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UC ETAS and Lending Task Force - Final Report and Updates

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UC ETAS and Lending Task Force

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UC ETAS and Lending Task Force Final Report

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Summary

The UC ETAS and Lending Task Force was charged with documenting the requirements, obligations, procedures, and policies for UC Library campuses when one or more campuses anticipate needing or need to activate HathiTrust's Emergency Temporary Access Service (ETAS). Below is a summary of our work and our recommendations for your consideration.

Respectfully,

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Process

The Task Force met bi-weekly to discuss issues and recommendations should a natural disaster or other emergency result in a campus library's inability to provide access to physical collections and services. In addition, we consulted with campus stakeholders and met with Jennifer Vinopal, Associate Director at HathiTrust. In meeting with Jennifer, we learned that while HathiTrust is looking at expanding the criteria used to determine if ETAS can be activated, they don't expect there to be any changes in the near future. Given this information, the Task Force recommends that the UC Libraries continue to be treated by HathiTrust as one system as opposed to ten separate libraries as this provides the affected patrons with access to the most materials. The documentation below is written with this recommendation and the current ETAS Terms of Service (<https://www.hathitrust.org/member-libraries/services-programs/etas/etas-terms-of-service/>) in mind.

In addition, the entire document serves as the Service Continuity Plan template mentioned in the Task Force Charge.

Activating ETAS

The conditions under which ETAS can be activated are listed in their Terms of Service at <https://www.hathitrust.org/member-libraries/services-programs/etas/etas-terms-of-service/>.

Responsibilities of Campus(es) Activating ETAS

If one, several, or all campuses activate HathiTrust ETAS, the campus(es) who have activated ETAS are responsible for ensuring they do not lend or borrow items their patrons have online access to through ETAS. This includes not providing non-returnables through digitization (e.g. scans of chapters, etc.). Please note the exceptions below:

- The campus(es) who have activated ETAS can borrow items their patrons have access to through ETAS from outside the UC system. This is considered an additional copy of an item.
- The campus(es) who have activated ETAS can borrow or lend UC-owned items their patrons have access to through ETAS to patrons who require an accommodation (e.g. print disabled).

Below are two potential scenarios to consider.

Scenario A - One UC (or multiple UCs) has activated ETAS

Responsibilities:

- Campus(es) that activated ETAS will not borrow anything that is in ETAS from other UCs.
- Campus(es) that activated ETAS will not lend anything that is in ETAS to other UCs.
- It is the responsibility of the Campus(es) that activated ETAS to stop the borrowing of items from other UCs either before the request happens or before the book reaches the patron using a system or manual process depending on the workflows of the Campus(es).
- It is the responsibility of the Campus(es) that activate ETAS to stop the lending of items that are in ETAS using a system or manual process depending on the workflows of the Campus(es).

Strategies to consider:

- Campus(es) to build a local HathiTrust e-collection to display to their users and post in their own IZ Primo. Then their users would only have to search their Library Search as opposed to Library Search and HathiTrust.
- Since all HathiTrust records should be in the NZ - the SILS Operation Center could collect those record numbers and create portfolios for those records and put them in an ecollection and then they could turn on that collection for campuses with ETAS activated.
- Campus(es) should verify the Shibboleth information and associated attributes they have on file with HathiTrust to make sure it is still accurate.

Systemwide effects of a Campus(es) activating ETAS::

- If Campus(es) that activated ETAS owns a distinctive collection/items that are in ETAS, other UCs can't access them while ETAS is in place.
- Some campuses may experience increased requests for items through interlibrary loan if one or more campuses' print collections are unavailable.

Scenario B - All UCs have activated ETAS

Responsibilities:

- Campus(es) that activated ETAS will not borrow anything that is in ETAS from other UCs.
- Campus(es) that activated ETAS will not lend anything that is in ETAS to other UCs.
- It is the responsibility of the Campus(es) that activated ETAS to stop the borrowing of items from other UCs either before the request happens or before the book reaches the patron using a system or manual process depending on the workflows of that Campus(es).
- It is the responsibility of the Campus(es) that activated ETAS to stop the lending of items that are in ETAS using a system or manual process depending on the workflows of that Campus(es).

Strategies to consider:

- SILS Operations Center at CDL to build a HathiTrust e-collection for the Network Zone.
- Campus(es) should verify the Shibboleth information and associated attributes they have on file with HathiTrust to make sure it is still accurate.

Further Recommendations

- The Digitization Team at CDL should circle back to HathiTrust in Summer 2024 to see if HathiTrust has made any decisions about changes to the ETAS program
- The Digitization Team at CDL will funnel any relevant HathiTrust ETAS information to DOC. DOC representatives can share with the relevant people on their campuses as appropriate.
- The SLFs: The issue of the SLFs is a complex one as they are physically situated on specific campuses but their users are from all campuses. Therefore should an SLF have to close, UC constituents would not have access to its materials via ETAS unless their affiliated campus is also closed. Given the current activation requirements of ETAS and the benefits of being viewed as one system, this is not an issue that can be addressed at this time.
- Campuses should continue adding content to HathiTrust:
 - Each campus may have different/multiple pipelines for depositing digitized information. We recognize that it may be prohibitive for some campuses to contribute at this time. Campuses with active pipeline(s) should continue contributing digitized content.
- Campuses should add ETAS activation decision-making to their existing local Service Continuity Plans.
- Campuses should consider updating their print holdings with HathiTrust at least annually to proactively prepare for any ETAS activation.

Acknowledgments

The Task Force would like to acknowledge the time and effort of Tamara Pilco, Electronic Resources Manager at UC Santa Cruz, for the creation of the document “Strategies for Loading Records in Alma” found in [Appendix D](#).

APPENDIX A: Clarification on HathiTrust ETAS Summer 2024

We want to take a moment to address why some of the guidelines might seem different than what occurred during the pandemic. During this time all UC Libraries were closed and all UC patrons had access to all items available via ETAS that were held by any UC library. There was a period of about 6 weeks in which the UC Libraries began opening on different dates. As some UCs reopened before others, their access to ETAS was removed. However, during this period the closed campuses still had access to all items available via ETAS held by any UC. We made sure not to borrow or lend physical copies available in the system to the closed campuses.

In Summer 2024, the Council of University Librarians accepted this report and asked that the Task Force touch base with HathiTrust in advance of publishing the report. In doing so, we clarified the terms of ETAS with HathiTrust:

When a campus or campuses, less than the entire UC system, enables ETAS today, that closed campus' users would have access online to all of UC's holdings available in ETAS. Users from open UC campuses would not be able to access online any holdings from the closed campus through ETAS even if they are unique titles held by the closed campus. Open UC campuses should not lend any print copies held by the closed campus Library to users of the closed campus via interlibrary loan, although ultimately the responsibility for controlling physical lending falls on the closed, and ETAS activated, campus(es). However, print copies from outside the UC system may be borrowed by the closed campus for their patrons.

APPENDIX B: UC ETAS Action Checklist

In the event that a UC library suffers an unexpected or involuntary, temporary disruption to normal operations, such as closure for a public health emergency or natural disaster, requiring the library to be closed to its patrons, or otherwise restrict access to print collections, so that users cannot gain access to items in the collection as they ordinarily would, the UC library can consider activating HathiTrust ETAS. The following checklist can be used as a guide to recommended actions.

1. Identify a local point person for the campus who will serve as ETAS liaison to HathiTrust, CDL, and other UCs. This person will be responsible for executing the following actions.
2. Consult locally to decide whether the campus would like to activate ETAS. Refer to the [requirements for activation](#).
3. Reach out to the Digitization Team at CDL (uc-hathitrust@universityofcalifornia.edu) to determine:
 - a. Whether other UCs are also planning to activate ETAS.
 - b. Who should communicate the activation request to HathiTrust.
4. Once HathiTrust approves the activation:
 - a. Update Alma to make the affected local inventory non-requestable and non-lendable within UC.
 - b. Activate a local mechanism to ensure that local borrowers do not borrow copies of ETAS-enabled titles from other UCs.
 - c. Ensure your print holdings are updated in HathiTrust. If necessary, load additional records into Alma as detailed in [HathiTrust ETAS - Strategies for Loading Records in Alma](#).
 - d. Enable Shibboleth access for appropriate user groups to the ETAS-enabled titles via UC Library Search.
 - e. Communicate the activation to the “groups to notify” as detailed in the [UCLAS Governance Recommended Communication Plan](#).
5. Monitor the impact of the ongoing crisis and communicate updates as detailed in the [UCLAS Governance Recommended Communication Plan](#).
6. Once the crisis passes or begins to pass:
 - a. Consult locally to determine a date by which affected collections may again be accessed normally by users.
 - b. Communicate the deactivation intention to the Digitization Team at CDL (uc-hathitrust@universityofcalifornia.edu) and/or HathiTrust as appropriate.
 - c. Communicate the deactivation intention to the “groups to notify” as detailed in the [UCLAS Governance Recommended Communication Plan](#).
7. On the date of intended deactivation:
 - a. Update Alma to make the affected local inventory requestable and lendable within UC.
 - b. Deactivate the local mechanism that ensures local borrowers do not borrow copies of ETAS-enabled titles from other UCs.
 - c. If necessary, delete additional records loaded into Alma as detailed in [HathiTrust ETAS - Strategies for Loading Records in Alma](#).
 - d. Disable Shibboleth access for appropriate user groups to the ETAS-enabled titles via UC Library Search.
 - e. Communicate the deactivation to the “groups to notify” as detailed in the [UCLAS Governance Recommended Communication Plan](#).

APPENDIX C: FAQ for UC Libraries

What is HathiTrust Emergency Temporary Access Services (ETAS)?

The service makes it possible for member library patrons to obtain lawful access to specific digital materials in HathiTrust that correspond to physical books held by their own library in the event of an unexpected or involuntary, temporary disruption to normal library operations. ETAS enables many HathiTrust member libraries to continue supporting the teaching, learning, and research mission of their institutions during said disruption in service.

Our physical collections are unavailable due to an emergency. How can we activate ETAS?

Determine if the emergency qualifies you to activate ETAS by reviewing the *Requirements and Service Guidelines* at <https://www.hathitrust.org/member-libraries/services-programs/etas/etas-terms-of-service/>.

If the answer is yes, follow the instructions at

<https://www.hathitrust.org/member-libraries/services-programs/etas/#how-to-request-etas>.

Who can access ETAS?

Once you have activated ETAS, current faculty, students, and staff at your institution can access items held by the UC system for which a digital copy exists in the HathiTrust Digital Library.

What can our users access via the ETAS?

Your users can access a digital copy of any HathiTrust Digital Library book that is part of UC's physical collections.

How can our users find items available in ETAS?

Users can visit HathiTrust at <https://www.hathitrust.org> and log in to access items available in ETAS. You may also choose to integrate ETAS records into Alma so that they appear in Library Search. See attached *Strategies for Loading Records in Alma*.

What about Interlibrary Loan (ILL)?

UC Campuses that have activated ETAS will not lend anything in ETAS to another library. UC Campuses that have activated ETAS will not borrow anything in ETAS from another UC campus; however, they can borrow an item in ETAS from a library outside of the UC system. In addition, campus(es) who have activated ETAS can borrow or lend UC-owned items their patrons have access to through ETAS to patrons who require an accommodation (e.g. print disabled).

Can we scan items that are in ETAS for our users or for ILL?

UC Campuses that have activated ETAS cannot scan items (e.g. book chapters) and provide them to their local users or to ILL users. However, the campus(es) who have activated ETAS can provide scans obtained from outside of the UC system to their patrons. If an ETAS scan is unusable due to something like a missing or

blurry page, UC Campuses are encouraged to contact HathiTrust to see if they can scan the item themselves for the patron.

Physical access to our materials has been restored. Now what do we do?

Before you restore access to your physical collections, contact CDL's Digitization Team (uc-hathitrust@universityofcalifornia.edu) and HathiTrust to discuss the timing and any special circumstances relating to your plans.

APPENDIX D: UCLAS Governance Recommended Communication Plan

Summary

In the event that one or more UC campuses activate the Hathi Trust Emergency Temporary Access Service (ETAS), this plan will serve as a guideline for communicating to stakeholders the effects and benefits of ETAS. The goal of this communication plan is to ensure that all impacted and interested parties are aware when there is a disruption to one or more of the UC Libraries' ability to provide physical access to library collections.

Note that this plan cannot account for all circumstances and situations that may give rise to a campus activating ETAS, therefore this plan serves as a guideline only and should be adapted to fit the campus' particular situation.

Best Practices

- Remind users that ETAS-active campus(es) will have access to the full UC collection within HathiTrust.
- A campus' SILS Operations Team Member will coordinate with their campus to ensure that employees who can make necessary adjustments in Alma/Primo are notified
- All public communication should point users to a website or contact where they can get more information or ask questions

Groups to Notify

The following is a list of potential groups to notify once ETAS has been activated. Campuses should tailor communications to the library's situation and the target audience; an excellent collection of templates may be found at [UC HathiTrust ETAS Communication Templates & Resources](#).

- Campus:
 - Library employees
 - Library users
- UC-wide:
 - CoUL: contact CoUL staff/Systemwide Library Planning Director and Steering Committee Member, currently Danielle Westbrook (see [roster](#))
 - SILS
 - Operations Team: Contact SILS-OT-L@listserv.ucop.edu for any configuration changes for the NZ
 - Notify SILS Ops Sils-sysops@cdlib.org
 - Shared Digital Reference: Contact the coordinator, currently Christopher Martone, christopher.martone@ucr.edu
 - [Interlibrary Loan Services Common Knowledge Group](#) (CKG)
- The UC and Library Community
 - OCLC and other ILL partners: campus ILL units should work with OCLC or other ILL partners to be designated as a non-supplier and reach out to any listservs as needed

- Community members: posts on library social media, newsletter articles, and any other forms of outward communication can help inform community members not otherwise affiliated with UC

Key Communication Components

Point Person

For each ETAS-active campus, there should be a designated point of contact for questions, feedback, and communication with HathiTrust, CDL, and the broader UC community. If more than one campus is ETAS-active, a CDL representative will serve as a communication liaison between campuses and HathiTrust.

Websites

We recommend that an informational web page about the library's ETAS activation be prominently linked from the library's home page and UC Library Search. This web page should include information about ETAS and contact information for questions about the service.

We further recommend that campuses have a banner on the library website and/or in UC Library Search to let users know about ETAS activation and access to physical collections.

Communication Schedule

Initial Notification

- Email to library employees, campus users, and UC-wide groups as specified in [Groups to Notify](#)
- Create a website to inform all library users
- Update website and UC Library search banners

Updates

- Updates during ETAS activation as needed, through one or more communication channels (e-mail, social media, website, etc.)
- Updates are especially important as circumstances change and leading up to de-activation of ETAS
- Consider creating newsletter articles or other communication highlighting the ETAS service

Deactivating ETAS

- When a deactivation date is determined, e-mail library employees, campus users, and UC-wide groups as specified in [Groups to Notify](#)
- Update the library website and banners with the de-activation date

Communication Templates and Helpful Links

Note: many of these templates were used during the COVID-19 closures and would need to be adapted to fit any current ETAS situation.

- [UC HathiTrust ETAS Communication Templates & Resources](#)
- [HathiTrust ETAS Main Page](#)
 - Includes instructions for how libraries can request ETAS activation
- [CDLINFO Bulletin](#) from April 2020
- [UC Libraries HathiTrust Help Center](#)

HathiTrust ETAS Communications Tools for Libraries

The following information was provided by HathiTrust during the pandemic. The templates and information are very useful and can easily be adapted to fit any current ETAS situation.

ETAS Communications Tools for Libraries

This document includes cut-and-paste, customizable content that HathiTrust member libraries who have activated the HathiTrust Emergency Temporary Access Service (ETAS) can use to raise awareness of the service and its benefits for their students, faculty, and staff. We have included messages to reach different audiences through different mediums, e.g., deans and faculty, social media, and email.

If you have messages or materials from your own promotion activities that you think might be helpful to share with other members, please contact Jessica Rohr, Member Engagement and Communications Specialist, at jbelle@hathitrust.org and we'll add it here.

[Key Points About ETAS](#)

[News Release on Library Website](#)

[Message to Deans/Faculty from Library](#)

[Twitter, Instagram, and YouTube](#)

[Top Three Tips for Users](#)

Key Points About ETAS

- The Emergency Temporary Access Service is being offered to U.S.-based HathiTrust members as a fair use authorized by the U.S. Copyright Code.
- This is a temporary service offered only during the timeframe in which the COVID-19 emergency is closing print collection access at member libraries.
- The Emergency Temporary Access Service is currently for HathiTrust member libraries located in the U.S. that have suffered an *unexpected or involuntary disruption* to normal operations (such as closure for a public health emergency like the COVID-19 pandemic) where the library is closed to the public, or there are otherwise restricted print collection access services.

- Students, faculty, and staff at the affected HathiTrust member institutions will, upon logging in to HathiTrust, have access to titles that their library owns. For books that may have rights restrictions, users will be able to read the book online, in a web browser, in a secure and lawful manner.

News Release on Library Website

From the University of Virginia

HathiTrust Provides Emergency Temporary Access to Copyrighted Books

Posted on March 31, 2020 by Amber Reichert

Today, HathiTrust took an important step and opened up copyrighted material in their digital library to member institutions with copies of those items in their physical collections.

This means that any books available through HathiTrust which are also in UVA's collections will be available online without the additional step of requesting a digital scan. HathiTrust's online collection contains more than half of the UVA Library's book collection.

UVA is among the first member libraries with access to this service.

- To take advantage of this resource: Visit <https://www.hathitrust.org> and click the yellow "LOG IN" button.
- Select "University of Virginia" and log in using your Netbadge credentials.
- Use the site to locate the item you wish to view.
- Click on the Temporary Access link at the bottom of the record to Check Out the item through the Emergency Temporary Access Service.

You will have 60 minutes of access to the book during any session. If you remain active in the book during any session, access time will be extended. You are not able to download the book [CORRECTION: User may download page-by-page.]; you may only read it online in an active session while using HathiTrust. This is to protect the author's rights.

Detailed instructions (including how to use the service on a phone or tablet) can be found here: <https://www.hathitrust.org/ETAS-How-To>

If you have questions or concerns, please submit them to feedback@issues.hathitrust.org.

For help with access to these and other digital resources at UVA, reach out to lib-ejournals@virginia.edu.

Message to Deans/Faculty from Library

From the University of Michigan

The COVID-19 crisis has put the physical collections of many research libraries out of reach, including ours. Fortunately, the HathiTrust Digital Library holds digital copies of many of these works, and, beginning Tuesday morning, the digital copies of the works we hold in our collection, including those that are copyright protected, will be available online to authenticated U-M affiliates. The HathiTrust website offers [information about how to use the service](#), and also [details about the terms](#), including an FAQ. ...

This [Emergency Temporary Access Service](#) is available to all HathiTrust members...

The main features of the emergency access are:

- Continued access to the physical scholarly record — our print collection — via digital copies in HathiTrust.
- Reading access to books online, within a web browser (no full downloads).
- Ability to “check out” a copy for a limited period of time with an auto-renew feature for books still in use. Access to items is 1-1. For example, if we have two copies in our collection, two U-M authenticated users (faculty, staff, students) will be allowed concurrent access to the digital item in HathiTrust.

I hope you'll share this information with your faculty and others in the U-M community who might benefit from the service. The [service is available now](#); we will be working in the days ahead to make it easier to find via links on the [library website](#) and through library search.

[Library Director]

Twitter, Instagram, and YouTube

[Institution/library] provides students, staff & faculty with emergency digital access to our collection in @hathitrust when you log-in

[Institution/library] students, staff & faculty - emergency access to our collection in @hathitrust, now available! Log-in to find digitized books from our print collection

From the University of Pennsylvania

Today @upennlib... 1.2 million additional digital items dropped in to our catalog due to a new @hathitrust program to provide online access to things we own in print. These are in-copyright materials, you'll log in to use them.

From the University of Virginia

More than half of @UVA library collections are digitized in @hathitrust, who have opened up copyrighted material in their library to member institutions w physical copies of those items. Follow the instructions to access those copies online via HathiTrust.

<https://news.library.virginia.edu/2020/03/31/hathitrust-provides-emergency-temporary-access-to-copyrighted-books/>

Instagram tutorial from University of Tennessee

<https://t.co/ORU42oKdgK>

YouTube Video on Temporary Access from Central Washington University

https://youtu.be/ZfuL_w_7ZYQ

Consider using these hashtags

#covid19

#digitallibraries

#fairuse

Top Three Tips for Users

Log-in, Log-in, Log-in!

Temporary Access books available from your library's collection are available only when you log-in to HathiTrust using your normal institutional log-in and password. Use the yellow Log In button in upper-right of the HathiTrust main page.

Check out an item only when you plan to use it.

Each Temporary Access book has an initial check-out period of 60 minutes. If you remain active in the book during any session, access time will be extended. If you do not remain active, it will be released for use by other users on your campus.

Use step-by-step instructions for computer/mobile access.

Start here: <https://www.hathitrust.org/ETAS-How-To>

APPENDIX E: HathiTrust ETAS - Strategies for Loading Records in Alma

[Basic Setup](#)

[Scenario A - One UC \(or multiple UCs\) has activated ETAS](#)

[Option 1: Ten Local Collections in the NZ - one for each campus](#)

[Option 2: One Local Collection in each IZ](#)

[Option 3: One Local Collection in the NZ - all UC holdings](#)

[Scenario B - All UCs have activated ETAS](#)

[Option 1: One Local Collection in the NZ - all UC holdings](#)

[Mechanism for loading](#)

[OAI-PMH](#)

[Hathifile](#)

[Schedule for Maintenance](#)

[CDL responsibilities](#)

[Local campus responsibilities](#)

[URL authentication setup](#)

Basic Setup

A local electronic collection that contains electronic portfolios attached to the print MARC bibliographic records that correspond to HathiTrust overlap holdings.

Reasoning:

- The matchpoint between UC and HathiTrust is the OCLC number for the print bibliographic records.
- ETAS is a temporary measure, so electronic bibliographic records are not feasible for matching and maintaining database integrity

Scenario A - One UC (or multiple UCs) has activated ETAS

Option 1: Ten Local Collections in the NZ - one for each campus

- What:
 - CDL creates a local electronic collection (inactive) for each UC campus that contains an electronic portfolio for each print OCLC number present in HathiTrust that is held by that campus
 - CDL activates the e-collection for the campus and adds the campus as “available for” for the duration of ETAS activation
- How:
 - Mechanism for loading records:
 - [Overlap file from HathiTrust](#)

Option 2: One Local Collection in each IZ

- What:

- Each campus creates a local electronic collection (inactive) for each UC campus that contains an electronic portfolio for each print OCLC number present in HathiTrust
- Campus activates the e-collection for the duration of ETAS activation
- How:
 - Mechanism for loading records:
 - [OAI-PMH Import Profile](#) (Preferred)
 - [Overlap file from HathiTrust](#)

Option 3: One Local Collection in the NZ - all UC holdings

- What:
 - *This option assumes that if one UC has activated ETAS, it then has access to the holdings of all UCs in HathiTrust*
 - Same as [Scenario B - Option 1](#)
 - CDL activates the e-collection for the campus and adds the campus as “available for” for the duration of ETAS activation
- How:
 - See [Scenario B - Option 1](#)

Scenario B - All UCs have activated ETAS

Option 1: One Local Collection in the NZ - all UC holdings

- What:
 - CDL creates a local electronic collection (inactive) that contains an electronic portfolio for each print OCLC number present in HathiTrust that exists in the NZ
 - CDL activates the e-collection and adds all campuses as “available for” for the duration of ETAS activation
- How:
 - Mechanism for loading:
 - [OAI-PMH Import Profile](#) (Preferred)
 - [Overlap file from HathiTrust](#)

Mechanism for loading

OAI-PMH

This option creates an automated load of HathiTrust records and creates an electronic portfolio (in the electronic collection of choice) for any match on OCLC# and filters out any open access records using an indication rule. This method can be set to run daily/weekly/monthly and each subsequent run of the import profile will only process records with a date stamp after the last harvest.

Create a Repository Import Profile using Import Protocol: OAI-PMH for set “hathitrust”

- Originating System - other
- Import Protocol - OAI
- Source format - OAI MARC21 Bibliographic
- Status - Active
- OAI Base URL: <https://oai.hathitrust.org/>
- Click Connect and Edit
- Set - All works in HathiTrust

- Leave default start date/date stamp

Originating system *	Other	File name patterns	
Import Protocol	OAI	Cross walk	<input type="radio"/> No <input checked="" type="radio"/> Yes
Physical source format	OAI XML	Target format	MARC21 Bibliographic
Source format	OAI MARC21 Bibliographic		
Status	Active		

Scheduling

Scheduler status ☒ Active ☐ Inactive

Scheduling Every 1 month(s) on day 1 at 01:00 [Edit Scheduling](#)

[Email Notifications](#)

OAI Details

OAI Base URL *

Authentication ☐

[Connect and Edit](#)

Repository Name

Granularity

Metadata Prefix

Set

Identifier Prefix

Harvest Start Date

Harvest End Date

Encode Date ☐

[Open Test Page](#)

Earliest Date Stamp

Admin Email

Normalization & Validation

Filter out the data using [select Indication Rule that ignores 856 URLs that are Open Access (based on [Attribute in 856\\$r](#))]

Indication Rule:

rule "856 has r of Open Access"

when

(not exists "856.r.*ic*" OR not exists "856.r.*op*" OR not exists "856.r.*orph*" OR not exists "856.r.*und*" OR not exists "856.r.*icus*")

then

set indication."true"

end

Match Profile

Match by Serial / Non Serial - No

Match Method - Unique OCLC Identifier Match Method

Handling - Automatic

Upon match - Do Not Import

No Match - Upon no match - Do Not Import

Set Management tags - leave default (don't publish)

Inventory Information [Creates portfolio in local e-coll for each 856 (sometimes multiple) for any OCLC# that already exists in Alma.]

Select Electronic

Portfolio Type - Part of an electronic collection - select local electronic collection

Multiple portfolios

Extract portfolio information from field 856

Extract access URL from field Subfield u

OAI url: <https://oai.hathitrust.org/?verb=ListRecords&metadataPrefix=marc21&set=hathitrust>

Sets: <https://oai.hathitrust.org/?verb=ListSets>

<https://www.hathitrust.org/member-libraries/resources-for-librarians/data-resources/oai-feed/>

Hathifile

This method involves requesting an overlap file from HathiTrust for each campus that contains the OCLC# and HT bibkey for each title held by that campus, filtered to only those titles in ETAS ("deny"). This file is then loaded into the electronic collection of choice using either an Import Profile (could be automated to pick up the file via FTP) or via the Portfolio Loader (always manual). The load would create an electronic portfolio attached to an existing print bibliographic record by matching on the OCLC#

Resources:

<https://www.hathitrust.org/member-libraries/resources-for-librarians/data-resources/hathifiles/>

<https://www.hathitrust.org/member-libraries/resources-for-librarians/data-resources/hathifiles/hathifiles-description/>

Schedule for Maintenance

OAI-PMH - monthly, after first load it only processes updates

Hathifile - recommend minimally yearly. Would depend on interfacing with HathiTrust.

CDL responsibilities

- Create electronic collection(s) depending on options
- Configure available for groups in the event of ETAS activation
 - Includes creating a custom parser, with parser parameters for each campus so that users are prompted to log in automatically for items

Local campus responsibilities

- Campus must update holdings with HathiTrust for up to date activation in the event of ETAS
- Create electronic collection for local holdings, depending on options
- Configure URLs so that users are prompted to log in automatically for items

URL authentication setup

HathiTrust Documentation:

<https://www.hathitrust.org/member-libraries/resources-for-librarians/improve-discovery/auto-login/>

Options in Alma:

NZ - Create custom Parser in the electronic collection and add parser parameters in Group Settings

Example: assumes bkey=url with record id (IZ screenshot provided - NZ Parser parameters are in different location)

IZ - Create custom Parser in the electronic collection OR append authentication string to URLs at time of import and creation of the electronic portfolio

General Linking Information

URL type

☐ Dynamic URL

☒ Parser Parameters

Parser

Bulk::BKEY

Parser parameters

url= & url_end=?signon=swle:\$U_SHIBBOLETH

URL type (override)

☐ Dynamic URL

☒ Parser Parameters

Parser (override)

Parser parameters (override)

Linking level

Book

Service is free?

☐ Free

☐ Not Free

Crossref supported

☐ Yes

☒ No

Crossref enabled

☒ No

☐ Yes

☐ INHERIT

Proxy enabled

☒ No

☐ Yes

Proxy selected

Link Resolver Plugin

Plugin name

Linking Parser Parameters

Parameter	Value
1. U_SHIBBOLETH	urn:mace:incommon:ucsc.edu

APPENDIX F: UC ETAS and Lending Task Force Charge

1. Name

UC ETAS and Lending Task Force

2. Charged By

Direction & Oversight Committee (DOC)

3. Reporting Line

DOC

4. Background or Context

“Owing to the University of California (UC) Libraries’ longstanding and substantial contributions to and membership in HathiTrust, the UC libraries have been able to share digital versions of our aggregated, in-copyright print holdings that overlap with the HathiTrust Digital Library through the HathiTrust Emergency Temporary Access Service (ETAS) throughout much of the COVID-19 pandemic. Anecdotally, ETAS has been well-received and used by eligible UC users, who, along with library staff, have expressed appreciation for this emergency service as it provides an important form of access continuity, based in the principles of Fair Use and Controlled Digital Lending.” [from UC HathiTrust ETAS Liaisons group interim report to the Council of University Librarians, 03/18/2021]

While we all hope another pandemic of this scope is, at most, a once-in-a-century event, other emergencies such as natural disasters, wildfires or earthquakes, might temporarily disrupt access to the UC libraries’ collections occur with some frequency. Such natural disasters may cause emergency situations at one or more campuses which disrupt access to physical collections. Therefore, it is incumbent upon the UC libraries to leverage the learning of those involved in ETAS to maintain mission continuity for the UC libraries.

5. Purpose, Scope of Work, and Responsibilities

The UC ETAS and Lending Task Force, reporting to DOC, shall develop and clearly document the requirements, obligations, procedures, and policies for UC Library campuses for when one or more campuses anticipate needing or need to activate HathiTrust's Emergency Temporary Access Service (ETAS). These guidelines and documentation will be available in the event of a natural disaster or other emergency that results in a campus library's inability to provide physical access services.

6. Deliverables

- A Service Continuity Plan template that each UC library and CDL might incorporate into their continuity plans.
- Documentation of System-wide effects of ETAS on physical availability & lending
- Documentation of ETAS Activation Requirements
- Documentation of UCLAS Governance Communication Plan (Guidelines and Procedures for Activating ETAS at one or more campuses)

☞ modification of guidelines to SILS as needed - in consultation with CDL'sOps Center

☞ local restrictions and practices

☞ campus obligations to other campuses

☞ assessment mechanisms/protocols of potential impacts on other campuses should one or more campuses need to adopt ETAS

☞ communications to rest of system

- An FAQ

7. Membership / Composition / Terms of Appointment

The task force membership will require knowledge and expertise of a.) physical lending and ILL, both within and outside of UC, b.) Alma, Primo VE, and the discovery and display of physical materials in the SILS, and c.) HathiTrust's ETAS service and authentication mechanisms.

Representatives from all campuses, RLF, and CDL will insure that local impacts and practices are accounted for. While previous service on UC HathiTrust ETAS Liaisons group is allowed and welcomed, it is not required; previous service does not automatically assume continued service and a newly formed group allows for greater diversity of perspective.

DOC members will propose representatives and DOC will finalize membership appointments. **8. Meetings and Communication**

TBD with regular updates to DOC Chair until completion; deliverables due end of December 2023.

9. Evaluation

Upon endorsement by CoUL of the final draft of the ETAS guidelines and completion of any action items to the assigned parties, the UC ETAS and Lending Task Force will be discharged.

UC ETAS and Lending Task Force Updates

January 2025

A sub-group reached out to Jennifer Vinpoal, Associate Director of HathiTrust Digital Library for further clarification on some potential scenarios.

Jennifer advised that we think of HathiTrust ETAS as a service about people who authenticate for certain locations and thereby get access to certain items. Since the SLFs aren't campuses with a defined set of authenticable users, this will limit how users can access their holdings via ETAS as the service is currently constructed. She also explained the settings on their end that impact who receives access to what:

In the HathiTrust infrastructure, UC can be treated as a system OR each individual campus can be treated as individual campuses. This binary hinges on a setting called "mapto_inst_id: universityofcalifornia", in the ETAS infrastructure.

SETTING ON: If the "mapto" setting is ON, the UC system is treated as a system. Thus if one campus has ETAS activated, it and only it has access to everything available in the whole UC system.

SETTING OFF: If the "mapto" setting is OFF, every individual campus in the system is treated as an individual campus and anything about the system is disregarded. This means that for an individual UC campus with ETAS activated in this scenario, that campus's users would have access only to items available in their own campus library (i.e., they would not have access to everything else available in the whole UC system).

The chart below spells out the impact of this setting.

Can a UC library see SLF holdings if ETAS is turned on?		
	map-to set to ON (UC treated like a system)	mapto set to OFF (UC not treated like a system)
If SLF-N is included in Berkeley holdings AND ETAS enabled for Berkeley	YES SLF-N is treated as Berkeley holdings	YES SLF-N is treated as Berkeley holdings

If SLF-N is included in Berkeley holdings AND ETAS enabled for any campus besides Berkeley	YES	NO because SLF-N is treated as Berkeley holdings, thus non-Berkeley campuses can't see Berkeley holdings.
If SLF-S is included in UCLA holdings AND ETAS is enabled for UCLA	YES SLF-S is treated as UCLA holdings	YES SLF-S is treated as UCLA holdings
If SLF-S is included in UCLA holdings AND ETAS is enabled for any campus besides UCLA	YES	NO because SLF-S is treated as UCLA holdings, thus non-UCLA campuses can't see Berkeley holdings.
If SLF-N and SLF-S holdings are submitted separately AND Any UC campus has ETAS enabled	Any UC library with ETAS enabled: yes	NO because ETAS is enabled for users, not for items. SLFs would be treated as separate "campuses" within the system. The SLFs don't have authenticatable users like the other UC campuses.

<p>If SLF-N and SLF-S holdings are submitted separately AND One or both SLFs have an emergency, can ETAS be enabled for the SLFs?</p>	<p>NO ETAS is enabled for users, not for items. SLFs do not have authenticable users like the other UC campuses, so ETAS cannot be enabled for them.</p>	<p>NO ETAS is enabled for users, not for items. SLFs do not have authenticable users like the other UC campuses, so ETAS cannot be enabled for them.</p>
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Given the information above we recommend:

1. "mapto_inst_id: universityofcalifornia" should always be set to ON, allowing our users to have the access to the most items in an emergency situation.
2. Non-SLF-host campuses should not include SLF holdings in their print holdings sent to HathiTrust.

September 2024

In July 2024 CoUL accepted the December 2023 UC ETAS and Lending Task Force Final Report and thanked the task force for its time and thoughtful work. CoUL asked that the task force and/or DOC additionally carry out the following (prior to the report being made public). In order to carry out this task a sub-group of the original task force met to discuss these questions. They then communicated with Jennifer Vinpoal, Associate Director of HathiTrust Digital Library to discuss the items:

1. Further reassess and investigate how SLF holdings can be available to any/all campuses during an ETAS activation (whether the emergency situation involves one campus, multiple campuses or all campuses). CoUL feedback: The SLFs are system wide service centers; during the COVID-19 pandemic, SLF holdings were treated as UC-wide collections and available UC-wide through ETAS; this should be maintained.

Jennifer reiterated that while HathiTrust is currently documenting user stories for potential enhancements of the ETAS service, there are no changes currently planned. Furthermore any potential changes would need to undergo legal, policy, and technical review by HathiTrust. Therefore SLF holdings cannot be made available to any/all campuses during an ETAS activation unless the entire system has activated ETAS.

2. Verify that legal consultation was carried out regarding applicable components of the report and legal interpretation.

Jennifer did not feel that HT's General Counsel needed to review the report.

3. Verify that HathiTrust reviewed and agrees with UC's assessment and implementation of the HathiTrust guidelines; and investigate whether there is precedent regarding systems and consortia with shared repositories (and ETAS activation).

Jennifer is comfortable with the assessment and implementation of the HathiTrust guidelines as listed in the report and is comfortable with them being posted online.

4. The report should *not* be made public until the reassessment of the SLFs has been carried out and HathiTrust verifies UC's interpretation.

As mentioned, there are no planned changes on the horizon for activation guidelines or difference in interpretation of these guidelines. Therefore the report is ready to be posted.

We want to take a moment to address why the answers above might seem different than what occurred during the pandemic. During this time all UC Libraries were closed and all UC patrons had access to all items available via ETAS that were held by any UC library. There was a period of about 6 weeks in which the UC Libraries began opening on different dates. As some UCs reopened before others, their access to ETAS was removed. However, during this period the closed campuses still had access to all items available via ETAS held by any UC. We made sure not to borrow or lend physical copies available in the system to the closed campuses. We were in frequent communication with HathiTrust during this time period and were told this was okay. However a single campus closing, or several campuses but not the full system closing, is treated differently by HathiTrust.

Were a campus or campuses, less than the entire UC system, to enable ETAS today, that closed campus' users would have access online through ETAS to all of their library's holdings available in ETAS. Users from open UC campuses would not be able to access online any holdings from the closed campus through ETAS even if they are unique titles held by the closed campus. Open UC campuses should not lend any print copies held by the closed campus Library to users of the closed campus via interlibrary loan as we are part of a library system. However print copies from outside the UC system could be borrowed by the closed campus for their patrons. It is the closed campus' responsibility to ensure this is being followed.

We have added this clarification to the report, fixed broken links, and clarified some language.

Respectfully,

Paul Fogel (California Digital Library)

Tim Converse (UC Berkeley)

Bonnie Hain-Anderson (UC Davis)

Kristine Ferry (UC Irvine - Chair)

Ross Anastos (UC Merced)

Carlo Medina (UC Los Angeles)

Marti Kallal (UC Santa Barbara)

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Sara Davidson Squibb (DOC - Liaison)

