HATHITRUST
DIGITAL LIBRARY

The HathiTrust Shared Print Program: Orientation for Phase 1 Libraries

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Agenda

1. Overview of the HathiTrust Shared Print Program

2. Phase 1 libraries

3. Communications and timetable

4. Holdings match and proposed retentions

5. Next steps

6. Questions?

Goals of the HathiTrust Shared Print Program

- Link the preservation of HathiTrust digital and corresponding print collections through library retention commitments

- Reduce overall costs of collection management for HathiTrust members

- Catalyze national/continental collective management of collections

Key Attributes of the HathiTrust Shared Print Program

From the final report of the HathiTrust Print Monographs Archive Planning Task Force (March 2015)

- Secure retention commitments for print holdings that <u>mirror book titles in the HathiTrust digital collection</u>: *this is a distinctive feature*

- Maintain a lendable print collection distributed among HathiTrust member collections

- Reflect support by and provide benefits to all HathiTrust members (not an opt-in subset)

- Build on existing shared print and resource-sharing arrangements, avoid disturbing members' other affiliations

HathiTrust Shared Print Program Phases

Phase 1: Quick Launch

Build momentum

Finalize policies & MOU

55 libraries in Phase 1!

Identify initial retentions

2016-2017

Phase 2: Infra-structure
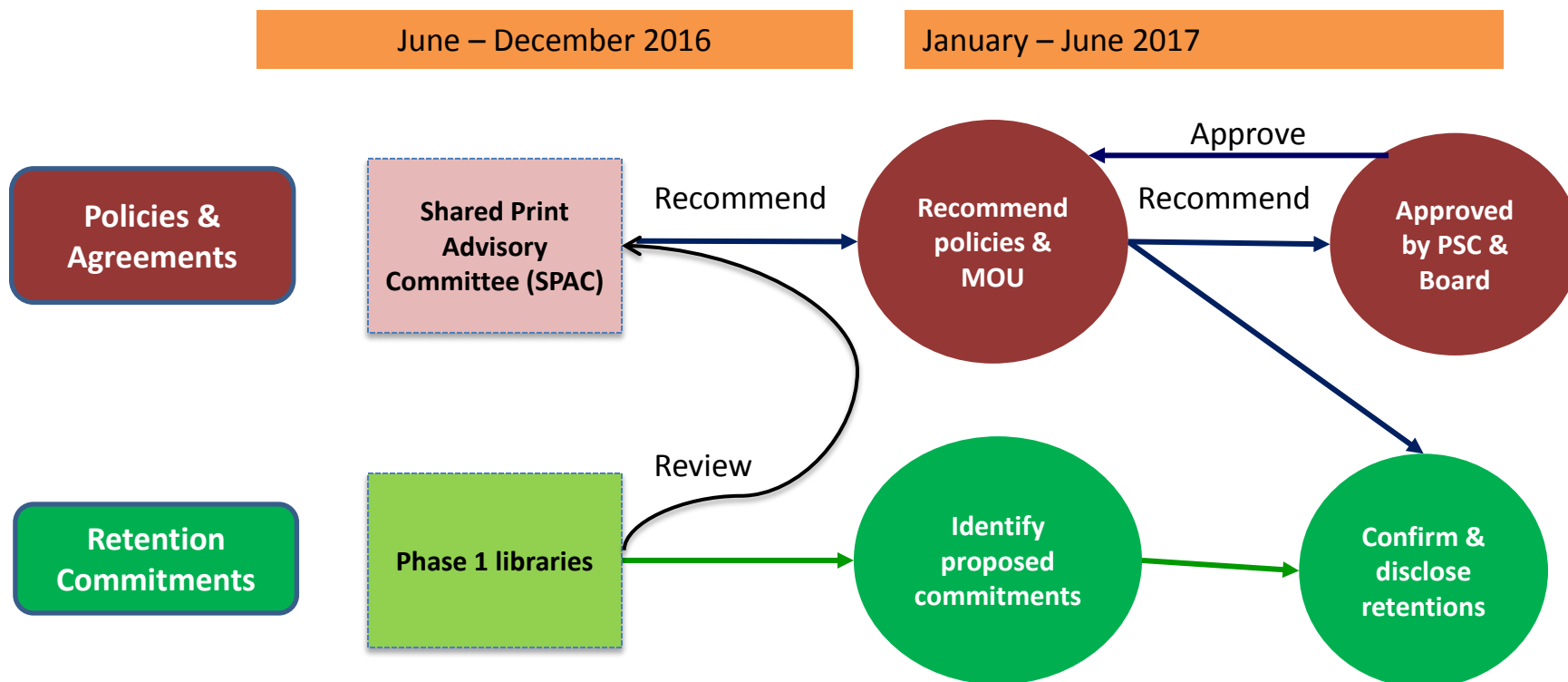
Build infrastructure

Adopt tools for collection analysis, collection management, resource-sharing

Plan next priorities and services (e.g. digitization)

2018--

Phase 1 Steps: Final Planning and Launch

June – December 2016

January – June 2017

Policies & Agreements

Shared Print Advisory Committee (SPAC)

Recommend →

Recommend policies & MOU

← Approve

Recommend →

Approved by PSC & Board

Retention Commitments

Phase 1 libraries

Review →

Identify proposed commitments

Confirm & disclose retentions

The Phase 1 libraries are not expected to make any binding retention commitments until they have had a chance to review and agree to the final policies and MOU (expected spring/summer 2017).

Current <u>DRAFT</u> Major Policy Recommendations

From the final report of the HathiTrust Print Monographs Archive Planning Task Force (March 2015).

Please note that these policies will be reviewed and may be confirmed or changed during Phase 1.

- Scope: Monographs from circulating general collections that correspond to items in HathiTrust Digital Library

- Ownership: Original owner retains ownership

- Retention Period: 25 years

- Environment: Storage facility preferred, campus shelving acceptable

- Validation: Holdings verification and condition verification are <u>not</u> required

- Loss/Damage: Libraries are expected to seek replacements for lost/damaged volumes where possible

- Disclosure: Libraries are expected to disclose retention commitments in HathiTrust, WorldCat, and local catalogs

- Access: Libraries agree to lend retained volumes to other HathiTrust members

Many related details about these policies will be worked out during Phase 1

HathiTrust Shared Print Advisory Committee (SPAC)

Clement Guthro
Director of Libraries
Colby College

Jacob Nadal
Executive Director
ReCAP

Ken Peterson
Director of Access Services & the Harvard Depository
Harvard University

Matthew Revitt
Maine Shared Collection Librarian
University of Maine

Matthew Sheehy
Interim University Librarian
Brandeis University

Emily Stambaugh
Shared Print Manager
California Digital Library

Karla Strieb
Associate Director for Collections, Technical Services, and Scholarly Communication
Ohio State University

Thomas Teper
Associate University Librarian for Collections
University of Illinois, Urbana-Champaign

Ben Walker
Assistant Dean, Digital Services and Shared Collections
University of Florida

Lizanne Payne
Shared Print Program Officer
HathiTrust

Who are the Phase 1 Participating Libraries?

Arizona State University
Brandeis University
Brown University
Bryn Mawr College
Bucknell University
Carnegie-Mellon University
Claremont Colleges
Colby College
Columbia University
Cornell University
Duke University
Emory University
Georgia Tech University
Getty Research Institute
Harvard University
Haverford College
Indiana University
Iowa State University
Johns Hopkins University
Lafayette College
Massachusetts Institute of Technology

McGill University
New York Public Library
Northwestern University
Ohio State University
Princeton University
Swarthmore College
Tufts University
University of Alberta
University of Calgary
University of California, Irvine
University of California, Los Angeles
University of California, Merced
University of California, San Diego
University of California, Santa Cruz
University of California Northern Regional Library Facility (NRLF)
University of California Southern Regional Library Facility (SRLF)
University of Chicago
University of Delaware

University of Florida
University of Illinois, Urbana-Champaign
University of Iowa
University of Michigan
University of Minnesota
University of Missouri
University of Notre Dame
University of Pennsylvania
University of Queensland
University of Texas at Austin
University of Virginia
University of Washington
University of Wisconsin-Madison
Washington University in St. Louis
Vanderbilt University
Yale University

55 libraries!

Characteristics of
Phase 1 Participating Libraries

Category	Phase 1 Libraries
Universities	48
Colleges	7
East Coast	25
Midwest/South/Southwest	14
West Coast	11
International (Canada, Australia)	4
ARL members	39
Big Ten Academic Alliance (CIC)	10
EAST	6
Ivy Plus	11

Communications with Phase 1 Libraries

- Email group list established: sp-libs@hathitrust.org (the shared print contact for each library has been added). You are welcome to conduct discussions at any time.

- SPAC liaison will be established for each library

- Possible Google Drive folder to share information

- Web meetings and surveys

- General information about the Shared Print Program at hathitrust.org/shared_print_program

Phase 1 Libraries' Timetable

- Late November: Webcast(s) and survey about proposed policies

- January – April: Phase 1 libraries review & identify <u>proposed</u> commitments

- February: Webcasts(s) and survey about business model/MOU

- June:
    - Phase 1 libraries review final policies & MOU (once approved by Board)
    - Make commitment decision
    - Begin process to execute MOU

Proposing Retention Commitments

- Members have already provided data about print holdings to HathiTrust to support member fee calculation.

- HathiTrust has already matched member print holdings to current HathiTrust digital holdings.

- There will be a process to identify holdings each library proposes to retain.

- Participating libraries are encouraged to commit as many matching holdings as they can, but each library can determine a reasonable subset using the library's own criteria.

Preliminary Analysis of Phase 1 Libraries' Overlap with HathiTrust

Category	# of Phase 1 Libraries' Single Part Monographs (SPM) that Match HathiTrust
Total matching title holdings	> 50 million (duplicated count)
Distinct titles (OCLC #s)	5.8 million (78% of ~7.4 million in HathiTrust)
Held by only one Phase 1 library	1.25 million (21% of distinct titles)
Held by >10 Phase 1 libraries	19,000

"Rarity is common"

Match based on OCLC Number

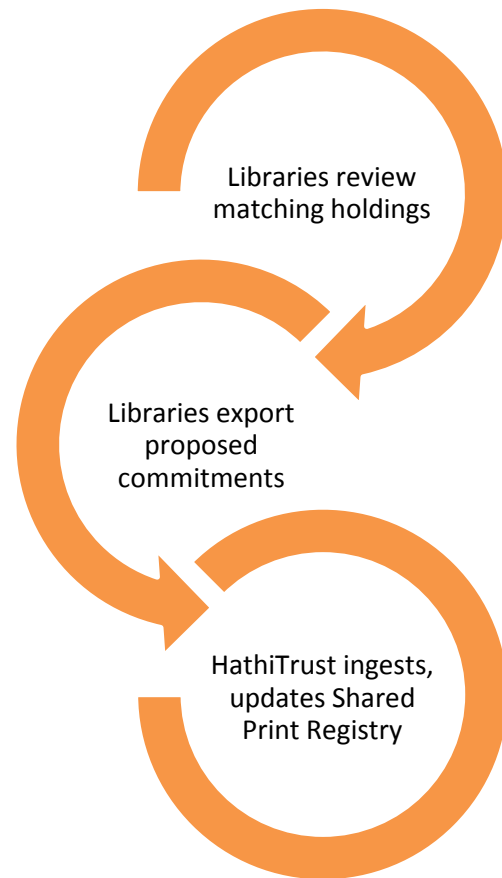*Number of Phase 1 libraries: 54*

High/Low Overlap with HathiTrust

Category	Library	# of Library's SPM that Match	% of Library's SPM that Match
Highest overlap (number, #)	Harvard	2.7 million	27%
Highest overlap %	UC NRLF	330,000	65%
Lowest overlap #	UC Merced	32,000	28%
Lowest overlap % (tie)	Getty NYPL	168,000 1.9 million	26% 26%

Match based on OCLC Number

Number of Phase 1 libraries: 54

Process to Identify Retention Commitments

Libraries review matching holdings

Libraries export proposed commitments

HathiTrust ingests, updates Shared Print Registry

Key Points about Phase 1 Retention Proposals

- The goal is light-weight analysis and library-volunteered commitments

- We do not intend to perform sophisticated collection analysis in Phase 1

- We do not intend to identify desired number of copies across the membership
  - Unplanned duplication may occur

- We may encourage retention of "unique" holdings based on existing overlap analysis

Holdings Match Options

1. HathiTrust provides matching holdings for library review and selection
   - HT provides file of library's matching holdings for review (based on 2016 print holdings data)
   - Libraries review based on other local data (e.g. location), select preferred subset, return retention proposals to HT for ingest
   - Applies to most libraries

2. Library provides retention <u>proposals</u> for HathiTrust ingest
   - Examples: already committed to another shared print program, already in an offsite shelving facility
   - HT matches against HathiTrust digital holdings
   - May apply to some libraries e.g. EAST, ReCAP, RLFs, others
   - Will be arranged with libraries in advance

   HathiTrust will provide simple record specifications

Next Steps

- Participate in webcast and survey about policies (late November)

- Start thinking about how you may wish to select holdings to retain (process occurs January – April 2017)

- Begin talking to other stakeholders in your library and campus as needed

Thank You and Questions?