UC Libraries Standards for Volume-Level Validation of Journals

The following standards describe how to prepare a volume-level verified shared print journal archive from the holdings of multiple libraries. The standards define reasonable effort for verifying completeness and condition and describe the types of conditions and gaps that can be found in the resulting shared print archive. The intended audience for these standards is library staff performing validation work (e.g. RLF staff) and any other staff in UC or beyond that may be interested in understanding the work performed during validation.

The standards are designed to:

1. Establish a basic set of validation requirements that are less intensive than page- or issue-level validation but meet basic expectations.
2. Provide transparency among UC Libraries and wider library community about the content that can be found in the shared print journal archive and the condition in which it can be found.

Standards

To be considered validated, a shared print archive:

1. Must meet standards for completeness and condition (see sections below)
2. Follow specific actions when problems of completeness or condition are identified (see decision matrix)
3. Explicitly record completeness, condition and action notes in descriptive records in union catalogs (see decision matrix)

Completeness

Definition of a Backfile
A complete journal backfile consists of all volumes published for a particular journal and its historical title variants from volume 1 to the present (or until the year the publication ceased or was suspended) for which holdings exist within the UC libraries.

Print archives will likely have gaps, such as missing issues and volumes. In most cases, there is no single verifiable list of the complete publication history of a journal. Completeness must be determined by consulting various sources.

Reasonable efforts are made to compile a complete or near complete journal archive in the context of the aggregate UC collections.

The level of effort placed on verifying completeness depends upon:

- the publication history for a journal
- the unit of publication for verification (i.e. volume)
- libraries’ physical holdings
- willingness to contribute (UC campuses are encouraged to contribute holdings to shared archives in order to secure the most complete backfile.)
- quality of bibliographic and holdings records, particularly in union catalogs
Condition

Reasonable efforts are made to identify the volumes that are in the best, readable condition among the UC libraries’ holdings and that are capable of sustaining an agreed upon preservation horizon.

Readable condition. A shared print journal archive is in readable condition when the entire text block can be read by the human eye. Words are not lost at the margins or on the pages due to publishing or binding errors, significant damage or markings.

Best condition\(^1\). When multiple readable copies are available, the copy that meets most of the acceptable conditions is selected. The decision matrix below describes how to make decisions when the best copy cannot be determined.

Preservation Horizon. The time period for which the physical material is expected to last in readable condition when stored in defined environmental conditions. The horizon is formally agreed upon by the UC Libraries.

\(^1\) The standards do not attempt to provide an exhaustive list of possible conditions. It is assumed that the holdings meet basic criteria for deposit in an off-site shelving facility and that the facility has specific requirements for the condition of materials that can be deposited (e.g. for mold, presence of insects, etc.).
**Steps to determine completeness and readable condition**

The following steps are performed to determine completeness and readable condition at the volume level. These steps are considered reasonable and balance quality with efficiency. When performing these steps, certain problems may be encountered. The “Decision Matrix and Expected Actions” describes what to do when a particular problem is encountered.

To determine completeness,

1. Confirm the publication history. The following three sources must be consulted (note: no other sources such as e-versions of a publication need to be consulted):
   - The physical piece
   - Local catalog entries
   - Union catalog entries for the UC Libraries’ holdings (Worldcat and Melvyl)

2. Inspect the physical pieces (typically a run of bound volumes)

3. Review the enumeration pattern for the volumes
   a. Look for obvious missing volumes
   b. Look at the binding labels, volume and date statements
   c. It is not necessary to review the sequential issues bound within each volume

4. If volumes are missing or out of sync with the binding, volume and date statements, consult library bibliographic records to verify the publication history.

5. Follow the “Decision Matrix and Expected Actions” when certain problems of completeness are found

To determine readable condition,

1. Flip through the complete text block of the physical volume
2. Look at the binding and sewing
3. Test some pages for sufficient flexibility to sustain photocopying
4. Follow the “Decision Matrix and Expected Actions” when certain problems of condition are found

Accession all volumes that meet the completeness and condition expectations into the shared print journal archive.
Decision Matrix and Expected Actions

The following standard actions are expected and must be taken to address each problem.

<table>
<thead>
<tr>
<th>Problem Type</th>
<th>Problem</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>Completeness</td>
<td>1. Missing volumes.</td>
<td>If none are available, annotate the missing volumes in descriptive records in union catalogs.</td>
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<tr>
<td>Completeness</td>
<td>2. Different binding patterns for a volume.</td>
<td>Add multiple volumes. Do not dis-bind volumes or correct physical bindings. Document binding differences in descriptive records in union catalogs to facilitate discovery.</td>
</tr>
<tr>
<td>Completeness</td>
<td>3. Reprints.</td>
<td>If no original holdings are available, accession reprints into the shared print journal archive. Document which volumes contain reprints in descriptive records in union catalogs.</td>
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<tr>
<td>Completeness</td>
<td>4. Missing advertisements, images (graphs, photographs).</td>
<td>If upon a general inspection of the volume a significant number of advertisements or images appear to be missing, accession a different copy. If none are available, accession volume(s) into the shared print journal archive. Document that some ads and images are missing in descriptive records in union catalogs (not necessary to identify/enumerate all missing info). Accession multiple volumes into the shared print journal archive to complete the archive.</td>
</tr>
<tr>
<td>Completeness</td>
<td>5. Missing foldouts.</td>
<td>If upon a general inspection of the volume a significant number of foldouts appear to be missing, accession a different copy. If none are available, accession volume(s) into the shared print journal archive. Document that some foldouts are missing in descriptive records in union catalogs (not necessary to identify/enumerate all missing info).</td>
</tr>
<tr>
<td>Completeness</td>
<td>6. Missing pages</td>
<td>If upon a general inspection of the volume a significant number of pages appear to be missing, accession a different copy. If none are available, accession volume(s) into the shared print journal archive. Document that some pages are missing in descriptive records in union catalogs (not necessary to identify/enumerate all missing info).</td>
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<tr>
<td>Condition</td>
<td>7. Tight binding.</td>
<td>Accession a different copy. If none are available, accession volume(s) into the shared print journal archive. Document which volume(s) have tight bindings in descriptive records in union catalogs.</td>
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<tr>
<td>Condition</td>
<td>8. Loose binding</td>
<td>Accession a different copy. If none are available, accession volume(s) into the shared print journal archive. Reattach the binding or tie the volume with acid free string. No further action necessary.</td>
</tr>
<tr>
<td>Condition</td>
<td>9. Low quality binding/sewing</td>
<td>Accession a different copy. If none are available, accession volume(s) into the shared print journal archive. No further action necessary.</td>
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<tr>
<td>Condition</td>
<td>10. Brittle paper</td>
<td>If upon a general inspection of the volume a significant number of pages are brittle, accession a different copy. If none are available, accession volume(s) into the shared print journal archive. Document which volumes have brittle paper in union catalogs and accession the volume into the archive.</td>
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<tr>
<td>Condition</td>
<td>11. Yellowed/Browning pages</td>
<td>No action necessary. This condition is acceptable. Accession the volume into the archive.</td>
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<tr>
<td>Condition</td>
<td>12. Unreadable text block (e.g. glue damage, printing mistakes, shot text)</td>
<td>Not permitted in the archive. Accession a different copy.</td>
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<tr>
<td>Condition</td>
<td>13. Highlighting, marginalia, pencil and pen markings</td>
<td>If a significant number of pages have highlighting or markings that render the text unreadable, accession a different copy. Otherwise, accession the volume(s) into the shared print archive and document that some pages have highlighting or markings in descriptive records in union catalogs (not necessary to identify/enumerate all missing info).</td>
</tr>
</tbody>
</table>
| Condition | 14. Separated/loose pages | If more than 10 pages in a volume, accession a different copy. If none are available, reattach the pages or tie the volume with acid free string, whichever is fastest, and accession into the shared print archive.  
If less than 10 pages in a volume, reattach the pages or tie the volume with acid free string, whichever is fastest, and accession into the shared print archive. |