

# HathiTrust Shared Print Program Operating Policies and Guidelines

Approved by HathiTrust Board of Governors  
June 2017

Disclosure Guidelines revised January 2019  
Discovery Policy revised May 2018

## Introduction

The following Operating Policies and Guidelines are intended to support the goals of the HathiTrust Shared Print Program:

1. Secure retention commitments for print holdings that mirror holdings in the HathiTrust digital collection
2. Maintain a lendable print collection distributed among HathiTrust member collections
3. Reflect support by and provide benefits to all HathiTrust members
4. Build on existing shared print and resource-sharing arrangements, avoid disturbing members' other affiliations

Some of these operating policies are incorporated in the HathiTrust Shared Print Program Agreement. This document describing Operating Policies and Guidelines will be maintained separately because it is expected that details will evolve over time and that modifications or amendments will be required. The HathiTrust Board of Governors has the authority to revise these Operating Policies and Guidelines from time to time as needed, after consultation with members, Retention Libraries, and advisory groups.

## Policies

### 1. Scope (contents)

The HathiTrust Shared Print Program is a shared collection of print volumes retained at member libraries ("Retention Libraries") that correspond to items already available in or expected to be digitized and contributed to the HathiTrust Digital Library. Initially the program will prioritize monograph volumes from general, circulating collections, and will include all items cataloged as monographs in the HathiTrust digital corpus regardless of publisher (whether commercial, government or public, or academic), copyright status (whether in-copyright or public domain), language, place of publication, or subject.

### 2. Retention Commitment

Retention Libraries agree not to sell, discard, donate, or otherwise relinquish ownership or control of any of their retained materials prior to the Retention Date, except to transfer materials or commitments to a storage facility or to another HathiTrust Retention Library. Upon request by a Retention Library, HathiTrust may determine and confirm that transfer of materials or retention responsibility is not required.

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### **3. Retention period**

Retention Libraries agree to maintain HathiTrust shared print volumes through December 31, 2042. This date is known as the HathiTrust Retention Date and represents a period of 25 years from the beginning of the HathiTrust Shared Print Program in 2017. Libraries making commitments in the future are also expected to agree to this retention date as specified in the HathiTrust Shared Print Program Agreement.

### **4. Ownership**

Individual Retention Libraries retain ownership and title to their retained materials.

### **5. Storage Conditions**

Retention Libraries agree to maintain the retained materials in locations that meet commonly-accepted standards as established in the Guidelines section. Retention Library locations not meeting these standards may be approved case-by-case by HathiTrust.

### **6. Validation**

Retention Libraries are encouraged but not required to verify the physical presence or condition of volumes committed for retention. In the future, HathiTrust may recommend validation requirements for metadata, inventory confirmation, or physical condition for retained volumes, but any such requirements will not be applied retroactively to holdings previously committed by Retention Libraries.

### **7. Loss/Damage**

Retention Libraries agree to take all reasonable steps to replace lost or seriously-damaged volumes that have retention commitments under the HathiTrust Program. Replacement may take the form of acquiring a substitute volume or securing a commitment for a matching volume from a different Retention Library. If HathiTrust implements a lost/damaged alert system as recommended, Retention Libraries agree to report lost/damaged volumes to alert other Retention Libraries that a replacement is needed, and agree to review and respond to replacement alerts regularly.

### **8. Disclosure**

The purpose of disclosure is to attempt to prevent local deselection by a Retaining Library, to enable discovery and resource-sharing, and to support collection analysis for future retention commitments. Retention Libraries agree to disclose and maintain HathiTrust retention commitments in their local collection management systems and in the HathiTrust Shared Print Registry using metadata guidelines established in the Guidelines section. In consultation with Retention Libraries, HathiTrust may identify other external systems in the future where HathiTrust retention commitments should be disclosed, and will specify those systems and metadata guidelines at that time.

#### **a. Disclosure in the HathiTrust Shared Print Registry**

Retention Libraries agree to record and maintain their retention commitments in the HathiTrust Shared

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Print Registry. For new commitments, this process usually will be performed by HathiTrust as a function of collection analysis and commitment decisions without requiring explicit action by Retention Libraries. Retention Libraries will be responsible for updating records in the HathiTrust Shared Print Registry (e.g. to record a changed shelving location) using systems and/or processes that are supported by HathiTrust.

#### **b. Disclosure in the Retention Library's local collection management system**

Retention Libraries agree to record information in the local system sufficient to identify that specific holdings are committed for retention under the HathiTrust Shared Print Program as described in the Guidelines section.

HathiTrust prefers that this information be recorded at the item level where possible, especially in cases where the retained copy is shelved in a preferred location such as an offsite facility. Retention Libraries may record this information in whatever fields are appropriate for their system and uses.

### **9. Discovery**

Retention Libraries agree to disclose retention commitments to enable public discovery by end users and library staff in the HathiTrust Catalog and the Shared Print Registry maintained by HathiTrust. Retention Libraries are encouraged but not required to enable discovery in the library's local or consortial catalog.

HathiTrust may develop features of the HathiTrust catalog and the HathiTrust Shared Print Registry in the future that may allow any user to search specifically for HathiTrust shared print retention holdings and may display information about shared print retention holdings as the result of any search, including identifying the Retention Library(ies).

HathiTrust aims to support and participate in a robust framework for large-scale collection management, access, and preservation. HathiTrust may produce reports and/or data files that identify retained holdings and Retention Libraries in order to support the HathiTrust Shared Print Program and global connections among shared print programs. These reports and/or data files may be provided to HathiTrust member libraries, to other groups or partners (e.g. library consortia or shared print programs), or to organizations providing services to HathiTrust on behalf of the membership (e.g. for collection analysis, resource-sharing). Any use by service providers will be subject to a written agreement that defines acceptable uses of the data by the provider.

### **10. Access and Resource-Sharing**

The HathiTrust Shared Print Program promotes use of the HathiTrust digital copy for access but recognizes that copyright law and contractual agreements may limit availability of the digital content for some holdings and for some users. Therefore HathiTrust aims to ensure availability of a print copy for each volume in the HathiTrust Digital Library.

Retention Libraries agree to make the retained materials available to other HathiTrust members according to the guidelines established in the Guidelines section. Retention Libraries agree to adopt reasonable and necessary discovery and delivery policies and systems to provide and gain access to

shared print materials across the membership, to collect statistics and to perform usage reviews.

## Guidelines

### ***Storage Conditions Guidelines***

Suitable locations include:

- Preferred: separate library storage facilities with environmental and access controls
- Library locations with controlled access and appropriate environmental conditions, and
- Campus library shelving

Recommended conditions in a storage facility:

- Ability to maintain environment within 30-50% relative humidity and less than 70°F
- Annual Time Weighted Preservation Index of 75 or better, 100 preferred
- Fire detection and suppression systems, with notification to responders
- Light exposure limited to work hours only

Expected conditions in a library:

- Ability to maintain environment within 30-70% relative humidity and less than 80°F
- Annual Time Weighted Preservation Index of 50-75
- Fire detection system

### ***Disclosure Guidelines***

Disclosure in the Retention Library's local collection management system ***[REVISED January 2019]***

The fields listed below for subfields a,c,d, and f are required for consistency across Retention Libraries and to support future export to other systems that enable resource-sharing and collection analysis.

Retention Libraries are encouraged (but not required) to record this information using the MARC 583 Action Note as described below. If Retention Libraries choose to record the required retention data in fields other than the MARC 583, it is very important to develop and implement a consistent standard within the library to record this data in the same fields across all of the library's retained holdings to support automated export and analysis.

HathiTrust recommends that this data be added at the holdings or item level whenever possible if supported by the library's collection management system.

<b>MARC Tag 583</b>	<b>Field</b>	<b>Required or Optional</b>	<b>Value (Enter this data exactly as shown)</b>
Indicator 1	First Indicator-Privacy: Value =1 i.e., not private		1
Indicator 2	Indicator 2 is blank		
subfield a	Action	Required	committed to retain

subfield c	Date action taken (YYYYMMDD): HathiTrust retention libraries should use a consistent initial action date for commitments: <ul style="list-style-type: none"> <li>• For Phase 1 use 20170701</li> <li>• For Phase 2 use 20190228</li> <li>• Other commitments dates as they occur</li> </ul>	Required	
subfield d	Action Interval (YYMMDD): the end date of the retention commitment. All HathiTrust retentions will have a common end date no matter when the commitment was made.	Required	20421231
subfield f	Authorization: Archiving program	Required	HathiTrust
subfield j	Site of Action: Holdings Location Code (HLC) where volume is shelved	Optional	
subfield u	Link to shared print program documentation	Optional	<a href="https://www.hathitrust.org/shared_print_program">https://www.hathitrust.org/shared_print_program</a>
subfield 5	Archiving institution: the Retention Library's MARC organization code, see <a href="https://www.loc.gov/marc/organizations/org-search.php">https://www.loc.gov/marc/organizations/org-search.php</a>	Optional	

### ***Access and Resource-Sharing Guidelines***

HathiTrust retained holdings will be maintained as an accessible light archive with volumes available for lending. This guideline may be enhanced in the future to allow for an additional category of HathiTrust retained holdings that are not loaned in physical form in order to promote preservation of certain materials.

- a. Retention Libraries agree to provide access to HathiTrust retained holdings for all HathiTrust partner libraries and their patrons. This policy does not prevent lending these retained holdings to other libraries (and their patrons) that are not members of HathiTrust.
- b. Retention Libraries agree to deliver physical volumes upon request without restrictions on use whenever possible. At their discretion, Retention Libraries may require in-library use at the borrowing library for certain items (e.g. some special collections materials). Retention Libraries are strongly encouraged to permit use outside the library. Where possible and when acceptable to the borrower, delivery may be made through scanning and digital delivery of portions of the volume according to the Retention Library's policies and consistent with copyright law. HathiTrust libraries agree to deliver and return materials expeditiously.
- c. Retention Libraries may use their own lending policies, procedures, systems, and fees (if any) to process requests to borrow HathiTrust shared print volumes. Retention Libraries are encouraged but are not required to offer free (no-fee) lending to HathiTrust members.

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- d. Retention Libraries are expected to adhere to the principles of the Interlibrary Loan Code for the United States (2016): <http://www.ala.org/rusa/guidelines/interlibrary> or, if a non-U.S. Retention Library is involved as lender or borrower, the International Resource Sharing and Document Delivery: Principles and Guidelines for Procedure (2009) <https://www.ifla.org/files/assets/docdel/documents/international-lending-en.pdf>