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 mirror book titles in the HathiTrust digital collection: *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**
- Finalize policies & MOU
- Identify initial retentions

2016-2017

**Phase 2: Infrastructure**
- Adopt tools for collection analysis, collection management, resource-sharing
- Plan next priorities and services (e.g. digitization)

2018--

55 libraries in Phase 1!
Phase 1 Steps: Final Planning and Launch

June – December 2016

Policies & Agreements

Recommend policies & MOU

Identify proposed commitments

June – December 2016

January – June 2017

Recommended by PSC & Board

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 **DRAFT** 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 **not** 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?

<table>
<thead>
<tr>
<th>Arizona State University</th>
<th>McGill University</th>
<th>University of Florida</th>
</tr>
</thead>
<tbody>
<tr>
<td>Brandeis University</td>
<td>New York Public Library</td>
<td>University of Illinois, Urbana-Champaign</td>
</tr>
<tr>
<td>Brown University</td>
<td>Northwestern University</td>
<td>University of Iowa</td>
</tr>
<tr>
<td>Bryn Mawr College</td>
<td>Ohio State University</td>
<td>University of Michigan</td>
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<tr>
<td>Bucknell University</td>
<td>Princeton University</td>
<td>University of Minnesota</td>
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<tr>
<td>Carnegie-Mellon University</td>
<td>Swarthmore College</td>
<td>University of Missouri</td>
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<tr>
<td>Claremont Colleges</td>
<td>Tufts University</td>
<td>University of Notre Dame</td>
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<tr>
<td>Colby College</td>
<td>University of Alberta</td>
<td>University of Pennsylvania</td>
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<td>Columbia University</td>
<td>University of Calgary</td>
<td>University of Queensland</td>
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<tr>
<td>Cornell University</td>
<td>University of California, Irvine</td>
<td>University of Texas at Austin</td>
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<td>Duke University</td>
<td>University of California, Los Angeles</td>
<td>University of Virginia</td>
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<tr>
<td>Emory University</td>
<td>University of California, Merced</td>
<td>University of Washington</td>
</tr>
<tr>
<td>Georgia Tech University</td>
<td>University of California, San Diego</td>
<td>University of Wisconsin-Madison</td>
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<tr>
<td>Getty Research Institute</td>
<td>University of California, Santa Cruz</td>
<td>Washington University in St. Louis</td>
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<tr>
<td>Harvard University</td>
<td>University of California Northern Regional Library Facility (NRLF)</td>
<td>Vanderbilt University</td>
</tr>
<tr>
<td>Haverford College</td>
<td>University of California Southern Regional Library Facility (SRLF)</td>
<td>Yale University</td>
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<tr>
<td>Indiana University</td>
<td>University of Chicago</td>
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<tr>
<td>Iowa State University</td>
<td>University of Delaware</td>
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<tr>
<td>Johns Hopkins University</td>
<td></td>
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<tr>
<td>Lafayette College</td>
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</tbody>
</table>
| Massachusetts Institute of Technology | | 55 libraries!
## Characteristics of Phase 1 Participating Libraries

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

<table>
<thead>
<tr>
<th>Category</th>
<th># of Phase 1 Libraries’ Single Part Monographs (SPM) that Match HathiTrust</th>
</tr>
</thead>
<tbody>
<tr>
<td>Total matching title holdings</td>
<td>&gt; 50 million (duplicated count)</td>
</tr>
<tr>
<td>Distinct titles (OCLC #s)</td>
<td>5.8 million (78% of ~7.4 million in HathiTrust)</td>
</tr>
<tr>
<td>Held by only one Phase 1 library</td>
<td>1.25 million (21% of distinct titles)</td>
</tr>
<tr>
<td>Held by &gt;10 Phase 1 libraries</td>
<td>19,000</td>
</tr>
</tbody>
</table>

“Rarity is common”

**Match based on OCLC Number**

**Number of Phase 1 libraries: 54**
## High/Low Overlap with HathiTrust

<table>
<thead>
<tr>
<th>Category</th>
<th>Library</th>
<th># of Library’s SPM that Match</th>
<th>% of Library’s SPM that Match</th>
</tr>
</thead>
<tbody>
<tr>
<td>Highest overlap (number, #)</td>
<td>Harvard</td>
<td>2.7 million</td>
<td>27%</td>
</tr>
<tr>
<td>Highest overlap %</td>
<td>UC NRLF</td>
<td>330,000</td>
<td>65%</td>
</tr>
<tr>
<td>Lowest overlap #</td>
<td>UC Merced</td>
<td>32,000</td>
<td>28%</td>
</tr>
<tr>
<td>Lowest overlap % (tie)</td>
<td>Getty NYPL</td>
<td>168,000 1.9 million</td>
<td>26% 26%</td>
</tr>
</tbody>
</table>

*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 proposals 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?