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CIC Shared Print Repository

Working Group on Technical Services: Final Report

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EXECUTIVE SUMMARY

The CIC Shared Print Repository Technical Services Working Group is recommending the following:

- **Recommendation 1:** CIC SPR depositing libraries are responsible for performing a completeness and condition review at the issue-level prior to assembling journal volumes for shipment to a host site. A completeness/condition review of volumes already in storage at a CIC SPR host site is optional.
- **Recommendation 2:** Approve and test the proposed methodology for bibliographic/item-level holdings file format and transmission requirements for depositing materials to Indiana University's ALF host site as outlined in Appendices A-B.
- **Recommendation 3:** The CIC SPR should participate in the OCLC Print Archives initiative and contribute local holdings records to record print repository activity.
- **Recommendation 4:** If it is decided that the CIC SPR will be participating in the OCLC Print Archives initiative, charge the Technical Services Working Group to develop the guidelines for the formatting of CIC SPR 583 "action notes" in OCLC local holdings records.
- **Recommendation 5:** Establish a new working group with expanded representation and expertise to explore cost-effective opportunities to disclose CIC SPR holdings within the CIC and more broadly.

HIGHLIGHTED DEPOSITING LIBRARY GUIDELINES:

- A barcode number on each volume is required to facilitate verification that all items shipped from a depositing library have been received by the host library. The existing barcode will likely be replaced by the host library with another barcode number during the process of adding the item to the repository to prevent actual or potential barcode number conflicts.
- Indiana University's Auxiliary Storage Facility is unable to accept materials wrapped in polyethylene, or shrink wrap, due to fire code/insurance regulations. Materials sent to IU for deposit must either be bound or boxed in order to be accessioned in the ALF.
- For serial publications, it is vital that bibliographic records sent to the host site are cataloged according to successive entry rules for the purpose of reporting OCLC local holdings data.

NEXT STEPS

Although the Technical Services Working Group has completed its initial charges, pending approval of our recommendations, there still remains a lot of work that would benefit from our continued oversight such as:

- Testing and verifying the recommended methodology for transmitting a depositing library's bibliographic and item-level holdings information to a host site.
- Developing a checklist for use by depositing libraries to assist in the transfer of physical holdings to a host site.
- Developing recommendations as to the formatting of 853 "action notes" fields to report CIC SPR retention and completeness information as part of the OCLC Print Archives Pilot Project.

INTRODUCTION

The CIC Shared Print Repository's Working Group on Technical Services (WGTS) was one of three initial groups formed in January 2011 to assist in the first phase implementation of this new initiative. The WGTS was charged to:

"... define a basic standard for records representing the CIC-SPR holdings, and then advise on how these records should be shared to enable discovery across CIC libraries and beyond. While the primary focus of the WGTS will be to ensure that CIC-SPR holdings at Indiana University and other host sites are accessible to potential readers across the CIC, we are also interested in exploring cost-effective opportunities to disclose CIC holdings more broadly in conjunction with national projects being developed by CRL, OCLC, HathiTrust and others."

The members of the Working Group are Wes Boomgaarden (Ohio State), Gary Charbonneau (Indiana), Michael Charbonneau (Indiana, Chair), Patricia Kantner (Purdue), and Randall Roeder (Iowa). We would also like to recognize, with appreciation, Hope Barton (Iowa) for her contributions as one of the original members of this group.

SCOPING OUR WORK

To better plan our work, the CIC SPR Working Group on Technical Services developed the following basic assumptions for Phase I development which involves securing a core collection of 250,000-300,000 backfile serial holdings to be housed at Indiana University's Auxiliary Library Facility (ALF):

- Designated end year for these print serial backfiles are defined as a set of holdings from volume 1 to the year 2010
- The CIC SPR retention commitment for these materials has been fixed at 25 years

VALIDATION OF PRINT JOURNAL BACKFILES

Validation of a journal backfile includes two parts: 1.) verification of completeness of the backfile in a single location; and: 2.) verification of the condition of the material. By performing verification, CIC SPR partner institutions may be assured that every reasonable effort has been made to secure a near complete, good condition backfile of journal titles.

There are three possible levels of validation for journals:

- **Page-level:** Check to verify that each page of every issue within a bound volume is present and in good condition.
- **Issue-level:** Flip through a physical volume looking for obvious missing issues and review the spine label (volume, issue, and date statements) for accuracy
- **Volume-level:** Look for obvious missing volumes and review the spine label (volume, issue, and date statements) for accuracy

Proposed Guiding Principles Regarding Verification of Completeness for Journal Publications:

- Completeness checking at the issue-level is the minimum requirement for new contributions to the CIC SPR
- Depositing libraries are responsible for assessing the completeness of items selected for deposit
- A completeness review of volumes already in storage at a host site is optional

Proposed Guiding Principles Regarding Verification of the Condition of Journal Publications:

- In general, only optimal copies of journal volumes will be contributed to the repository
- Condition checking at the issue-level is the minimum requirement for new contributions to the CIC SPR
- Depositing libraries are responsible for conducting a condition review of items selected for deposit
- A condition review of volumes already in storage at a host site is optional

Recommendation 1: CIC SPR depositing libraries are responsible for performing a completeness and condition review at the issue-level prior to assembling journal volumes for shipment to a host site. A completeness/condition review of volumes already in storage at a CIC SPR host site is optional.

CHARGE 1: DEFINE BASIC STANDARD FOR RECORDS REPRESENTING CIC SPR HOLDINGS**Bibliographic/Holdings Metadata**

Each CIC depositing library must be able to provide bibliographic and item-specific metadata to the receiving library in the format specified by that institution. As this initiative expands to include multiple shared facilities across the CIC, it is anticipated that different formatting requirements will need to be developed by each receiving institution based on their local system requirements.

The bibliographic/holdings metadata provided by each depositing library will serve to:

- 1.) Act as a manifest for physical content being sent to the depositing institution
- 2.) Provide bibliographic and individual item record content for the purpose of loading into the receiving library's local online catalog as part of the storage ingest process
- 3.) Set holdings within OCLC's WorldCat for the CIC's "centralized" print archive

CIC libraries likely have records in their local only systems that reflect previous cataloging codes and practices. While it is highly desirable that bibliographic records from depositing libraries adhere to current cataloging rules, standards and practices this may not always be the possible. All bibliographic records should, however, conform to the following standards:

- **MARC 21 Format for Bibliographic Data**
- **OCLC's Bibliographic Formats and Standards**

NOTE: For serial publications, it is vital that bibliographic records are cataloged according to successive entry rules for the purpose of reporting OCLC local holdings data.

The proposed methodology for bibliographic/item-level holdings file format and transmission requirements for depositing materials to the Indiana University's ALF host site are outlined in:

- [Appendix A](#): *MARC Record File Formatting Requirements for Depositing Libraries*
- [Appendix B](#): *Formatting Embedded Item-Level Holdings Information in a Single MARC Record*

Recommendation 2: Approve and test the proposed methodology for bibliographic/item-level holdings file format and transmission requirements for depositing materials to Indiana University's ALF host site as outlined in Appendices A-B.

CHARGE 2: IDENTIFY STRATEGIES FOR DISCOVERY OF CIC SPR CONTENT

The Technical Services Working Group was tasked to recommend strategies for providing enhanced and expanded access and discovery to CIC SPR title/holdings information and to explore and consider how to ensure accessibility to potential readers across the CIC as well as enable discovery “... *more broadly in conjunction with national projects being developed by CRL, OCLC, HathiTrust, and others.*”

Host Site Discoverability: The Indiana University Approach

Indiana University has created a unique location in its online catalog to identify those materials shelved in the Auxiliary Library Facility (ALF) as belonging to the CIC Shared Print Repository. Work is currently underway to change the current location information for IU's SPR deposited materials already housed in the ALF with this new code. The unique location code will also enable IU to generate reports listing CIC SPR titles and other needed bibliographic information (e.g., ISSN, OCLC control #) as well as corresponding holdings information (e.g., v.1-20 1960-1980). These system-generated reports will help facilitate the coordination of future Phase 1 work such as “calls for holdings” and “gap filling” processes among other CIC SPR participating libraries. Additionally, the CIC SPR location will enable IU to set up different local circulation rules for this collection as well as provide a means for extracting files of bibliographic and holdings information for OCLC's offline batchloading process via the Local Holdings Record Updating Service (LHRUS).

OCLC Print Archives Pilot Project

In early 2011, OCLC embarked upon a [pilot project](#) to develop a strategy for supporting the immediate and future needs for shared print management. The goal of the project is to address the needs for recording and disclosing retention commitments for print resources via WorldCat local holdings records (LHRs) attached to a related bibliographic record that provides holdings details. In May, Indiana University, as the first CIC SPR host site, was invited to participate in the pilot.¹ Other pilot participants include the University of Minnesota (dark archive of JSTOR titles), the Center for Research Libraries, and the Western Regional Storage Trust (WEST). Participants are currently testing the proposed workflow for disclosure processes, evaluating LHR indexing and resource sharing workflows.

¹ Mechael Charbonneau (Indiana) is serving on the Metadata Working Group and Sherri Michaels (Indiana) is serving on the Interlibrary Lending Working Group.

As part of the pilot project, each participant has been assigned a new OCLC institution symbol to identify the archive institution (or collection) separate from its main institution symbol. Indiana University's new OCLC institution symbol is 'IULSP' (Indiana University Libraries Shared Print). Participants are creating LHRs in OCLC to provide information about an institution's detailed holdings as well as lending and reproduction policies. As part of the pilot, 583 "Action Notes" are added to the LHR to disclose at minimum a print retention commitment and optionally additional details regarding the outcomes of condition/completeness validation.

Should the CIC decide to participate in the OCLC approach for shared print management, each host repository site would need to be assigned a new OCLC institution symbol. All CIC SPR host institution symbols would then be used to create a defined OCLC Group Access Capability (GAC) to help facilitate discovery in Connexion, support CIC SPR resource sharing, and potentially facilitate analysis of the collection as a whole. While there is no charge to establish new OCLC symbols, there would be a one-time set-up fee per host site to define a new LHR batch load process (~\$500). Pending completion of the pilot, OCLC will be establishing additional on-going fees for resource-sharing usage. At this point in the pilot, it is still unclear whether or not there would be additional cataloging subscription fees associated with these new OCLC institution symbols.

Recommendation 3: The CIC SPR should participate in the OCLC Print Archives initiative and contribute local holdings records to record print repository activity.

Recommendation 4: If it is decided that the CIC SPR will be participating in the OCLC Print Archives initiative, the Technical Services Working Group should be charged to develop guidelines for the formatting of CIC SPR 583 "action notes" in OCLC local holdings records.

Expanded CIC Shared Print Repository Discovery

In discussing additional scenarios and approaches that would enhance the discoverability of CIC SPR content and holdings information, it became readily apparent that this charge was too broad in scope. Working group members agreed that identifying expanded CIC SPR discoverability would require additional input from other important representative areas within our institutions (i.e., collection development/management, public services, information technology, etc.).

Recommendation 5: Establish a new working group with expanded representation and expertise to explore cost-effective opportunities to disclose CIC SPR holdings within the CIC and more broadly.

APPENDIX A

MARC Record File Formatting Requirements for Depositing Libraries

- File Delivery Parameters
 - Record Format : UTF-8 (preferred) or MARC-8
 - Delivery Format: MARC
- Provide one bibliographic record per title, not one record per copy or volume.
- The following additional fields are also highly desirable in each MARC record submitted:
 - 020: ISBN (for monographs)
 - 022: ISSN (for continuing resources)
 - 035: OCLC Control Number
- Provide embedded multiple item-level holdings information for each physical piece in a single MARC bibliographic record using the [852 field\(s\)](#) encoded as per [MARC 21 Format for Holdings Data](#).

CIC SPR 852 FORMAT STANDARD FOR TRANSMISSION OF DATA

- **First Indicator: Shelving Scheme**
 - # - No information provided
 - 0 – Library of Congress classification
 - 1 – Dewey Decimal classification
 - 3 – Superintendent of Documents classification
 - 4 – Shelving control number
- **Second Indicator: Shelving Order**
 - # - No information provided
- **Subfield Codes: Location**
 - 3 – Materials specified (enumeration/chronology for continuing resources) (Mandatory if applicable)
 - a – Location ([MARC Code List for Organizations](#)) (Required)
 - h – Classification part (Optional)
 - i – Item part (call number cutter, date, or term) (Optional)
 - p – Piece designation (barcode number) (Required)

Additional Requirements:

1. A barcode number on each volume is required to facilitate verification that all items shipped from a depositing library have been received by the host library. The existing barcode will likely be replaced by the host library with another barcode number during the process of adding the item to the repository to prevent actual or potential barcode number conflicts.
2. Indiana University's Auxiliary Storage Facility is unable to accept materials wrapped in polyethylene, or shrink wrap, due to fire code/insurance regulations. Materials sent to IU for deposit must either be bound or boxed in order to be accessioned in the ALF.

APPENDIX B

FORMATTING EMBEDDED ITEM-LEVEL HOLDINGS INFORMATION IN A SINGLE MARC RECORD

Example 1: Multi-part item (multi-volume monograph or continuing resource):

Standard:

852 0 \$3 VOL./PART \$a MARC CODE OF HOLDING INSTITUTION \$h
CLASSIFICATION NUMBER \$i CALL NUMBER CUTTER, DATE OR TERM \$p BARCODE

Depositing Library: Ohio State Libraries (v.23 2006-v.24 2007 – 3 volumes):

852 0 \$3v.23,no.1-2 2006\$aOU\$hTJ210.4\$i.J68\$p30000113796373
852 0 \$3v.23,no.5-12 2006\$aOU\$hTJ210.4\$i.J68\$p30000113796374
852 0 \$3v.24 2007\$aOU\$hTJ210.4\$i.J68\$p30000113796375

Example 2: Single volume monograph:

Standard:

852 0 \$MARC CODE OF HOLDING INSTITUTION \$h CLASSIFICATION NUMBER \$i
CALL NUMBER CUTTER, DATE OR TERM \$p BARCODE

Depositing Library: Ohio State Libraries:

852 0 \$aOU\$hDK29\$i.M54 1988|p30000036595332