UC Libraries Shared Print

Disclosure Standards for Journals

Prepared by the UC Libraries Shared Print Strategy Team

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Overview of UC Libraries Shared Print Journal Disclosure Standards

UC Archive Holders agree to record information about UC shared print journals in union catalogs and other applicable system(s) as established by the UC Libraries shared print disclosure standards.

This document describes the policy, instructions, and metadata standards for disclosing UC shared print journals to UC libraries, their users, and to the broader library and user community.

1. Goals of UC Libraries Shared Print Disclosure

Disclosure of UC shared print journals is intended to support three primary goals:

- Discovery and display of UC shared print journals for use by library staff and library users
- Resource-sharing among UC members as defined in the UC Shared Print Access Guidelines
- Collections analysis to support local and system-level collection management decisions and development of additional shared print journal collections

UC Disclosure: procedures and purpose

Under the UC Libraries Shared Print Disclosure Standards for Journals, Archive Holders will provide information about shared print journals to two different bibliographic databases:

1. OCLC WorldCat. Disclosing UC Shared Print journals to support resource-sharing, global discovery and collections analysis.
2. UC library catalogs and Melvyl. Maintaining record information about UC Shared Print journals as appropriate for UC needs.

The following databases/services will also be used for disclosure, discovery, collection analysis and gap-filling (pending experimentation, analysis and negotiation of agreements):

1. The Print Archive and Preservation Registry (PAPR) system. Supplying records of UC shared print journals to support discovery and collections analysis.
2. Journal Retention and Needs Listing (JRNL). Supplying records of UC shared print journals to support discovery, collections analysis, gap-filling and staff-to-staff communications in multi-institution relationships.

The specific workflow and sequence of these disclosure actions may vary among UC libraries. The following sections summarize instructions for OCLC, PAPR and JRNL activities. Full details about required fields and subfields are provided in Attachments 1, 2, 3 and 4.

2. Record UC Shared Print journals in OCLC WorldCat

The UC Libraries Shared Print disclosure instructions for recording UC shared print journals in WorldCat generally follow the approach and standards developed under the OCLC Shared Print Metadata Guidelines.

a. <u>Create New Institution Symbol</u>. Establish a single new OCLC Institution Symbol to identify the library or storage facility's shared print collections. These shared print symbols indicate the location/status of the material and cover materials under any program. Each UC Library creates a single symbol covering UCL Shared Print and any future shared print collections it manages on behalf of a broader group. (The specific shared print programs are identified elsewhere in the records such that the same materials can be contributed to multiple archiving programs and the symbol is used to federate them all at a location.) A single separate symbol will be created for "shared-print-in-place" locations (material maintained in campus libraries) and for storage facilities. See Attachment 1 for a list of OCLC Institution Symbols for shared print collections at UC libraries.

b. <u>Create New Local Holdings Records (LHRs).</u> For each title, create a new Local Holdings Record (LHR) to define the shared print holdings, the shared print Institution Symbol, the print archiving program(s), retention commitment, and outcomes of validation when performed: See Attachment 3 for a detailed list of the LHR fields and subfields to include for UC materials, summarized below.

Most of the shared print information is recorded in the 583 Action Note. Each LHR will include one, two, or three 583 Action Notes as appropriate:

- For all UC Shared Print materials, include a 583 ‡ **a Action**="committed to retain".
- For programs that require validation for completeness (e.g. journal holdings consolidation and validation), include another 583 to summarize the action and report any identified gaps. Include ‡ **a Action**="completeness reviewed" with appropriate ‡**l Status** terms to report evidence of missing units, binding anomalies or reprints; use the ‡ **z Public note** to specify gaps and missing materials.
- For programs that require validation for completeness and condition (or holdings verification and condition review), include another 583 to summarize the action and record the conditions found. Include ‡ **a Action**="condition reviewed" with one ‡**l Status** and one ‡ **z Public note** <u>for each reportable condition found</u>, reporting the condition and indicating the volumes to which it applies. See Attachment 3 and the UC validation standards for more information about what to record and where in the action notes.

For all titles, record the 583 information in the shared print holding location's local catalog system to support future record updates. Please note that batch updating of LHRs in WorldCat requires all LHRs belonging to a given title and Institution Symbol be resubmitted for any change.

When validation for completeness, holdings verification or validation for condition are performed, the record holdings statement(s) (i.e. 85x/86x formatted holdings or 866 summary holdings statement) must also be updated to include an accurate description of volumes held.

The local ILS is considered the original source for shared print holdings records. Accordingly, the disclosure information in the Archive Holder's local catalog is the source for future batch record

updates in OCLC.

c. Update Original Campus Local Holdings Records (LHRs). Following OCLC guidelines, and consistent with UC's adopted policy for the substitutive approach to recording holdings[1], libraries should remove the archived holdings from the original LHR or holdings data, so they will no longer be reflected under the original Institution Symbol.

Holdings contributed to an RLF should be removed from the campus library holdings and recorded on the RLF shared print symbol and LHR.

Holdings held in place should be removed from the original campus symbol and reflected on the campus shared print symbol and LHR.

If a campus holds two copies of a journal backfile, and one copy is contributed as a shared print archive in an RLF or in place, the non-shared print copy (i.e. the surplus holdings) remain on the original LHR/symbol.

d. Simplified disclosure and display. Full runs recommended. To simplify holdings display, cataloging and other activities, Archive Holders are encouraged to commit all holdings for a particular publication held at the location (and not a partial run).

However, when a print archive program or the Holder requires retention of only a partial run, the partial run that is committed to UC shared print should be identified on a new LHR.

e. Batch Creation of LHRs, when possible. UC Libraries are encouraged to create LHRs through batch processing to save time. (LHRs can be created using Connexion, for libraries that have relatively few to create.)

LHRs are transferred using the MARC Format for Holdings Data (MFHD) standard. Details of how libraries may generate and export LHRs will vary depending on the library's local system and available expertise.

f. Discovery in WorldCat. UC shared print materials added to the WorldCat database become discoverable through OCLC interfaces that search and display WorldCat database records.

- Search and display in WorldCat.org and Worldcat Discovery, to support public and staff activities. Holdings added under the new shared print Institution Symbol will automatically appear in WorldCat.org and Worldcat Discovery associated with the name of the new symbol.

- Resource-Sharing through Group Access Capability (GAC). UC will implement a Group Access Capability (GAC) which groups all of UC's shared print symbols, allows UC libraries to view each other's bibliographic, local holdings and summary holdings records through Worldcat Discovery, and can be used to control lending within and

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[1] Carlton, C. (March 27, 2013). *UC Endorsement of Substitutive Approach.* Retrieved from: http://www.cdlib.org/services/collections/sharedprint/docs/Substitutive_Symbol_Decision_20130322_Final.docx

beyond UC through the Policies Directory.

- WorldCat Local. UC libraries should configure their WorldCat Local catalog to display UC shared print holdings under the new symbol (facilitated by CDL.)

3. Provide records of UC Shared Print journal collections to the PAPR system

UC Archive Holders will provide records for UC shared print journal collections to the PAPR system.

a. Registry of *Archived* Titles. Disclosure to PAPR ensures the UC shared print journal collections are discoverable in the public PAPR registry (http://papr.crl.edu/).

PAPR is designed to ingest the same LHRs (MARC Format for Holdings Data) that UC libraries create for batch loading to OCLC. Both systems use a common file format and data standard for importing records. UC libraries are expected to send/update shared print journal LHRs to the PAPR system periodically (e.g. once per year).

b. Collections Analysis and Selection Decision-Support for *Unarchived* Titles. Disclosure to the PAPR system also facilitates collections analysis, including selection decisions for "what to archive next?"   In particular, it identifies titles that do not yet have a retention commitment (unarchived titles) and facilitates group decisions within UC about titles to archive in the future. The PAPR system also generates formatted reports for Archive Holders to import holdings and gap information into JRNL (see next item.)

UC Libraries provide MARC holdings records for all journal holdings to the collections analysis system. To facilitate selection for archiving, the system identifies titles in that do not have a retention commitment in UC (informed by already "archived" titles in the Registry.)

The PAPR collection analysis system was used for the first UC journal archiving campaign and if it is used for subsequent campaigns, UC will use the same files of *unarchived holdings* supplied by UC campuses for the WEST archiving cycles.

4. Provide records of UC Shared Print journal collections to the JRNL system

UC Archive Holders will provide records of UC shared print journal collections to the JRNL system. The JRNL system was developed at the University of Florida for the Association of Southeastern Research Libraries (ASERL) and Florida State University System to track archived titles to support discovery, collections analysis, gap-filling and staff-to-staff communications in multi-institution relationships.

JRNL requires data to be ingested in .CSV (comma delimited) files. JRNL supplies a template for each import type available (bibliographic, archive status, holdings and gap imports); across the import types, the ISSN acts as the primary key. The PAPR collections analysis system exports reports formatted for import into JRNL; Archive Holders may use those or formulate the necessary files from disclosure records.

Attachment 1: UC Shared Print Institution Symbols and Holdings Location Codes

Shared Print Institution Symbol	Institution/Meaning	ILL Supplier	Holdings Location Codes	Uses
University of California Libraries and Storage Facilities				
CUYSP	UCB Shared Print in Place	Supplier	Local code	Used for UC Shared Print in Place and UC Bronze Archives
CUVSP	UCD Shared Print in Place	Supplier	Local code	Used for UC Shared Print in Place and UC Bronze Archives
CUISP	UCI Shared Print in Place	Supplier	Local code	Used for UC Shared Print in Place and UC Bronze Archives
CLUSP	UCLA Shared Print in Place	Supplier	Local code	Used for UC Shared Print in Place and UC Bronze Archives
MERSP	UCM Shared Print in Place	Supplier	Local code	Used for UC Shared Print in Place and UC Bronze Archives
CRUSP	UCR Shared Print in Place	Supplier	Local code	Used for UC Shared Print in Place and UC Bronze Archives
CUSSP	UCSD Shared Print in Place	Supplier	Local code	Used for UC Shared Print in Place and UC Bronze Archives
CUNSP	UCSF Shared Print in Place	Supplier	Local code	Used for UC Shared Print in Place and UC Bronze Archives
CUTSP	UCSB Shared Print in Place	Supplier	Local code	Used for UC Shared Print in Place and UC Bronze Archives
CUZSP	UCSC Shared Print in Place	Supplier	Local code	Used for UC Shared Print in Place and UC Bronze Archives
ZAPSP	NRLF Shared Print in Storage	Supplier	Local Code	Used for UC Shared Print and for UC Bronze, Silver, Gold, Platinum Archives
ZASSP	SRLF Shared Print in Storage	Supplier	Local code	Used for UC Shared Print and for UC Bronze, Silver, Gold, Platinum Archives
ZASSP	SRLF Shared Print in Storage - UC JSTOR collection	Supply limited to UC only	Local Code	Used for UC JSTOR Shared Print collection

Attachment 2: Print Archive Program Subfield $f Authorization for Journals

The name of the print archive program is captured in the LHR $f authorization. It is used, in combination with the OCLC shared print institution symbol, to support discovery by library staff and library users, resource sharing, and collections analysis.

The program name is indexed and it is a repeatable field such that the same materials can be contributed to multiple programs.

For UC shared print journal collections, enter one or more Authorization subfield(s). The "UCL Shared Print" value accompanies all UC Libraries Shared Print disclosures (whether they are part of journal, monograph or government document collections); in some cases, "UCL Shared Print" is the only $f authorization value required. Where applicable, an additional value (or values) will be added for a specific journal project and/or collection.

Table 1: Values for $f Authorization

Subfield $f Authorization Value	Material Type(s)	Application
UCL Shared Print	All	Applied to all UC shared print collections **(required)**.
JSTOR	Journals	Applied to items in the collection/project.
Core Science Journals	Journals	Applied to items in the collection/project.
IEEE Journals	Journals	Applied to items in the collection/project.
WEST	Journals	Applied to items in the collection/project.
Federal Documents	Journals +	Applied to items in the collection/project.
Licensed Content	Journals+	Applied to items in the collection/project. (e.g. prospective collections supplied as part of a systemwide license agreement: Elsevier, Springer, Wiley/Blackwell, Sage, etc.)
MedPrint	Journals	Applied to items in the collection/project.

Attachment 3: Journals – LHR Fields/Subfields Required for UC Libraries Shared Print Disclosure

Required Fields Summary

The following fields are required to identify UC shared print journals.

- **OCLC control number** of the corresponding WorldCat bibliographic record. This can be the **004**, **014** or **035** field but it must consistently be in the same location in all records. Required for WorldCat but not for PAPR.
- **Leader and Directory**
- **001** - Local System Control Number
- **007** - Physical Description Fixed Field
- **008** - Fixed-Length Data Elements
- **022** – ISSN
- **561** - Ownership and Custodial History
- **583** - Action Note(s)
- **852** – Location
- **85x/86x**   Coded holdings (formatted holdings pairs) (if available)
- **866/867/868** Summary holdings (text) (if no 85x/86x formatted holdings pairs)

Details for selected fields

Tag and subfield(s)	Name	Description	Example
852 Location: Identifies the holdings for a given title at a given location (Institution Symbol).			
852 ‡a	Location	UCL Shared Print symbol for the Archive Holder. (See Attachment 2 for a list of UC Institution Symbols).	ZASSP
852 ‡b	Sublocation	Holdings Location Code (HLC) where the archived volumes are physically located at the Archive Holder library or storage facility	ZASSP ‡b ZSVA

85x/86x or 866 Holdings: The holdings committed to UCL Shared Print for this title, i.e. the holdings covered by this LHR. Usually this will be the first volume/issue held by the Archive Holder through to the end of their holdings. Enter these holdings as coded (formatted) detailed holdings if possible; otherwise enter a summary holdings statement.			
85x/86x	Coded holdings (formatted holdings pairs) for basic bibliographic units. Include supplements and indexes.		‡8 1 ‡a v. ‡b no. ‡i (year) ‡j (month) ‡8 1.1 ‡a 282-302 ‡b 1-6 ‡i 2000-2010 ‡j 01-06
866/867/868	Summary holdings (text) if no 85x/86x formatted holdings pairs. Include supplements and indexes.		‡8 0 ‡a v.9:no.1(1959:Mar.)-v.16:no1(1966:mar.),v.16:no3(1966:Sept)-v.51:no3(2005:dec)
022 International Standard Serial Number (ISSN) The ISSN is a very important match point for collection analysis in PAPR and JRNL. Including the ISSN in the LHR enables libraries to send LHRs only to PAPR. If the ISSN is in the bibliographic record but not in the LHR, it will be necessary for libraries to send bibliographic records as well as LHRs to PAPR.			
022 ‡a	ISSN	Print ISSN for the title record. If there is more than one ISSN in the bibliographic record, use the first 022 subfield $a.	
561 Ownership and Custodial History: It is important to identify the original owner(s) of materials committed to UCL Shared Print.			
561 ‡a History	Institution Symbol	Institution Symbol of library that provided materials to the UCL Shared Print Archive Holder identified in 852 ‡a Location. If the Archive Holder is the original owner, this would be the library's <u>original</u> or <u>primary</u> Institution Symbol, where the 852 ‡a would contain the library's shared print symbol.	CLU
561 ‡3	Materials specified	*Optional.* If used, identifies the holdings originally owned and	CLU ‡3 v.9:no.1(1959:Mar.)-v.16:no1(1966:mar.)

		contributed by the institution identified in ‡a History. Not required for WEST or UC Shared Print but recommended.	
561 ‡5	Institution	*Optional.* If applicable, the MARC organization code for the original owner.	

583 Action Note: Most of the UCL-specific print archiving information is recorded in the 583 Action Note. Each LHR will include one, two, or three 583 Action Notes as described below: 1) a 583 note describing Retention commitment; 2) a 583 note describing Completeness validation; 3) a 583 note describing Condition validation.

1.   583 <u>Retention</u> note (required for all UCL Shared Print)

583 ‡3	Materials specified	Include if this 583 Action Note describes part of the holdings or a different set of holdings than were specified in the LHR holdings fields (85x/86x/87x or 866). Enter the range of holdings covered and indicate gaps if known.	583 $3 v.1-3 INDEX: v.1 SUPPL: v.3 (example of INDEX and SUPPL labels)
583 ‡a	Action	Type of preservation action. The retention note contains "committed to retain".	committed to retain
583 ‡c	Time/Date of Action	Date this title was committed to UCL Shared Print (YYYYMMDD)	20140717
583 ‡d	Action interval	The standard retention date for all UCL Shared Print materials, regardless of when the holdings were ingested and validated.	December 31, 2035
583 ‡f	Authorization	Repeatable field containing the name(s) of the archiving program(s). See Attachment 2.	‡f UCL Shared Print ‡f JSTOR
‡u Uniform Resource Identifier	Link to program documentation for	Program documentation should be available on a maintained, public	‡u http://www.cdlib.org/services/collections/sharedprint

	print archiving program identified in ‡f)	website (not a wiki or other undiscoverable site.)	/UCLProgram Statement.pdf (dummy name)
583 ‡5	Institution	*Optional.* If applicable, the MARC organization code for the Archive Holder.	

2. 583 <u>Completeness</u> note (as required for UCL Shared Print collections)			
583 ‡3	Materials specified	Include if this 583 Action Note describes part of the holdings or a different set of holdings than were specified in the LHR holdings fields (85x/86x/87x or 866). Enter the range of holdings covered and indicate gaps if known.	583 $3 v.1-3 INDEX: v.1 SUPPL: v.3 (example of INDEX and SUPPL labels)
583 ‡a	Action	Type of preservation action. The completeness note contains "completeness reviewed".	completeness reviewed
583 ‡c	Time/Date of Action	Date completeness review completed (YYYYMMDD)	20140717
583 ‡f	Authorization	Repeatable field containing the name(s) of the archiving program(s). See Attachment 2.	‡f UCL Shared Print ‡f JSTOR
583 ‡i	Method of Action	Enter the validation level for completeness as specified for the UCL Shared Print Collection.	‡i volume-level ‡i issue-level ‡i page-level
‡l Status and ‡z Public Note	The results of validation for completeness.	Use pairs of ‡l Status and ‡z Public Note subfields to describe the results of validation for <u>completeness</u>. If multiple statuses apply, enter multiple ‡l and ‡z pairs.	‡l missing issue ‡z missing v.16:no.2(1966:June)

| 583 ‡5 | Institution | *Optional.* If applicable, the MARC organization code for the Archive Holder. | |

Record the following completeness problems in the 583 Completeness Note:

‡l Status Term	‡z Public Note	
Binding patterns vary	Specify volumes where binding patterns differ.	‡l Binding patterns vary ‡z Vols 32-35 bound as single unit
Missing	Specify what physical material is missing (whether it is volume-level or issue-level, depending on the UCL shared print collection). For issue-level, also annotate if substantial number of pages, advertisements, images, or foldouts are missing. It is not necessary to identify or enumerate all missing pages, ads, images, or foldouts. Simply record that some of these are missing.	*Volume level example:* ‡l Missing volumes ‡z missing v. 2,7 *Issue level example:* ‡l Missing issues ‡z missing v. 6, issue 10 ‡l Missing issues ‡z missing v. 6, issue 10 ‡l Missing pages ‡z missing pages v. 7 issue 2
Reprints	Specify which units are reprints	*Volume level example:* ‡l Reprints ‡z reprints vols 3-5 *Issue level example:* ‡l Reprints ‡z reprints vol 22, issues 2-3

3. 583 Condition note (as required for UCL Shared Print collections)

583 ‡3	Materials specified	Include if this 583 Action Note describes a different set of holdings than were specified in the LHR holdings fields (85x/86x/87x or 866). Enter the range of holdings covered and indicate gaps if known.	
583 ‡5	Institution	If applicable, the MARC organization code for the Archive	

		Holder.	
583 ‡a	Action	Type of preservation action. For the 583 Condition note contains "condition reviewed"	condition reviewed
583 ‡c	Time/Date of Action	Date condition review completed (YYYYMMDD)	
583 ‡f	Authorization	Repeatable field containing the name(s) of the archiving program(s). See Attachment 2.	‡f UCL Shared Print ‡f JSTOR
583 ‡i	Method of Action	Enter the validation level for condition as specified in the UCL Shared Print Collections Model.	issue-level
‡l Status and ‡z Public Note	Use pairs of ‡l Status and ‡z Public Note subfields to describe the results of validation for condition. If multiple statuses apply, enter multiple ‡l and ‡z pairs.		
Record the following condition problems in the 583 Condition Note:			
Potential Conditions to record			
‡l Status Term	‡z Public Note	Example	
Brittle paper	Identify volumes with brittle paper	‡l "brittle paper" ‡z "brittle paper vols 4,9,15"	
Highlighting/Underlining	[no note required]	‡l "highlighting/underlining"	
Marginalia	[no note required]	‡l "marginalia"	
Tight binding	Identify volumes with tight binding	‡l "tight binding" ‡z "tight binding vols 1-10"	

Attachment 4: Sample Local Holdings Records (LHRs)

Serials sample from the Western Regional Storage Trust (WEST)

WEST Gold title (example of holdings at Stanford SAL3 storage facility)

Leader	cy a3n
007	ta
008	1107210u 8 1001aaeng0110728
022	0030-4050
561	SFU ‡5 CSt
583	committed to retain ‡c 20120215 ‡d December 31, 2035 ‡f WEST ‡u http://www.cdlib.org/services/west/docs/WESTProgramStatement.pdf ‡f WEST Gold
583	completeness reviewed ‡c 20120215 ‡f WEST ‡f WEST Gold ‡I issue-level ‡l missing volumes ‡z missing v.1-8 ‡l missing issue ‡z missing v.16:no.2(1966:June)
583	condition reviewed ‡c 20120215 ‡f WEST ‡f WEST Gold ‡I issue-level ‡l loose pages ‡z loose pages v.20:no.4(1970), v.26:no.1-no.2(1976) ‡l loose covers ‡z loose covers v.20
852	SL3SP
866	‡8 0 ‡a v.9:no.1(1959:Mar.)-v.16:no1(1966:mar.),v.16:no3(1966:Sept)-v.51:no3(2005:dec)