $b MEUA		
(+)				

Following the OCLC Metadata Guidelines provides a variety of benefits:

- The LHR metadata will serve as the basis for Local and Group Analytics Capability.
- The print retention symbol facilitates resource sharing through existing OCLC channels.
- Easy integration of metadata standards into normal workflow and multiple ILS environments.

14 APPENDIX F
COMMUNICATIONS FROM THE HATHITRUST PRINT MONOGRAPH PLANNING TASK FORCE TO OCLC

To: Katie Birch and Constance Malpas

From: HathiTrust Print Monograph Archive Task Force

Date: 5 November 2014

Subject: Preliminary Recommendations and OCLC's Proposed Role

Colleagues:

As you know, the HathiTrust commissioned a Task Force to make plans for the creation of a print monograph collection that mirrors the titles in its digital archive. The charge for this working group can be found here: **http://www.hathitrust.org/print_monographs_archive_charge**.

We on the Task Force hope to complete a draft report in the next month. I am writing today to let you know our plans as they bear on OCLC's capacity to support ingest and discovery of retention commitments.

By the end of 2016, we recommend that select members register retention commitments for 50% or approximately 3,000,000 monographic holdings, each in multiple copies. While the HathiTrust currently has over 100 members (**http://www.hathitrust.org/community**), our planning documents propose an initial body of Archive Holders numbering between 10 and 30 institutions participate. We recommend that the HathiTrust seek initial participants that range greatly in size. Furthermore, we are recommending that they pursue initial commitments from institutions that maintain relationships with diverse types of library systems.

We will recommend that members disclose commitments according to OCLC-issued metadata guidelines, including the use of separate shared print symbols, LHRs, and 583 fields. We expect that our members will register these commitment during a period of a few months in the latter half of 2016. We anticipate annual additions to members' commitments during the following years as the print archive grows apace with the digital archive.

We plan on recommending that, in 2017 – 2018, the HathiTrust establish an unmediated resource-sharing network keying on these retention commitments and OCLC symbols. We also anticipate the need to rapidly retrieve and use these retention commitments for further study and manipulation as we develop a program for iterative growth of the archive and, potentially, other programs of collaborative management of members' print collections.

We are committed to registering these commitments in WorldCat because of the central role OCLC plays in disclosing such commitments. In this way, the library community as a whole can discover and base collection decisions on them. We also hope that the registration of large commitments by HathiTrust members through OCLC will catalyze retention activity in other consortia.

We wanted to alert you to our interests and our conviction that Trust members, like members of other consortia, will depend on OCLC to support collective collection management strategies. Please advise us by

the middle of December as to OCLC's readiness to work with us on this timeline so that we can properly formulate the parts of our report that concern retention commitments in OCLC.

Thanks for our consideration. We look forward to hearing from you.

Thomas Teper, Chair
Clement Guthro
Bob Kieft
Erik T. Mitchell
Jacob Nadal
Jo Anne Newyear Ramirez
Mathew Sheehy
Emily Stambaugh
Karla Strieb

cc: Mike Furlough, Executive Director, HathiTrust

15 APPENDIX G
RECOMMENDATION REGARDING SUBSIDIES TO ARCHIVE HOLDERS

Four areas of interest and general consensus were found related to Archive Holder compensation and led the Task Force to recommend not implementing a subsidy structure at this time.

First, a general principle of arriving at a subsidy that could support 1-2 FTE at each major Archive Holder was generally supported, but the basis for assessing that support relative to the archiving commitments could not be determined. Archive Holders are providing a service, and there are costs for performing that work. However, the gap between many of the costs necessary for an Archive Holder's own operations and the additional costs required to support the HTSPMP are difficult to discern and could vary widely between Archive Holders.

Second, support for initial resource-sharing services setup was considered and is included in this proposal. This is the area where the cost differential between local necessity and system-wide obligation is most clear. This includes support for one-time fees for Archive Holders to set up a resource-sharing network and support for HathiTrust to invest in a preferred resource-sharing solution that can scale up and develop the necessary infrastructure to handle unmediated borrowing.

Third, there was in-principle support for a subsidy for a variety of enhanced services, but the actual need and timeline for those services is too much of an unknown for us to make a recommendation at this time. Among the enhanced services that we considered and for which there was a general willingness-to-pay a subsidy were 1) last copy receipts to storage from unaffiliated depositors, 2) (re)scan-on-demand, 3) holdings or condition verification, particularly for moderately scarce materials, 4) an e-loan policy and capability-based on-print retention, and 5) preferred pickup or home delivery integration. Of these, last copy receipts to storage from unaffiliated depositors was of highest interest and would be the area recommended for some form of support, should HathiTrust consider subsidies in the future. This has the benefit of expanding system-wide resources in the HTSPMP and also increasing the number of titles directly available to Archive Holders' local constituents. At this time only a modest amount is included in the systems development budget lines in later years (Years 4 and 5) after the analytics capabilities have matured; that resource could support central costs borne by HathiTrust for infrastructure development in these enhanced service areas. Policy and procedure development for these services could also occur in Years 4 and 5. Direct subsidies to Archive Holders for those activities are not included in this proposal but may be considered in the future.

Finally, the Task Force considered a variety of models for subsidizing storage before concluding this strategy was impracticable. We examined cost models based on compensating for retaining scarcely-held materials, as a way to support a higher duty of care; for the retention of moderate risk materials, as a way to incentivize against drawing down past a certain risk threshold; and for making retention commitments. To create a subsidy that meaningfully offsets the costs incurred by Archive Holders may require at least $.5 – 1 million in annual fees to the membership. Given the size of the membership and current member fees, it seemed to the Task Force untenable to propose new fees on the scale required to fund annual per-item storage payments in addition to fees that would be required to establish and sustain the core infrastructure beyond the initial Startup Phase.

16 APPENDIX H
PERSONNEL DRAFT POSITION DESCRIPTIONS

The HTPMA Task Force believes that there are three potential employees needed to ensure the successful implementation of this program. They include a HathiTrust Shared Print Program Manager, a Collection Management Analyst, and a Metadata and Resource Sharing Analyst. As detailed elsewhere in this document, the Task Force does not believe that they all need to begin employment simultaneously. Draft text for the three positions is below.

Description: HathiTrust Shared Print Program Manager

This position is primarily responsible for strategy, policy development, and managing member relationships. It is envisioned to be similar to an AUL-level, consortial-services kind of role, with heavy collection development and management responsibilities. The position would be expected to support and develop communications with senior administrators across the membership. The position would be expected to chart strategic directions for the shared print program and articulate shared goals and benefits of participation.

Core responsibilities:

- Abilities to negotiate with other senior management in consortia, with other print archives and with third parties (e.g. OCLC) on behalf of HathiTrust members and Archive Holders.
- Ability to think creatively and develop policies for collection development/management, preservation metadata/disclosure, access, and resource sharing that are system/solution agnostic, but can be operationalized across many libraries.
- Familiarity with storage facility management.
- Knowledge of print metadata schema, resource-sharing networks and shared print networks.

Description: Collection Management Analyst

Reporting to the HathiTrust Shared Print Program Manager and working closely with the Metadata and Resource Sharing Analyst, this position supports existing and emerging Shared Print HathiTrust initiatives by analyzing membership collections, preparing reports, coordinating picklists and archiving commitments, maintaining project documentation and agreements, maintaining and developing communication processes and tools, coordinating with HathiTrust member staff, and developing Archive Holder training programs. This position would be required to be familiar with a variety of integrated library systems and collection analysis tools. The CMA would be expected to synthesize, normalize, summarize, and report patterns in data in innovative, visual, and statistical ways. Strong analytical skills would be required as demonstrated by the ability to draw conclusions in a logical, systematic way from complex data. The position will interact with individuals at different staff levels at many institutions.

Core responsibilities:

- Conduct analyses to support decision-making about the HathiTrust Shared Print Monograph Program (HTSPMP) and its resource sharing network.
- Develop proof-of-concept and "what if" scenarios for print copies of HathiTrust digital surrogates held in common by multiple libraries to support retention of print and inter-library access to the retained collections for the membership.
- Provide support for the selection of materials to archive each year and the identification of retaining libraries (Archive Holders).

- Retrieve data from multiple sources and synthesize findings. Track, archive, and report statistical, financial, and assessment data about the HathiTrust membership monograph holdings, archive holding status, and resource sharing.
- Develop and assist with delivery of membership training programs.
- Maintain wikis, websites, e-mail lists, survey tools, and others as needed, in collaboration in support of membership and network initiatives.
- Manage and track collection descriptions, title lists, and statistical data, membership, and agreements information.

Description: Metadata and Resource Sharing Analyst

The Metadata and Resource Sharing Analyst position reports to the HathiTrust Shared Print Program Manager and works closely with the Collection Management Analyst. This position would primarily be wrangling print cataloging metadata, facilitating ingest of metadata into the Knowledge Base and analytics capabilities, and supporting analytics related to the retained collections and resource sharing. The position would likely be managing the files from many libraries, normalizing metadata, and connecting with the OCLC API and other third parties to get additional metadata. Position would also work with third-party vendors and resource-sharing networks to create necessary Knowledge Base to expose and support resource sharing among membership.

Core responsibilities:

- Substantial expertise in library holdings metadata for monographs, MARC, and other forms.
- Familiarity with OCLC metadata guidelines for shared print and goals for retention disclosure.
- Substantial expertise in resource-sharing systems, development, and integration.
- Ability to develop instructions for multiple institutions and ILSs for provision of holdings information for analysis; ability to write or evaluate scripts to ingest holdings into an analytics capability.
- Ability to evaluate data normalization options to facilitate cross-institutional comparisons.
- Strong knowledge of OCLC API to request and retrieve metadata about library holdings.
- Familiarity with other non-library sources of book and book history metadata that could be useful for HathiTrust's Knowledge Base and or analytics capabilities.
- Strong knowledge of FRBR.
- Ability to work with programmers to develop analysis routines and decision-support reports that are useful for library staff and administrators.
- Ability to work with library staff at multiple institutions on metadata and resource sharing issues.

17 APPENDIX I
HATHITRUST SHARED PRINT PROGRAM MEMORANDUM OF
UNDERSTANDING (DRAFT)

HathiTrust Shared Print Program
Memorandum of Understanding

The HathiTrust Shared Print Monograph Program (HTSPMP) is a distributed program. Under the HTSPMP, participating libraries retain print materials and provide related services to HathiTrust member libraries.

Terms and Conditions

1. **Membership and Governance**
   1.1. **Members:** all HathiTrust members are members of the HathiTrust shared print program.
   1.2. **Membership term:** HathiTrust members are members of the shared print program for the duration of their membership in the HathiTrust.
   1.3. **Archive Holders:** Members that commit to retain materials under the HathiTrust shared print program are known as Archive Holders. Archive Holders perform the services described in the Roles and Responsibilities of HathiTrust Archive Holders, which may be amended from time to time by the Board of Governors.
      1.3.1. **Archive Holder Responsibilities:** Archive Holders are responsible for
         1.3.1.1. retaining print materials for an agreed upon retention period (20 years)
         1.3.1.2. disclosing retention commitments in OCLC according to OCLC metadata guidelines for print repositories
         1.3.1.3. registering or declining retention commitments within an agreed upon routine timeline such as an annual archive cycle and updating retention commitments if copies are determined to be lost, damaged or otherwise un-loanable
         1.3.1.4. providing access to retained materials, including lending them to users at other HathiTrust member institutions
         1.3.1.5. implementing resource-sharing infrastructure agreed upon by HathiTrust and required for lending monographs within the program
         1.3.1.6. performing the necessary archive services as specified and developed by HathiTrust
         1.3.1.7. complying with policies and standards developed and agreed upon by HathiTrust
         1.3.1.8. receiving and managing funds intended for archive services
         1.3.1.9. preparing progress reports and other ad hoc reports for HathiTrust
         1.3.1.10.   responding to HathiTrust member inquiries and offers for holdings contribution
         1.3.1.11.   coordinating with HathiTrust and other HathiTrust Archive Holders
         1.3.1.12.   willingness to participate in governance of the archive
   1.4 **Qualification as an Archive Holder.** Qualifications for service as an Archive Holder and a process for reviewing applications for an Archive Holder role shall be proposed by the Board of Governors and approved by an affirmative majority of non-weighted Member votes.
   1.5 **Approval of Archive Holders.** The Board of Governors shall approve Archive Holders by an affirmative majority of the governors.
   1.6 **Enhanced service provision:** HathiTrust may create additional categories of Archive Holders or change service expectations over time. Such categories and services are defined by HathiTrust policy

and guidelines and approved by the Board of Governors. Such services may include but are not limited to holdings verification, condition verification, scan-on-demand.

1.7 **Board of Governors:** The HathiTrust shared print program is governed by the HathiTrust Board of Governors which oversees strategy, operations, budget for the program and works to integrate the HathiTrust shared print program with related archiving programs nationally and internationally. The Board of Governors includes representatives from Archive Holder and non-Archive Holder HathiTrust members, elected by the full HathiTrust membership.

1.8 **Shared Print Operations Committee:** The Shared Print Operations Committee oversees the development and management of the shared print collections. Areas of oversight include selection, archive creation, holdings disclosure, access, discovery, delivery, environmental standards, quality assurance and repository selection. The Committee develops policies and procedures related to the shared print collections for implementation by HathiTrust members and Archive Holders. Members of the Shared Print Operations Committee are appointed by and serve for terms determined by the Board of Governors.

1.9 **Shared Print Program Manager:** Reporting to the HathiTrust Executive Director, the Shared Print Program Manager prepares and manages a budget for the shared print program, manages shared print staff, coordinates, guides and advises the Shared Print Operations Committee and Board of Governors on shared print related strategies, policies, and services.

1.10 **Administrative Host:** The Administrative Host provides program management, member support, and fiscal agency for the HathiTrust shared print program. The Administrative Host for the HathiTrust shared print program is the same as the Administrative Host for HathiTrust. The Board of Governors is responsible for administering the contract or other relationship with the Administrative Host. The University of Michigan serves as the Administrative Host for the HathiTrust shared print program for an initial 3-year term January 1, 2015 – December 31, 2017, and renews automatically for three years thereafter unless notified in writing with 365 days' notice.

2. **Archiving**

   2.1. **Selection process:** Decisions about which titles will be incorporated into the HathiTrust Shared Print Monograph Program (HTSPMP) will be made via a periodic collections analysis and proposal process administered by the Shared Print Operations Committee with support from HathiTrust Shared Print program staff. Title sets will be routinely identified and prioritized by ongoing collection analysis. Titles sets may also be nominated for archiving by HathiTrust member institutions.

   2.2. **Retention period:** Archive Holders agree to maintain HathiTrust archives through December 31, 2035. This date is known as the HathiTrust Retention Date and represents a period of 20 years from the beginning of the HathiTrust shared print program. The Board of Governors will review and may modify the Retention Date at least once every five years. HathiTrust retention commitments survive membership in HathiTrust.

   2.3. **Ownership:** Archive Holders retain ownership and title to the materials retained. Archive Holders agree not to sell, discard, donate, or otherwise relinquish ownership or control of any of the archived materials prior to the Retention Date, except to transfer materials to another HathiTrust Archive Holder or with permission of the Board of Governors.

   2.4. **Contributed holdings:** Materials which are physically relocated to an Archive Holder will become property of the Archive Holder.

   2.5. **Environmental Conditions:** Archive Holders agree to maintain HathiTrust print materials in locations suitable for the materials as established by the Shared Print Operations Committee. Archiving facilities may include 1) separate library storage facilities with environmental and access

controls; 2) library locations with controlled access and appropriate environmental conditions, and 3) campus library shelving. Expected conditions:

> ### In library
> Fire detection system
> Ability to maintain environment within 30-70% relative humidity and less than 80°F
> Annual Time Weighted Preservation Index of 50-75
>
> ### In storage facility
> Storage Facility preferred, or fully-enclosed and access-controlled area of Library
> Ability to maintain environment within 30-70% relative humidity and less than 75°F
> Annual Time Weighted Preservation Index of 70 or better, 100 preferred
> Fire detection and suppression systems, with notification to responders
> Light exposure limited to work hours only

2.6 **Original Form:** Archive Holders agree to maintain all of the archived materials in their original, artifactual form whenever possible.

2.7 **Enhanced Services:** Enhanced services are defined as services performed by Archive Holders beyond those described in the Roles and Responsibilities of HathiTrust Archive Holders and that enhance the quality of or access to the retained collections, such as holdings verification, condition verification or scan-on-demand. Guidelines for such services are defined by the Shared Print Operations Committee and approved by the Board of Governors. Additional compensation may be provided to Archive Holders for such services.

2.8 **Holdings disclosure:** Archive Holders agree to take all steps reasonably necessary to cause all of the archived materials, and information about their accessibility to potential users, to be registered in OCLC WorldCat according to the OCLC Print Archive Metadata Guidelines and other applicable system(s) as established by HathiTrust Shared Print Disclosure Policy.

2.9 **Access to the Materials:** Archive Holders agree to make the materials available to other HathiTrust members according to the HathiTrust Shared Print Access Guidelines. HathiTrust members and Archive Holders agree to acquire and implement reasonable and necessary discovery and delivery policies and systems to provide and gain access to shared print materials across the membership, collect statistics and perform usage reviews.

2.10 **Loss of Materials:** Archive Holders agree to register lost materials in a HathiTrust replacements registry to alert members to the need for additional retention commitments.

2.11 **Damaged Materials:** Archive Holders agree to register damaged materials in a HathiTrust replacements registry to alert members to the need for additional retention commitments.

3. **Financial Obligations**

3.2 **Financial Support to the HathiTrust Shared Print Program:** All HathiTrust members agree to provide ongoing financial support to the shared print program in the amount and manner that is approved by the HathiTrust Board of Governors and determined by the Board or their designees. The shared print program is supported by an annual budget and receives income through payments to the Administrative Host.

3.3 **Financial Support to Archive Holders:** Archive Holders may receive funding from the HathiTrust shared print program to help support their services as Archive Holders if such funding is approved by the HathiTrust Board of governors.

3.4 **In-kind Contributions and Absorbed Costs:** HathiTrust members agree to be responsible for all other costs not funded outright by the shared print program. These may include but are not limited

to expenditures associated with maintaining retained items; maintaining and updating metadata; contributing holdings to other Archive Holders, including transportation costs; loaning items to other members; and deselecting materials from local collections.

4 Withdrawal

4.1 **Withdrawal from HathiTrust:** Withdrawal of a member from HathiTrust affects the shared print program. Withdrawal requires 365 day notice in writing. <Note to HathiTrust administrators: this article should refer to the standard withdrawal terms for withdrawing from HathiTrust>

4.2 **Archive Holder Withdrawal:** If an Archive Holder withdraws from HathiTrust or can no longer maintain the materials, the Archive Holder agrees to offer the materials to another Archive Holder and to transfer any accepted materials to the Archive Holder at the initial Archive Holder's expense. The Board of Governors may waive this requirement if it determines that the materials no longer need to be archived.

18 APPENDIX J
SUGGESTED BYLAWS CHANGES (REDLINE VERSION)

The Task Force recommends reviewing the HathiTrust bylaws to ensure they fully reflect the change in mission involved with print and digital collection management. This is particularly recommended if the HTSPMP is deemed an integral and inseparable element of membership in the HathiTrust as a whole. Such changes could be incorporated in the next scheduled review of bylaws. Suggested changes (additions in red, revisions in strikeout font):

Purposes

- Build a reliable and increasingly comprehensive co-owned and managed digital archive of library materials converted from the print collections of the member institutions;

- Build a reliable and increasingly comprehensive co-managed print archive of library materials to complement the digital archive;

- Provide and enhance ~~Improve~~ access to ~~these~~ digital and shared print materials in ways that, first and foremost, meet the needs of the member institutions;

- Help preserve these important human records by collecting reliable and accessible electronic representations and committing to retain and disclose information about the corresponding print copies to inform collection management decisions;

- Enable the print and digital archives to be accessible to persons who have print or digital disabilities;

- Implement shared print collection management and access strategies among libraries, to reduce ~~Stimulate redoubled efforts to coordinate shared storage strategies among libraries, thus reducing~~ long-term capital and operating costs associated with the storage and care of print collections;

- Create a technical framework that ~~is simultaneously responsive to members through the centralized creation of functionality; and~~ supports the digital archive as well as print collection management and access across the HathiTrust membership and is sufficiently open to the creation of tools and services not created by the central organization; and

Create and sustain HathiTrust as a "public good" while at the same time defining a set of services that benefit member institutions.