

HathiTrust Shared Print Program

Operating Policies and Guidelines

Approved by HathiTrust Board of Governors

June 2017

Revised June 2023

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 and digitally available 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

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. Phase 1 and Phase 2 of 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 the publisher (whether commercial, government or public, or academic), copyright status (whether in-copyright or public domain), language, place of publication, or subject. In Phase 3, the program's scope includes non-circulating or in-library use only materials.

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.

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.

Ownership

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

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.

Validation

For Phase 1 and Phase 2, participating Retention Libraries are encouraged but not required to verify the physical presence or condition of volumes committed for retention. Retention Libraries participating in Phase 3, are required to follow validation requirements for metadata, inventory confirmation, and physical condition for retained volumes. Validation requirements may also be applied to future phases and/or projects, but such requirements will not be applied retroactively to holdings previously committed by Retention Libraries without the agreement of the Libraries.

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. Retention Libraries agree to report lost/damaged volumes to HathiTrust quickly.

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 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.

C. Disclosure in OCLC's Shared Print Registration Service

Retention Libraries that have an OCLC subscription agree to record and maintain their HathiTrust Shared Print Program retention commitments in the OCLC Shared Print Registration Service. HathiTrust can perform this service for Retention Libraries, but OCLC subscribers can also choose to do it on their own.

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.

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 Phase 1 and Phase 2 commitments for each volume in the HathiTrust Digital Library.

Retention Libraries agree to make their Phase 1 and Phase 2 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.

Retention Libraries agree to make their Phase 3 retained materials non-circulating or for in-library use only. The items may support document delivery scanning, and other service requirements that support Phase 3 (i.e. digitization corrections, preservation, etc.). At the discretion of the holding library, items can be sent via interlibrary loan for in-library use only at the borrowing library as long as they are insured and shipped securely to limit risk.

Guidelines

Storage Conditions Guidelines

Suitable locations include:

- Preferred: dedicated separate library storage facilities with environmental and access controls.
- Library locations with controlled access and appropriate environmental conditions, ~~and~~
- Campus open-stack library shelving
- Libraries are encouraged to transfer Phase 3 commitments to a dedicated storage facility that meets the conditions described below.

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 or better 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.

Depending on the Phase of the Shared Print Program, several fields listed below 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 Notes 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.

<p style="text-align: center;">All Phases <i>For Any Phase of HathiTrust’s Shared Print Program, the following actions should be included in a single 538.</i></p>			
MARC Tag 583	Field	Required or Optional	Value (Enter this data exactly as shown)

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"> ● For Phase 1 use 20170930 ● For Phase 2 use 20190228 ● For Phase 3 use 20230131 ● Other commitments dates as they occur 	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 Shared Print Program
subfield j	Site of Action: Holdings Location Code (HLC) where volume is shelved	Optional	
subfield u	Link to shared print program documentation	Optional	https://www.hathitrust.org/shared_print_program
subfield 5	Archiving institution: the Retention Library's MARC organization code, see https://www.loc.gov/marc/organizations/org-search.php	Optional	

Phase 3

HathiTrust's Shared Print Program Phase 3 requires two additional 583 action notes related to condition reviewed and if an item was relocated to storage. More information may need to be added if there are condition issues to note.

Required: Condition Reviewed Action Note			
MARC Tag 583	Field	Required or Optional	Value (Enter this data exactly as shown)
Indicator 1	First Indicator-Privacy: Value =1 i.e., not private		1
Indicator 2	Indicator 2 is blank		
subfield a	Action	Required	condition reviewed
subfield c	Date action taken (YYYYMMDD) <i>Use the initial action date for commitments related to the phase:</i> <ul style="list-style-type: none"> ● For Phase 1 use 20170930 ● For Phase 2 use 20190228 ● For Phase 3 use 20230131 	Required	
subfield i	Method of action	Required	volume-level
subfield x	Nonpublic note <i>For the nonpublic note, it should be only Excellent, Acceptable/Good, or Poor.</i> <i>Please consult the condition and validation instructions for more specifics on this work and subfield requirements.</i>	Required	One of the following: Excellent Acceptable Poor

Required (if the committed item is located in a storage facility): Transferred to Optimal Storage Action Note

MARC Tag 583	Field	Required or Optional	Value (Enter this data exactly as shown)
Indicator 1	First Indicator-Privacy: Value =1 i.e., not private		1
Indicator 2	Indicator 2 is blank		
subfield a	Action	Required	transferred to optimal storage
subfield c	Date action taken (YYYYMMDD) <i>Use the exact year, month, and date that the item was relocated to storage. If that is date is not known, use the Phase 3 commitment date.</i>	Required	
subfield f	Authorization: Archiving program	Required	HathiTrust HathiTrust Shared Print Program

Although not required, some libraries may elect to include 583 condition notes. The following should be reported to HathiTrust, if they elect to do this:

583 Action for Condition Notes <i>Required only if condition issues are found and subfields added to the Condition Reviewed action above.</i>			
MARC Tag 583	Field	Required or Optional	Value (Enter this data exactly as shown)
subfield l	Status <i>Please consult the condition and validation instructions for more specifics on this work and subfield requirements.</i> <i>For the status here, it should note any PDA terms related to condition issues.</i>	Required	
subfield x	Nonpublic note	Required	

	<p><i>This natural language note should capture the condition issues if status does not cover it or more details are needed.</i></p> <p><i>Please consult the condition and validation instructions for more specifics on this work and subfield requirements.</i></p>		
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Access and Resource-Sharing Guidelines

Phase 1 and Phase 2 commitments will be maintained as an accessible light archive with volumes available for lending.

- 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.
- 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 \(2009\)](#)

Phase 3 commitments do not circulate or are limited to in-library use only at the holding library. The items may be handled by staff to support document delivery scanning, and other service requirements that support Phase 3 (i.e. digitization corrections, preservation, etc.). At the

discretion of the holding library, items can be sent via interlibrary loan for in-library use only at the borrowing library as long as they are insured and shipped securely to limit risk.