



Western Regional Storage Trust

# WEST Disclosure Policy & Procedures

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## Introduction & Executive Summary

In service of WEST's preservation and access goals, all WEST archiving institutions have agreed to record information about WEST materials in order to clearly identify what materials are protected by the WEST retention policy as described in the [WEST Program Statement](#). By agreeing to retain materials on behalf of WEST, Archive Holders and Builders also agree to updating and maintaining the bibliographic and holdings records for those materials and to record this information (disclose it) in various outlets:

2.8. **Holdings disclosure:** Archive Holders agree to take all steps reasonably necessary to cause all of the archived materials, and information about their accessibility to potential users, to be registered in union catalogs and other applicable system(s) as established by WEST disclosure policy.

## Goals of Disclosing Retention Commitments

Disclosure of WEST-retained materials supports WEST program's primary goals:

- Preserve the scholarly print record for journals
- Ensure access to distributed journal archives
- Facilitate space reclamation

The goals of disclosure are to ensure that all retained materials are explicitly marked as such to

- Prevent withdrawal of the retained copy
- Provide information during WEST collections analyses to prevent duplication of effort and ensure targeted use of program and local resources to expand the WEST collections
- Provide information to WEST member institutions and non-member institutions about the retention status of titles, affording them the opportunity to deselect local copies without fear of content loss at the network level
- Ensure that retained materials are discoverable in local and union catalogs to support access to these materials

This Disclosure Policy serves to provide instructions on what information to record, including program and retention information, outcomes of any validation activities (as described in the [WEST Validation Standards & Procedures](#)), and other information deemed valuable by the WEST governance groups and the wider shared print community. This Disclosure Policy also provides guidance on workflows to ensure disclosure records appear in agreed upon outlets.

This Disclosure Policy *does not* dictate local workflows for achieving the ends described, nor does it attempt to set new metadata standards or guidelines. All instructions regarding metadata updates are based on established standards such as [MARC21 Format for Holdings](#) and [ANSI/NISO Z39.71](#), as well as the [OCLC Shared Print Metadata Guidelines](#).

WEST members who wish to provide feedback on this policy may do so by [submitting comments to the WEST project team](#) through the WEST website. Edits and suggestions will be reviewed and, as appropriate, accepted by the WEST Operations and Collections Council (OCC). The WEST Operations and Collections Council (OCC) may review and update this Disclosure Policy periodically to ensure currency of the contents.

## Structure of the Disclosure Policy Document

This document is structured to first outline what information to include in the bibliographic and holdings records for retained materials and then to provide instructions on where updated records need to be disclosed, with information on how to achieve this and what members can expect with each outlet.

## 1. [Updating Records with Shared Print Retention Metadata](#)

All WEST Archive Holders are expected to update the records for materials that they have committed to retain on behalf of WEST to include information about that retention commitment. This Disclosure Policy largely focuses on what information to record in 583 Action Notes fields of the holdings records for retained materials; however, some bibliographic fields are also required to be updated where necessary to ensure the quality of the data to support WEST collection analyses and to record other information that is required for full disclosure of retained materials (e.g., updating OCLC numbers if found to be incorrect).

The section regarding what information to include in the 583 note fields when updating records for materials retained on behalf of WEST includes instructions on what information is required to be included as well as recommended and ideal information that may be included. This “good/better/best” structure should be understood to mean the following:

- **Good:** The minimum requirement. If no other action is taken, the Archive Holder will have met its obligations to WEST.
- **Better:** Information that would be beneficial for the community, and which WEST recommends the Archive Holder record if they are easily able to. This information is recommended by WEST, but is not required for disclosure.
- **Best:** Information that would be beneficial for the community and which WEST recommends the Archive Holder consider recording, but which may require more substantial effort from the Archive Holder. This information is considered ideal to include, but is not required for disclosure.

The “better” and “best” categories are aspirational, in keeping with WEST’s status as a leader in the shared print community. Each level presumes completion of the previous level.

Specific, detailed information on what fields to update and with what information are included in [Appendix 1](#), with example records provided for reference in [Appendix 2](#).

## 2. [Where to Disclose Retention Status](#)

This section provides an overview of the different outlets where retention information should be disclosed, with information about what Archive Holders should expect when disclosing records to each. As stated above, this section is not intended to dictate local workflows, but rather to establish expectations for what activities will occur during disclosure.

In general, WEST promotes disclosure as an activity to support both identifying specific materials that are retained for the WEST program as well as to highlight the work of shared print initiatives in general. To meet both of these ends, WEST disclosure should occur in local, regional, and (inter)national outlets. To meet disclosure requirements, WEST Archive Holders will:

- Record retention information in local records according to [MARC 21 Format for Holdings](#) and [ANSI/NISO Z39.71](#)
- Update records in OCLC WorldCat (self-register or authorize CRL to register on your behalf)
- Provide updated retention records to AGUA (WEST will provide these updated retention records to CRL to ingest into PAPER)
- Submit holdings and gap statements to JRNL (optional; encouraged)

The outlets for disclosure of WEST retained materials may change over time as new tools and services become available.

## 1. Updating your records during retention

The following are instructions for updating records for WEST retention commitments. Your local system records are considered the authoritative source for this information, with all other disclosure activities flowing from the updates you make there. Archivers should be familiar with the [MARC21 Format for Holdings Data](#) and the [OCLC Shared Print Detailed Metadata Guidelines](#) prior to updating the records for retained materials.

### Summary of LHR Fields and Subfields Required for WEST Disclosure

The following fields are required to identify WEST archived materials:

- **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.
- Leader and Directory
- 001 - Local System Control Number
- 008 - Fixed-Length Data Elements
- 022 - ISSN
- 561 - Ownership and Custodial History
- 583 - Action Note(s)<sup>1</sup>
- 852 - Location
- 85x/86x - Coded holdings (formatted holdings pairs) (if available)
- 866/867/868 - Summary holdings (text) (if no 85x/86x formatted holdings pairs)<sup>2</sup>

Additionally, the following fields are requested when submitting disclosure records to AGUA:

- Holdings record unique ID
- Bib record unique ID

See [Appendix 1](#) for details on selected fields and subfields, and what should be recorded for retention, completeness validation, and condition validation.

### What information to record for disclosure

This section provides a brief, high-level overview of what information should be recorded for materials archived for WEST. The requirements for recording validation activities vary by Archiver Status according to the [WEST Validation Standards & Procedures](#). However, WEST encourages members to include information about any validation activities that take place on any committed materials, whether this information is required for disclosure or not, and regardless of whether the activities were undertaken in the course of WEST archiving or as part of normal local workflows (e.g., completeness validation for low-risk materials transferred to storage).

### Collection scope and definition of 'backfile'<sup>3</sup>

As the WEST program matures, the WEST Executive Committee has updated the collection scope by modifying the definition of a 'backfile' to maintain the currency and relevance of the WEST collections. Archive Holders are encouraged to retain all volumes published through the year the archiving commitment is made, and to periodically review and update past retention commitments to include volumes published after the original commitment backfile period.

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<sup>1</sup> At a minimum, all holdings retained for WEST must be updated to include a 583 with a \$a Action Note "committed to retain." Holdings that undergo physical validation (such as higher-risk journals archived by Archive Builders) will include additional 583s describing physical validation actions and outcomes. See [Appendix 1](#) for detailed information about 583 action notes.

<sup>2</sup> If 85x/86x coded holdings are used locally, include these in your disclosure record. If 866/867/868 summary holdings are used locally, include these in your disclosure record. If both coded and summary holdings are used locally, include all in your disclosure record.

<sup>3</sup> Starting in 2021, the Operations and Collections Council periodically reviews the definition of 'backfile' and recommends updates to ensure the ongoing currency of the WEST archives. This review occurs at least once every five years, and updates are reflected in Table 1.

- **Good:** Retain through the end of the backfile for the Archive Cycle in which your institution committed to retain the journal.
- **Better:** Retain through the most recent volume published at the time of commitment.
- **Best:** Periodically update older retention commitments to include volumes published after the commitment backfile period, preferably through the most recent volume published at the time of review.

See Table 1 for historical backfile definitions by Archive Cycle and anticipated future updates.

Archive Cycle	Archiving Year	'Backfile' Definition ('Good')	'Better' / 'Best'
Cycle 1	2011	v.1-2005	v.1-current year
Cycle 2	2012	v.1-2005	v.1-current year
Cycle 3	2013	v.1-2005	v.1-current year
Cycle 4	2014	v.1-2005	v.1-current year
Cycle 5	2015	v.1-2005	v.1-current year
Cycle 6-7	2016-2017	v.1-2005	v.1-current year
Cycle 8-9	2018-2019	v.1-2015	v.1-current year
Cycle 10-11	2020-2021	v.1-2015	v.1-current year
Cycle 12-13	2022-2023	v.1-2020	v.1-current year
Cycle 14-15	2024-2025	v.1-2020	v.1-current year
Cycle 16-17	2026-2027	v.1-2025*	v.1-current year
Cycle 18-19	2028-2029	v.1-2025*	v.1-current year

Table 1: Historical and anticipated\* 'backfile' definition reference table

Updates to the definition of 'backfile' *do not* place any obligation on Archivers to maintain current print subscriptions. Additionally, Builders *are not* required to retrospectively build journal families already committed under earlier models. See [Retaining and disclosing partial runs](#) for treatment of partial runs during disclosure.

### Risk, Effort, and 583 Action Note Disclosure Requirements<sup>4</sup>

All retention and validation actions are recorded in 583 fields. For most Archive Holders this information will be added to the holdings record; Archivers that do not have holdings records in their local systems may add the 583 to the bibliographic record instead (n.b., OCLC will not accept embedded holdings for processing. WEST can accept disclosure records with embedded holdings as long as they are not split between multiple locations).

<sup>4</sup> In Archive Cycle 1 (2011) through 13 (2023), WEST used program-specific "Archive Type" terminology to shorthand the actions taken during archiving, in addition to requiring plain-language disclosure of some archiving actions. WEST discontinued the practice of using Archive Type terminology starting in Cycle 14 (2024), thereafter relying solely on plain-language disclosure of archiving actions according to standard terminology developed by the Shared Print community. See The WEST Collections Model Appendix D: Archive Types for detailed information about this historical practice: <https://cdlib.org/wp-content/uploads/2021/08/WEST-Collections-Model.pdf>

All materials retained for WEST must have a 583\$a “committed to retain” action note added to their records to reflect their retention status. Depending on the risk profile of the materials and the level of archiving effort the WEST Archiver engages in, WEST requires increasing amounts of disclosure information in accordance with validation requirements.

Risk profile	Risk level
Print & electronic full text in trusted digital repositories (e.g. CLOCKSS, Portico, JSTOR, HathiTrust Digital Library)	Low
Print with selected full text access through databases	Medium
Print with electronic abstracting or indexing or no electronic coverage at all	High

Table 2: Risk profiles

Archiving Effort	Archiving activities <sup>5</sup>	Actions to disclose	Archiving members
Low	<ul style="list-style-type: none"> <li>Commit to retain</li> <li>No physical validation required</li> </ul>	583\$a committed to retain	<ul style="list-style-type: none"> <li>Archive Holders</li> <li>Archive Builders</li> </ul>
High	<ul style="list-style-type: none"> <li>Commit to retain</li> <li>Basic condition check</li> <li>Completeness validation at the issue level</li> <li>Summary holdings updated</li> <li>Materials housed in secure storage</li> </ul>	<ul style="list-style-type: none"> <li>583\$a committed to retain</li> <li>583\$a completeness reviewed (with outcomes of validation)</li> <li>583\$a condition reviewed (outcomes of validation optional)</li> </ul>	<ul style="list-style-type: none"> <li>Archive Builders</li> </ul>

Table 3: Archiving activities by level of effort

### Required and recommended disclosure information by Archiver Status

This section provides guidance on what information WEST Archivers should include during disclosure, organized into what is required (Good), recommended (Better), and ideal (Best) to include, based on the Validation Requirements for each Archiver Status. Detailed validation definitions and requirements are available in the [WEST Validation Standards & Procedures](#).

**Good:** The minimum requirement for the Archive Status.

**Better:** Information that Archivers are recommended to disclose as available.

**Best:** Information that would be ideal for Archivers to disclose as available, but which may require more effort from the Archiver.

<sup>5</sup> See [Appendix 1](#) for more information about what to record as defined in the [WEST Validation Standards & Procedures](#).

Archiver Status	Journal Risk Profile	Archiving Effort	Good	Better	Best
Archive Holder	Low, medium, high	Low	583\$a committed to retain	<ul style="list-style-type: none"> <li>583\$a completeness reviewed (outcomes of validation optional)</li> <li>583\$a condition reviewed (outcomes of validation optional)</li> </ul>	583\$a completeness reviewed (with outcomes of validation)
Archive Builder	Low	Low	583\$a committed to retain	<ul style="list-style-type: none"> <li>583\$a completeness reviewed (outcomes of validation optional)</li> <li>583\$a condition reviewed (outcomes of validation optional)</li> </ul>	583\$a completeness reviewed (with outcomes of validation)
Archive Builder	Medium, high	High	<ul style="list-style-type: none"> <li>583\$a committed to retain</li> <li>583\$a completeness reviewed (with outcomes of validation)</li> <li>583\$a condition reviewed (outcomes of validation optional)</li> </ul>	583\$a transferred to optimal storage	583\$a condition reviewed (with outcomes of validation)

Table 4: Summary of disclosure requirements by Archiver status

Archivers do not need to record in the disclosure record whether the materials are validated at the ‘good,’ ‘better,’ or ‘best’ level, only which actions have been taken on the materials during archiving.

### Low-effort archiving

Archive Holders are asked to undertake low-effort archiving for WEST. Archive Holders typically retain low-risk materials for WEST (journals that are electronically available in trusted digital repositories), but may also be asked to retain higher-risk materials when no Archive Builder holds them in their collection. Archive Holders are not asked to undertake any physical validation of the materials they retain for WEST; as such, Archive Holders are only required to disclose the archiving commitment, and are not required to disclose any additional archiving actions. Archive Builders also engage in low-effort archiving of low-risk materials.

- **Good:** Add 583\$a “committed to retain” with all required retention information detailed in [Appendix 1](#).
- **Better:** Verify local inventory and update holdings statements as needed. Add 583\$a “completeness reviewed” to indicate this review took place.
- **Best:** Validate physical holdings for completeness at the issue level (as described in the [WEST Validation Standards & Procedures](#)), update holdings statements as needed, and record validation activity and findings in 583\$a “completeness reviewed” with \$I / \$z pairs (e.g., 583\$a completeness reviewed...\$I missing volumes \$z missing v.14,v.21).

### High-effort archiving

Archive Builders are asked to undertake higher-effort in-depth validation activities when archiving medium- and high-risk materials for WEST. This work ensures that the WEST-retained backfile is as complete as possible, and provides WEST members and the wider community with additional confidence in the retained holdings.

- **Good:**
  - Add 583\$a “committed to retain.”
  - Validate physical holdings for completeness at the issue level (as described in the [WEST Validation Standards & Procedures](#)), update holdings statements as needed, and record validation activity and findings in 583\$a “completeness reviewed” with \$l / \$z pairs.
  - Perform a basic condition check and add 583\$a “condition reviewed” to indicate this check took place.
  - Transfer materials to an optimal storage environment (as described in the [WEST Environmental Standards](#)).
- **Better:** Add 583\$a “transferred to optimal storage.”
- **Best:** Validate physical holdings for condition at the issue level (as described in the [WEST Validation Standards & Procedures](#)), update holdings statements as needed, and record validation activity and findings in 583\$a “condition reviewed” with \$l / \$z pairs (e.g., 583\$a condition reviewed...\$l tight binding \$z tight binding v.51-53,v.72).

### *Materials contributed to the Archives by other institutions*

Materials contributed to the archives by other institutions after the initial disclosure should be validated in alignment with the rest of the holdings retained for that title. The Summary Holdings and 583\$l / \$z pairs should be updated as necessary to reflect the newly incorporated materials. Optionally, the Archiver may decide to include information about which materials were validated separately and on what date.

- **Good:** Update Summary Holdings and 583 \$l / \$z pairs to include the newly accessioned materials and validation outcomes. Add the 561 Ownership and Custodial History to indicate which institution contributed materials.
- **Better:** Add 583\$x Nonpublic Note to the existing 583 validation note(s) to record the date of validation and which materials were validated separately from the rest of the archived backfile.

### Disclosing revalidation activities and outcomes

There are some circumstances where Archivers are required to revalidate archived materials, described in-depth in the [WEST Validation Standards & Procedures](#):

- Resource sharing
- Missing materials
- Disaster

When revalidating archived backfiles, either entire runs or specific pieces, Archivers are expected to update the Summary Holdings and \$l / \$z pairs as necessary. Additional information may be updated or added at the Archivers’ discretion.

- **Good:** Update Summary Holdings and \$l / \$z pairs as needed to reflect the current held materials and any completeness and/or condition problems that are found in the archived materials.
- **Better:** Add \$x Nonpublic Note to the appropriate 583 validation note to describe which materials were validated and on what date (e.g., “\$x 20220202 v.11-14”). If revalidating the entire archived backfile, update the \$c in the appropriate 583 validation note and add a \$x Nonpublic Note that the materials were revalidated.

## 2. Where to disclose retention status

WEST promotes disclosure as an activity to support both identifying specific materials that are retained for the WEST program as well as to highlight the work of shared print initiatives in general. To meet both of these ends, WEST disclosure should occur in local, regional, and (inter)national outlets:

1. [Your Local System](#) (*required*): Record information about WEST materials in the library’s local integrated library system (ILS) or library services platform (LSP) and consortial ILS or LSP as appropriate for local needs.
2. [OCLC WorldCat](#) (*required*): Record information in OCLC WorldCat about each title archived in WEST using [OCLC’s shared print registration service](#) to support resource sharing and global discovery.



3. [AGUA](#) (required): Provide records of WEST archived materials to AGUA at the end of each WEST Archiving Cycle to support collection analysis within WEST and other shared print programs.
  - a. [PAPR](#) (WEST-coordinated): WEST will forward these records to the Center for Research Libraries (CRL) [Print Archives Preservation Registry \(PAPR\)](#). Archive Holders should not provide records directly to CRL.
4. [JRNL](#) (encouraged): Submit holdings and gap statements to the Journal Retention and Needs Listing (JRNL) tool to solicit replacement copies of missing or damaged volumes from other institutions.

## 1. Your local system

- **Good:** Add the above [required and \(if available\) recommended information](#) to the records in your local ILS/LSP and consortial ILS/LSP to ensure retained holdings are easily identifiable to library staff to prevent accidental or inadvertent withdrawal of committed holdings.
- **Better:** Display WEST retention status in your OPAC or public discovery layer to advertise to end users that your institution participates in the WEST shared print program, e.g. by including a public note in the record that the holdings are “Committed to retain for the WEST Shared Print Program.”
- **Best:** Include a link in the OPAC/public discovery layer back to the [WEST program website](#) to provide users with resources to learn more about the program.

For all retained titles, record retention and any available validation information in the 583 as described above in the library's local catalog system to support future record updates and to ensure that the retention status is marked to prevent accidental and inadvertent withdrawal of retained materials. WEST archivers may find that differentiating their WEST-retained materials from general collections materials using other fields in addition to the 583 facilitates identification of these materials by library staff.

WEST encourages making archived materials' retention status visible to patrons to highlight your library's participation in the WEST shared print program and to make retention status clear to staff who may not log in to the staff ILS/LSP client.

## 2. OCLC

Records for WEST retained materials are maintained on the archiving institution's primary OCLC Institution Symbol. Archiving institutions are responsible for creating and maintaining Local Holdings Records (LHRs) in OCLC WorldCat and for registering those LHRs in OCLC as shared print to support broad discovery of these materials.<sup>6</sup>

For those members who choose to have their retention commitments registered by WEST or CRL, this process will happen once per year in conjunction with the WEST disclosure period. For those who elect to self-register, updating your holdings in OCLC more frequently according to local needs and capacity is preferred in order to maintain their accuracy.

### OCLC Local Holdings Records (LHRs)

For each retained title, create or update a “Local Holdings Record” (LHR) in OCLC to define the holdings archived, the print archiving program(s), retention commitment, and outcomes of validation as specified in the [WEST Validation Standards & Procedures](#); see [Appendix 1](#) for a detailed list of the LHR fields and subfields to include for WEST materials. Most of the print archiving information is recorded in the 583 Action Note, described above.

#### *Batch creation of OCLC LHRs*

WEST encourages Archive Holders and Archive Builders to create the necessary OCLC LHRs through batch processing to the extent possible. This is especially true for low-effort archiving, where the WEST principle of “appropriate level of archiving effort”

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<sup>6</sup> In this context, the LHR is the OCLC record that states what your local holdings are, not the holdings record in your local system. For more information about OCLC LHRs, see OCLC's documentation: [https://help.oclc.org/Metadata\\_Services/Local\\_Holdings\\_Maintenance/OCLC\\_MARC\\_local\\_holdings\\_format\\_and\\_standards/Introduction/10OCLC\\_local\\_holdings\\_records](https://help.oclc.org/Metadata_Services/Local_Holdings_Maintenance/OCLC_MARC_local_holdings_format_and_standards/Introduction/10OCLC_local_holdings_records)

indicates that libraries should not individually process the volumes and metadata for low-risk titles, but rather should use the least intensive means possible to identify these holdings as retained for WEST. 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.

### *Retaining and disclosing partial runs*

Per the [definition of 'backfile'](#), WEST Archive Holders may commit the entire run to WEST to minimize cataloging effort, provided that archiving all volumes of the title will meet campus needs. This approach would be especially useful for low-risk titles, which may remain in their original shelving location. If an Archive Holder commits only part of their holdings for WEST retention, they may elect whether to maintain two separate LHRs (one for the committed materials and one for the general collections materials), or to maintain a single LHR and use the 583\$3 to specify which materials are retained for WEST. If an Archive Holder commits their entire run of a journal for which they have an active subscription, the Archive Holder should use local cataloging practices to identify open holdings. If a subscription is ended or publication ceases, Archivers should close the holdings statement and provide updated disclosure records to WEST.

### Registering Shared Print

All retained holdings will be registered with OCLC to aid in discovery of shared print materials by the broader shared print and scholarly communities. OCLC registration requires Data Sync processing in WorldShare Collection Manager. [There are several options for registering your shared print commitments with OCLC depending on your current practices](#). Archiving institutions may choose to self-register their commitments, or can elect to have CRL register their commitments on their behalf, using the disclosure records provided to AGUA and then PAPR each year during the WEST disclosure period.

1. For institutions that already have an ongoing Data Sync Collection in OCLC Collection Manager, it is recommended they work with their OCLC Data Sync Analyst to update their Data Sync collection to set the shared print 'flag' in the course of normal update workflows. Updates made in OCLC will be regularly synced to PAPR without the archiving institution's intervention.
2. Institutions that update only their shared print holdings in OCLC Collection Manager (and do not update holdings for general collections) may elect to either register their own commitments using established workflows with the registration process outlined above, or authorize CRL to update their shared print holdings on their behalf. CRL will only update OCLC once per year, according to WEST's disclosure timeline, using the disclosure records provided to AGUA that are shared with PAPR.
3. Institutions that do not submit updates to OCLC should designate CRL as an authorized agent to submit updates to OCLC on their behalf. Updates will be provided to OCLC once per year, according to WEST's disclosure timeline, using the disclosure records provided to AGUA that are shared with PAPR.

Please note that batch updating of LHRs in WorldCat requires that all LHRs belonging to a given title and Institution Symbol be resubmitted for any change. WEST Archivers who are not sure which registration method to adopt should consult with the WEST project team to determine the best course of action.

### Discovery in WorldCat

WEST 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 FirstSearch.* Holdings registered through the shared print registration service will automatically appear in WorldCat.org and FirstSearch. Holdings registered as shared print will include a designation in FirstSearch search results that they are "committed to retain."<sup>7</sup>

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<sup>7</sup> As of March 2021, the shared print flag does not display on title level holdings in WorldCat.org. The shared print community continues to advocate for heightened visibility of shared print materials in OCLC products.

- *Resource Sharing through OCLC Groups.* WEST has implemented an OCLC Profiled Group (formerly called Group Access Capability (GAC)) to facilitate resource sharing amongst WEST member institutions and ensure that all members have access to all archived materials. A Profiled Group consists of libraries that have agreed to certain terms of service within the group and have agreed to use OCLC's resource sharing system, and is used in automated borrowing workflows. The WEST Project Team will maintain this list to ensure all members' primary OCLC institution symbols are included in the group. The Profiled Group membership list is publicly available to members for transparency and to facilitate establishing Custom Holdings Groups for manual borrowing processing.<sup>8</sup>
- *Other OCLC services.* Shared print registrations are indexed in a number of OCLC products used by library staff. For a full list of OCLC products and services where shared print retentions may be viewed, see OCLC's documentation: [https://help.oclc.org/Metadata\\_Services/Shared\\_Print/View\\_shared\\_print\\_retention\\_commitments](https://help.oclc.org/Metadata_Services/Shared_Print/View_shared_print_retention_commitments)

### 3. AGUA

At the end of each WEST Archiving Cycle (March/April of each year), WEST archivers will provide records of WEST archived materials to [AGUA](#), WEST's collection analysis tool and retention reporting service maintained and operated by the California Digital Library (CDL). WEST uses AGUA during each Archiving Cycle to perform overlap analysis of WEST library holdings and to propose Archive Holders/Builders for journal families and titles belonging to WEST Title Categories. In order to prepare effective Archive Holder/Builder proposals, it is necessary to record in AGUA which titles have already been archived under the WEST program.

AGUA is designed to ingest the same LHRs (MARC Formatted Holdings Data) that WEST libraries create for batch loading to OCLC. Both systems use a common file format and data standard for importing records. WEST libraries are expected to submit LHRs of archived holdings to the AGUA system only once per year, on a timetable to support the WEST Archiving Cycle. WEST archivers should plan their archiving projects such that they are able to complete all archiving activities (metadata updates and physical validation activities) by the beginning of the annual disclosure period so they are able to submit disclosures for the totality of the previous Cycle's archiving commitments.

WEST libraries are expected to update archived holdings to the extent necessary to record receipt of volumes to fill gaps, as specified in the [WEST Validation Standards](#).

When preparing disclosure files, WEST archivers should include all archived holdings, not just holdings retained in the most recent archiving year. This "full refresh" will ensure that AGUA includes any updates the archivers have made to local records (changes in holdings, metadata enhancements, etc.) as well as records of newly retained materials.

#### a. PAPR

No action is required from member institutions for their retained holdings to be included in PAPR. WEST submits updated information each year to PAPR after the close of the disclosure period. Institutions that self-register retention commitments in OCLC will see those new or updated holdings reflected in PAPR on a rolling basis.

### 4. JRNL

All WEST Archive Holders and Builders are encouraged to participate in the [Journal Retention and Needs Listing \(JRNL\)](#) tool hosted and maintained by the University of Florida. WEST generates files for each Archiver listing holdings and gap statements based on disclosures submitted each year. Members are encouraged to upload these files to JRNL to solicit gap fills from other participating institutions, and to accept offers from participating JRNL institutions to replace missing volumes and complete runs of journal backfiles. Due to the structure of the JRNL system, WEST is not able to upload these files for members. For more information about the JRNL tool, please see the informational LibGuide hosted by the University of Florida:

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<sup>8</sup> For more information on OCLC Profiled Groups and Custom Holdings Groups, see OCLC documentation on [Custom Holdings Groups](#) and [Custom Holdings Paths](#).

<https://guides.uflib.ufl.edu/JRNL>. For instructions for using AGUA and the JRNL tool, please refer to the [WEST AGUA JRNL Instructions](#).

- **Good:** No action required
- **Better:** Upload holdings with gap statements into JRNL on a yearly basis, using JRNL export files generated by AGUA
- **Best:** Update gap statements in JRNL on a rolling basis to maintain currency and accuracy

## Appendix 1: Details for selected fields and subfields required for disclosure

This section contains detailed information on the fields and subfields required and recommended for disclosure, including descriptions and, where appropriate, examples that illustrate what information should be included in a given (sub)field.

### Summary of fields required for disclosure

A number of fields are required for disclosure of WEST-retained materials:

- **852 Location:** An LHR identifies the holdings for a given title at a given location (Institution Symbol).
- **85x/86x or 866/867/868 Holdings:** The holdings committed to WEST 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 year 2020 (or the end of publication, whichever comes first.) See the [WEST Standards for Issue and Volume Validation](#) for complete details. Note that high-effort WEST archiving includes supplements and indexes that may have been published for that title. Enter these holdings as coded (formatted) detailed holdings if possible, otherwise enter a summary holdings statement.
- **022 International Standard Serial Number (ISSN):** The ISSN is a very important match point for collection analysis in AGUA. Including the ISSN in the LHR enables libraries to send LHRs only to AGUA. 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 AGUA.
- **561 Ownership and Custodial History:** It is important to identify the original owner(s) of materials committed to WEST, so that future Archive Holder/Builder proposals will not re-propose this title to the same owners. This will be used most frequently when filling gaps in higher-risk holdings, but should also be used if gaps are filled in low-risk holdings.
- **583 Action Note:** Most of the WEST-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 (required for all WEST archived holdings); 2) a 583 note describing Completeness validation (required for high-effort archiving); 3) a 583 note describing Condition review (required for high-effort archiving).

## General information for disclosure

<b>Tag and subfield(s)</b>	<b>Name</b>	<b>Description</b>	<b>Example</b>
852 ‡a	Location	OCLC Institution Symbol for the Archive Holder.	‡a ZAS [UC SRLF example]
852 ‡b	Sublocation	Holdings Location Code (HLC) where the archived volumes are physically located at the Archive Holder library or storage facility.	
85x/86x	Coded holdings (formatted holdings pairs) for basic bibliographic units. When conducting high-effort archiving, also include supplements and indexes.		
866/867/868	Summary holdings (text) if no 85x/86x formatted holdings pairs.		
022 ‡a	ISSN	ISSN for the title record. If there is more than one ISSN in the bibliographic record, use the first one.	
561 ‡a	History	OCLC Institution Symbol of library that provided materials to the WEST Archive Holder identified in 852 ‡a Location.	‡a WAU [University of Washington example]
561 ‡3	Materials specified	Optional. If used, identifies the holdings originally owned and contributed by the institution identified in ‡a History. <i>Not required for WEST.</i>	
561 ‡5	Institution	If applicable, the MARC organization code for the original owner. <i>Not required for WEST</i>	

## 583 Action Note

Most of the WEST-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 (required for all WEST archived holdings); 2) a 583 note describing Completeness validation (required for high-effort archiving); 3) a 583 note describing Condition validation (required for high-effort archiving).

### 1. Retention Note (required for all WEST archived holdings)

<b>Tag and subfield(s)</b>	<b>Name</b>	<b>Description</b>	<b>Example</b>
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 866/867/868). 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. For all titles archived for WEST, the 583 action note is “committed to retain.”	‡a committed to retain
583 ‡c	Time/Date of Action	Date this title was committed to WEST (YYYYMMDD)	
583 ‡d	Action interval	The standard retention date for all WEST materials, regardless of when the holdings were ingested and validated. (This date is 25 years from the beginning of WEST.) (YYYYMMDD)	‡d 20351231
583 ‡f	Authorization	Repeatable field containing the name(s) of the archiving program(s). If the holdings are retained for multiple shared print programs, also include any other programs that may apply to this record.	‡f WEST ‡f UCL Shared Print
‡u Uniform Resource Identifier	Link to program documentation for print archiving program identified in ‡f)	The URL for the WEST Program Statement.	‡u <a href="http://www.cdlib.org/services/west/docs/WESTProgramStatement.pdf">http://www.cdlib.org/services/west/docs/WESTProgramStatement.pdf</a>
583 ‡5	Institution	If applicable, the MARC organization code for the Archive Holder. <i>Not required for WEST.</i>	

2. Completeness Note (required for high-effort archiving, optional for low-effort archiving)

Tag and subfield(s)	Name	Description	Example
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 866/867/868). 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 ‡5	Institution	If applicable, the MARC organization code for the Archive Holder. <i>Not required for WEST.</i>	
583 ‡a	Action	Type of preservation action. When materials have been validated for completeness, the 583 action note is “completeness reviewed”	‡a completeness reviewed
583 ‡c	Time/Date of Action	Date completeness review completed (YYYYMMDD). This subfield is only expected to be updated if the entire archived backfile is revalidated.	
583 ‡d	Action interval	Interval for performing the preservation action. This subfield should be used if the Archiver expects to revalidate materials regularly. <i>Not required for WEST.</i>	‡d every 5 years
583 ‡f	Authorization	Repeatable subfield containing the name(s) of the archiving program(s) that specified completeness review. If the holdings are validated for multiple shared print programs, also include any other programs that may apply to this record.	‡f WEST ‡f UCL Shared Print
583 ‡i	Method of Action	Indicate the level at which the holdings were validated for completeness (volume-level, issue-level, page-level).	‡i 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 <u>completeness</u> . If multiple statuses apply, enter multiple ‡l and ‡z pairs.		
583 ‡x	Nonpublic Note	Repeatable free text note field. Use is optional to record partial revalidation actions and dates. <i>Not required for WEST.</i>	‡x 20220202 v.11-14



*Completeness problems to record in the 583 Completeness Note:*

<b>‡  Status Term</b>	<b>‡z Public Note</b>	<b>Example</b>
Facsimile	Specify which units are facsimiles.	‡  facsimile ‡z v.3, 5, 7, facsimile of originals
Missing	Specify which units are missing. If pages are missing but the material remains usable, Archivers may choose to disclose what issues have missing pages.	‡  missing ‡z missing v.6 no.10 ‡  missing pages ‡z missing pages v.7 no.2
Reprints	Specify which units are reprints.	‡  Reprints ‡z reprints vol 22, issues 2-3

### 3. Condition Note (required for high-effort archiving, optional for low-effort archiving)

<b>Tag and subfield(s)</b>	<b>Name</b>	<b>Description</b>	<b>Example</b>
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 866/867/868). 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 ‡5	Institution	If applicable, the MARC organization code for the Archive Holder. <i>Not required for WEST.</i>	
583 ‡a	Action	Type of preservation action. When materials have been validated for condition, the 583 action note is “condition reviewed”	‡a condition reviewed
583 ‡c	Time/Date of Action	Date condition review completed (YYYYMMDD). This subfield is only expected to be updated if the entire archived backfile is revalidated.	
583 ‡d	Action interval	Interval for performing the preservation action. This subfield should be used if the Archiver expects to revalidate materials regularly. <i>Not required for WEST.</i>	‡d every 5 years
583 ‡f	Authorization	Repeatable subfield containing the name(s) of the archiving program(s) that specified condition review. If the holdings are validated for multiple shared print programs, also include any other programs that may apply to this record.	‡f WEST ‡f UCL Shared Print
583 ‡i	Method of Action	Indicate the level at which the holdings were validated for condition (volume-level, issue-level, page-level) <i>Not required for WEST.</i>	‡i issue-level
‡I Status and ‡z Public Note	Use pairs of ‡I Status and ‡z Public Note subfields to describe the results of validation for <u>condition</u> . If multiple statuses apply, enter multiple ‡I and ‡z pairs. See <a href="#">the OCLC detailed shared print metadata guidelines</a> for a comprehensive list of condition problems that are important to the Shared Print community. <i>Not required for WEST.</i>		

583 ‡x	Nonpublic Note	Repeatably free text note field. Use is optional to record partial revalidation actions and dates.  <i>Not required for WEST.</i>	‡x 20220202 v.11-14
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*Condition problems to record in the 583 Condition Note:*<sup>9</sup>

The WEST Validation Standards & Procedures do not require disclosure of specific condition problems. Archive Builders engaging in high-effort archiving are only required to add a simple note disclosing that a condition review was performed. Major condition problems that trigger removal from the WEST archives are described in the WEST Validation Standards & Procedures.

WEST Archivers wishing to voluntarily validate the condition of their WEST archived materials at a more granular level should look to the [OCLC detailed shared print metadata guidelines](#) for a comprehensive list of condition problems that are important to the Shared Print community.

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<sup>9</sup> Note that the WEST Validation Standards & Procedures describe additional conditions and actions that should be taken. See the WEST Validation Standards & Procedures for a complete list of WEST Validation Actions (adapted from the WEST Collections Model).

## Appendix 2: Sample Local Holdings Records (LHRs) for WEST Archived Materials

The following are intended only as examples of records for materials retained for WEST. These examples illustrate the disclosure notes. Examples are taken from disclosure records provided to WEST, and have been anonymized. Outputs from different ILSs are included to illustrate expected outputs from different systems.

### Alma ILS Output

```
LDR      02039cas a2200565 i 4500
001      2234500610003421
004      9910550009703421
005      20200625104028.0
007      ta
008      1107210u\\8\\1001aaeng0110728
022      \\$a0014-2565
035      \\$a (OCoLC)1763869
561      \\$aABC
583      \\$aCommitted to
          retain$c20190621$d20351231$fWEST$uhttp://www.cdlib.org/services/west/docs/WEST
          ProgramStatement.pdf
852      1\$82234500610003421$$aABC$bMAIN$hQP31$i.A28
853      33$82234500610003421.1$81$av.$i (year)
853      33$82234500610003421.2$82$av.$bno.$i (year)
853      33$82234500610003421.3$83$av.$i (year)
863      3\$82234500610003421.4$81.1$a50-73$i1953-1959
863      4\$82234500610003421.5$82.1$a74$b1-4,6$i1959$wg
863      3\$82234500610003421.6$83.1$a75-159$i1959-1980$x1953-1958, 1959 (incomplete),
          1960-1980$zCANCELED v.159 (1980)
```

### III ILS Output

```
LDR      00660ny 22002053n 4500
001      .c10505222
004      .b19431259
005      20200615102732
007      ta
008      1107210u\\8\\1001aaeng0110728
014      \\$a1588960$bOCoLC
022      0\$a0041-1612
030      \\$aTRNJA
035      \\$a (OCoLC)1588960
561      \\$aXYZ
583      1\$3v.9:no.1 (1959:Mar.)-v.16:no.1 (1966:Mar.),v.16:no.3 (1966:Sept.)-v.51:no.3 (2
          005:Dec.)$acommitted to
          retain$c20200630$d20351231$fWEST$uhttp://www.cdlib.org/services/west/docs/WEST
          ProgramStatement.pdf
583      1\$3v.9:no.1 (1959:Mar.)-v.16:no.1 (1966:Mar.),v.16:no.3 (1966:Sept.)-v.51:no.3 (2
          005:Dec.)$acompleteness
          reviewed$c20200630$fWEST+ivolume-level#lmissing#zmissing v.1-v.8
852      1\$aXYZ$bmain$hHE1$i.T8
866      \0$880$av.9:no.1 (1959:Mar.)-v.16:no.1 (1966:Mar.),v.16:no.3 (1966:Sept.)-v.51:no
          .3 (2005:Dec.)
```

## Voyager ILS Output

LDR 00660ny 22002053n 4500  
001 1178321  
004 1147367  
005 20190515104504.0  
007 ta  
008 9004215p\\\\\\8\\\\\\o000uueng1990609  
014 1\\\$a18161076\$bKU  
022 0\\\$a1047-2665  
035 \\\$a (OCoLC)18161076  
561 \\\$aWOW  
583 \\\$acommitted to  
retain\$c20190306\$d20351231\$fWEST\$uhttp://www.cdlib.org/services/west/docs/WEST  
ProgramStatement.pdf  
583 \\\$acompleteness reviewed\$c20190306\$fWEST\$iissue-level\$lmissing\$zmissing  
v.1:1-3; v.2:6; v.3:4  
583 \\\$acondition reviewed\$c20190306\$fWEST\$iissue-level  
852 01\$aWOW\$bannex\$hQL640\$i.V58  
853 20\$83\$av.\$bno.\$u6\$vr\$i (year) \$j (month) \$wb  
863 40\$83.1\$a3-11\$b5-2\$i1992-2000\$j01/02- 02/03  
866 40\$81\$av.3:no.5 (1992:Jan./Feb.)-v.11:no.2 (2000:Feb./Mar.)