AGUA User Manual

Western Regional Storage Trust

Archive Builder Supplement

1.   Table of Contents

2.   Introduction

Archive Builders retain medium- and high-risk titles for WEST. This work comes with additional responsibilities on top of committing to retain materials, including physical validation and seeking contributions from WEST members to fill gaps in local holdings to create a complete run of the title. This work enhances the integrity of the retained copy and ensures the most complete backfile is available for current and future scholars. This work is supported by WEST members via the Archive Creation Subsidy.

This document describes AGUA functions that are specific to Archive Builder activities.

I.   Set Archiving Commitments

Archive Holders and Archive Builders use this AGUA module during each cycle to review journal families proposed for archiving and to record their library's archiving decisions.

WEST recommends that you perform this review in the following sequence (details described after):

1. Select "Review Proposed Journals" from the main menu to see summaries of Title Categories and journals proposed for archiving at your institution (by OCLC symbol).
2. To see a full list of all journals that are being proposed for a title category, select the "Record Commitments" link in the Action column. If your file is "In_Progress," the link in the Action column will display "Resume Recording Commitments."
3. In the "Relevant reports" section at the top of the Record Commitments page, select "Preview Proposed Journals" to download and save files of the journals being proposed to your institution for that title category for local review and decision-making. Also available in this section is a report to "Preview WEST Holdings" for your proposed journals in that title category, which provides information about holdings at other WEST members that may facilitate future gap-filling.
4. Review your downloaded files for each Title Category offline using established local procedures.
5. Once your library has made its decisions for a given Title Category, return to the "Review Proposed Journals" page and select "Record Commitments" for that Title Category.
6. In the "Record Journal Commitments" function, record your library's commitments by selecting all or individual journal families. If you do not want to commit to a particular journal family in the current archiving cycle, select "Do not commit this cycle." If you do not want to commit to a particular journal family *and* you do not want to have it proposed again in the future, select "Do not commit or re-propose."
7. For medium risk level(Title Category 3) and high risk level journals(Title Categories 4 and 5), Archive Builders should save but do not submit final commitments until AFTER checking that commitments match the institution's archive creation budget in the Review Budget function.
8. When your decisions are final, submit your final commitment for that Title Category. Once final commitments are submitted for a Title Category, you may display and download a report detailing your Committed Journals for that Title Category. The report will be made available the day after the commitments are submitted.

A.   Record Journal Commitments - Builder Features

General instructions for reviewing archiving proposals can be found in the WEST AGUA User Manual (section 2.B.1).

The Record Journal Commitments pages for Title Categories 3, 4, and 5 include additional features to support Builder project planning, displayed in the yellow information box above the proposed journals table.

Figure 1: Record journal commitments page with additional Builder features highlighted

- **Estimated Volumes Committed**. This displays a dynamic calculation of the estimated volumes for all journals in that Title Category that have been selected for commitment. As you move through the list and make your selections, this number will automatically update to subtract the estimated volumes for any titles that are set as "Do Not Commit This Cycle" or "Do Not Commit or Re-Propose."
    - *Please note* that it is highly recommended that only one person work on a Title Category at a time. Having multiple people working on the same Title Category at the same time may result in database conflicts and loss of work.
- **Archive Creation Subsidy**. This is the subsidy amount calculated for the estimated volumes you are committing to retain. This is calculated by multiplying the Estimated Volumes Committed by the per-volume subsidy for the Title Category ($7 per volume for Title Categories 3, 4 and 5). This will dynamically update as you move through the list and update selections to "Do Not Commit."
- **Archive Builder Budget Remaining**. This sums the Archive Creation Subsidy for Title Categories 3, 4, and 5, and compares it against the full Archive Builder Budget that was set for your institution by the WEST Executive Committee during the collections analysis period. This will dynamically update as you move through the list and make your selections.
    - *Please note* that if another user at your institution is working on another Title Category, you will not see their changes reflected in this calculation until you refresh the page after both of you save your progress. It is highly recommended to Save and Quit and review your Archive Builder Budget (described below) before final submission for any Title Category.

This information is also displayed at the end of the page to support final review before saving or submitting selections.

Figure 2: Record journal commitments submission options

II.   Review Budgets

Archive Builder budgets are set by the WEST Executive Committee at the beginning of the Archive Cycle. Any medium and high risk level commitments must fall within the Builder's allotted budget. As Builders make commitments in Title Categories 3, 4, and 5, this table will reflect the estimated number of volumes that are committed and the corresponding subsidy the Builders will receive as they archive those materials.

To access the Review Budgets page, the user must have "Builder" permissions set for their AGUA account. This permission can be granted by your institution's Campus Admin or by WEST staff.

Archive Builder Budget

| Institution | Budget | Title Category 3 ($7.00) | | Title Category 4 ($7.00) | | Title Category 5 ($7.00) | | Totals | |
		Volumes	Value	Volumes	Value	Volumes	Value	Value	Remaining Budget
Arizona State University	$0.00	0	$0.00	0	$0.00	0	$0.00	$0.00	$0.00
University of California, NRLF	$100,000.00	0	$0.00	0	$0.00	0	$0.00	$0.00	$100,000.00
University of California, SRLF	$88,000.00	0	$0.00	0	$0.00	0	$0.00	$0.00	$88,000.00
University of Denver	$0.00	0	$0.00	0	$0.00	0	$0.00	$0.00	$0.00
University of Kansas	$0.00	0	$0.00	0	$0.00	0	$0.00	$0.00	$0.00
University of Missouri	$22,000.00	0	$0.00	0	$0.00	0	$0.00	$0.00	$22,000.00
Total	$210,000.00	0	$0.00	0	$0.00	0	$0.00	$0.00	$210,000.00

Figure 3: Archive Builder Budget Review table

At the beginning of the Archive Cycle, this table will reflect the entire subsidy calculation based on all proposed journals in Title Categories 3, 4, and 5: most institutions will initially have significant negative values in the "Remaining Budget" column (as shown in Figure 3). As you review your journal proposals and select which journals you will not commit to retain, the totals in this table will update to reflect the current subsidy (you must save your progress in the Review Proposed Journals pages in order for this table to update). The goal is to get the "Remaining Budget" column for your institution as close to zero as possible.

III.   Request Holdings

A.   Introduction and purpose

This interface allows Builders to review and compare local holdings for committed medium and high risk level titles against other WEST members' (called Contributors in this document) holdings and record and track the request and receipt of materials to fill gaps in local Builder holdings to complete the WEST archives.

The work is divided by Title Category for each Archiving Cycle. Once the Builder has completed the review of all titles committed in a Title Category for an Archiving Cycle and recorded the volumes/issues they will request for each, the interface can be used to generate reports to share with the Contributors to facilitate review of and response to the requests. After the Contributors respond to the requests, Builders can record the materials received and/or update the status of the requests at the holdings and title levels as needed.

1. Requirements for use

This function is currently only available to users affiliated with Archive Builder institutions. Users must have the "Builder" role assigned to their account to see this option in the AGUA dashboard.

2. Navigating the AGUA interface

Log into AGUA, select the "Request Holdings" link in the Functions box.

The next page will display a list of Archive Cycles and the Title Categories in which commitments were made.

Figure 4: Call for Holdings landing page (partial)

There are two pathways for using this tool:

1. Selecting a specific Title Category within a specific Archiving Cycle and reviewing all journal families and associated titles that were committed for retention
2. Searching for a specific title or journal family that was committed for retention in any Title Category or Archiving Cycle

Selecting a Title Category will open a Request Holdings detail page which lists each Journal Family, Title, and Holdings (both Builder holdings and Contributor holdings) which the Builder committed to retain for WEST in that Title Category for that Archive Cycle.

- ***Please note*** that it is highly recommended that only one person work on a Title Category for a given OCLC symbol at a time. Having multiple people working on the same Title Category at the same OCLC symbol at the same time may result in database conflicts and loss of work.

Using the search functionality will return the specific title or journal family (with all associated titles) and all Builder and Contributor holdings.

- ***Please note*** that it is highly recommended that only one person work on Calls for Holdings when using the Search workflow. Since this workflow makes it possible to make changes in multiple Title Categories/Archive Cycles/OCLC Symbols within the same session, having multiple people doing this work at the same time may result in database conflicts and loss of work.

3. Elements of the Call for Holdings landing page

The Call for Holdings landing page includes the following elements:

1. Generate All Reports buttons
2. Search
3. Title Category selection table

Search and the Title Category selection table are used to access the detailed information about the journal families and associated titles that have been committed for retention as well as members' holdings information for those titles that have been provided to WEST.

The Generate All reports button will download a zip folder to your computer that contains reports for each Contributor institution that lists the titles and holdings that are being requested (holdings-level request status is "In Progress") for *all* Title Categories and Archiving Cycles. These may be emailed directly to the Contributors to facilitate review and response.

Clicking on the "Generate Received Reports" button will download a single csv file to your computer that lists all holdings with Declined, Canceled, and Received holdings-level request statuses for *all* Title Categories and Archiving Cycles.

More information on the contents of these reports is available in the Request Reports and Received Reports sections below.

4. Elements of the Request Holdings Detail page

The Request Holdings Detail page is arranged in the following order:
3. Journal Family
4. Title
5. Holdings

These elements are nested to support Builder review and request selection workflows: all titles associated with a Journal Family are grouped together under the Ulrich's ID (in OCLC Number order) and all holdings associated with an OCLC Number are group together under that OCLC Number (first the Builder holdings followed by the Contributor holdings in alphabetical order by Institution Symbol).

Request Holdings

This interface lists all journals committed by the Archive Builder for this Title Category in this Archive Cycle. Builders may use this interface to review their local holdings and compare against other WEST members' holdings, and to record requests for materials and what materials were received. Detailed instructions for using this interface are available in the WEST AGUA User Manual - Archive Builder Supplement.

Please note that large files will take longer to load.

Builder ZAP, Archive Cycle 1, Title Category 4

Ulrichs Title (Journal Family)						Ulrichs ID
Graduate Study in Psychology						103252

Title	OCLC	ISSN	Years	Builder Bib ID	Requests Sent	Request Status
Graduate study in psychology.	1411465	0072-5277	1969-1984	01411465	0	○ Open ● Complete ● Closed
Builder University of California, NRLF (ZAP)	1968/69(1), 1970/71(3)-1983/84(16)		25% held	missing issues missing 1969/70(2)		
Contributor University of California, SRLF (ZAS)	1968/1969-1976/1977,1978/ 1979-1980/1981,1982/1983- 1983/1984		106% held	**Requested**	**Received**	● Not started ○ In progress ○ Declined ○ Cancelled ○ Received
Contributor University of California, Santa Barbara (CUT)	Per P.Dawson 05/20/99, keep all items in SRLF only, 4th (1971/1972)-5th (1974/1975),13th (1980/1981),16th (1983/1984)		88% held	**Requested**	**Received**	● Not started ○ In progress ○ Declined ○ Cancelled ○ Received

Figure 5: Request Holdings detail page (partial)

i. Journal Family Information

Journal family-level information is displayed in the orange bars; a new orange bar on the screen indicates the beginning of a new journal family. This bar displays the Ulrich's Title for the journal family and the Ulrich's ID. When using the Search functionality, this orange bar will also include Archive Cycle and Title Category information.

ii. Title Information

Title-level information is displayed in dark grey bars; each grey bar on the screen indicates the beginning of a title. The following title-level information is included in this section:

- Title
- OCLC number
- ISSN (if available)
- Years (from the OCLC bib 008 date_1/date_2 fields)
- Builder Bib ID (if the Builder has holdings for the title)
- Requests Sent (calculated dynamically as requests are made for individual holdings)
- Request Status

Three title-level Request Statuses are available for Builder selection:

- **Open**. The default value. Builders have either not begun making requests for this title, or have not completed the required number of requests.
- **Complete**. All requests for this title have been completed successfully and there are no gaps remaining. This may also be used if the Builder has no gaps in their local holdings and does not need to make any requests.
- **Closed**. The Builder has made the required number of requests but has not been able to fill all gaps in the retained holdings.

iii. Holdings Information

Holdings-level information is displayed below each title. Builder holdings are displayed first, followed by Contributor holdings sorted in descending order by estimated completeness.

The Builder holdings row will display the Builder's local holdings statement, as supplied to WEST (if the Builder did not supply any holdings to WEST for this title, the Builder holdings will be blank), as well as the estimated completeness of those holdings (as compared to the publication years) and any completeness validation notes that are present in disclosure records.

Contributor holdings rows will include the Contributor's local holdings (as supplied to WEST; Contributors that do not supply holdings to WEST for this title will not appear in the list), the estimated completeness of those holdings (as compared to the publication years), a free-text box for recording which materials will be requested from that institution, a free-text box for recording which materials have been received from that institution (and/or notes on the outcome of the request, as desired), and a list of holdings-level request statuses used to track on the outcome of each request made to a Contributor institution. Five holdings-level request statuses are available:

- **Not started**. The default value. No action has been taken on these holdings.
- **In progress**. The Builder has requested some or all of the Contributor's holdings but has not yet received a response.
- **Declined**. The Contributor has declined to provide any of the requested materials.
- **Canceled**. The Builder has canceled the request for the materials.
- **Received**. The Contributor has provided some or all of the requested materials and the Builder has received them.

iv. Reports

At the bottom of the Request Holdings Detail page are two buttons for generating reports of all In Progress requests ("Request Reports") and any Declined, Canceled, and Received requests ("Received Reports").

Figure 6: Generate Reports buttons

Clicking on the "Generate Request Reports" button will download a zip folder to your computer that contains reports for each Contributor institution that lists the titles and holdings that are being requested (holdings-level request status is "In Progress") for that Title Category. These may be emailed directly to the Contributors to facilitate review and response.

Clicking on the "Generate Received Reports" button will download a single csv file to your computer that lists all holdings with Declined, Canceled, and Received holdings-level request statuses in that Title Category.

Alternatively, users may download Request and Received reports for *all* Title Categories using the buttons on the Request Holdings landing page.

Figure 7: Generate All Reports buttons

More information on the contents of these reports is available in the Request Reports and Received Reports sections below.

● ***Please note*** that these report generation buttons are not available from search results pages. If using the search functionality, Builders will need to use the report generation buttons on the Call for Holdings landing page, or to use the individual Title Category report generation buttons to export this information.

B.   Requests workflow

There are two general workflows available for reviewing holdings and recording requests: searching for individual titles or journal families, and reviewing the full list of commitments for a given Archiving Cycle / Title Category.

The Search functionality allows the user to go directly to a specific title or journal family, regardless of Archiving Cycle or Title Category, and conduct request/receive work. In both cases, the recommended workflow for reviewing holdings and recording requests is identical.

● ***Please note*** that it is highly recommended that only one person work on a Title Category for a given OCLC symbol at a time when reviewing the full list of commitments for a given Archiving Cycle / Title Category. Having multiple people working on the same Title Category at the same OCLC symbol at the same time may result in database conflicts and loss of work.
● ***Please note*** that it is highly recommended that only one person work on Calls for Holdings when using the Search workflow. Since this workflow makes it possible to make changes in multiple Title Categories/Archive Cycles/OCLC Symbols within the same session, having multiple people doing this work at the same time may result in database conflicts and loss of work.

To begin the process, select the desired Archiving Cycle / Title Category to review the full list of commitments OR search for a specific title or journal family (users may search by OCLC number, ISSN, or journal family ID). ***Please note*** that Builders with multiple OCLC symbols associated with their institution in AGUA will need to select which OCLC symbol to search before proceeding.

1. For each Title, review Builder Holdings and completeness validation notes to determine what, if any, gaps exist, and review Contributor Holdings to determine which, if any, institution holds those materials and may be able to provide them to complete the archive.
2. Record requests in the "Requested" free text box.
   a. **Note**: Avoid inputting only numbers, e.g., 1-10. This will not display as "1-10" in the csv files that are generated by the interface. Instead, list "v.1-10" or "1(1938)-10(1948)."
   b. **Note**: When the page is first opened, please wait for the page to finish loading before making any changes on the page. Any changes made while the page is still loading may not be saved.
3. Update the Holdings Request Status to In Progress.
   a. **Note**: The Holdings Request Status must be updated to In Progress for the request to appear in the Request Report.
4. Changes will save automatically.
5. Repeat for any additional Contributor Holdings from which materials are desired.

Repeat this process as desired for any additional Titles and/or Journal Families.

1. Request Reports

After recording request selections, download request reports for each Contributor from which you are requesting materials.

- If using the Search functionality, use the Generate All Request Reports option on the Request Holdings landing page. This report will include all In Progress requests from all Archiving Cycles/Title Categories.
- If working in a single Archiving Cycle/Title Category, use the Generate Request Reports option at the bottom of that review page. Reports generated via this option will only include In Progress requests for that specific Archiving Cycle/Title Category.

Both options will download a zip folder to your computer that contains csv files for each institution that includes information about the titles and holdings you are requesting from them. The reports will include all holdings with request status "In Progress."

The zip folder file name uses the following naming convention:

request_holdings_<Builder symbol>_<cycle>_<title category>_<date generated>_<time generated>.zip

The report files use the following naming convention:

contributor_<Contributor symbol>.csv

The following fields are included in the Request Reports:

Request Report Fields	Notes
Ulrichs ID	
Publication Title	
OCLC Number	
ISSN	
Contributor Bib ID	
Contributor Holdings Location	
Contributor Summary Holdings	
Holdings Requested	Builder input from request interface
Archive Builder	Institution name
Archive Builder Symbol	OCLC Symbol
Archive Builder Contact	AGUA Primary Contact
Archive Builder Contact Email	AGUA Primary Contact Email
Builder Bib ID	
Contributor Institution	Institution name
Contributor Institution Symbol	OCLC Symbol
Contributor Institution Contact	AGUA Primary Contact
Contributor Institution Contact Email	AGUA Primary Contact Email
Archive Cycle	
Title Category	
Date requested	Date the Requested data was input into text box (Automatically gathered)

Table 1: List of Request Report fields, with notes

C.   Receiving workflow

As Contributors respond to requests, Builders can record the outcomes in the interface. As with the Requests workflows detailed above, it is highly recommended that only one person use the Request Holdings tool at a time. Having multiple people doing this work at the same time may result in database conflicts and loss of work.

The following workflow is recommended:

1. Select the desired Archiving Cycle / Title Category to review the full list of commitments OR search for a specific title or journal family (users may search by OCLC number, ISSN, or journal family ID).
2. Record the materials received (if any) in the Received free text box for the Contributor. This box can also be used to record additional notes.
3. Select the most accurate Holdings Request status:
   a. **Declined**. The Contributor declined to provide any materials that were requested.
   b. **Canceled**. The Builder has canceled the request for any reason.
   c. **Received**. Requested materials were received from the Contributor. This should be used for both full and partial contributions.
4. Changes will save automatically.
5. If the required number of requests have been placed and outcomes recorded, update the Title-level Request status to Complete (indicating that there are no gaps in the archived holdings) or Closed (indicating that the Builder has made the required number of requests [or as many as possible with the number of contributors and their holdings coverage] but has not been successful filling all gaps).

Repeat this process as desired for any additional Titles and/or Journal Families where Contributors have responded to the request..

2. Received Reports

While it is not necessary for Builders to track requests or receipts outside of the AGUA interface, they may need to export the Received data from time to time in order to update their local records to reflect contributions received from WEST Contributors. These reports may also be useful for analyzing the success of calls for holdings to specific Contributors and overall. Title level received reports are not available at this time.

To download the Received report, click the "Generate Received Reports" button at the bottom of the page. This will download a single csv file to your computer that includes title and holdings information for all Contributors where any holdings are marked as Holdings-level Request Status Declined, Canceled, or Received.

The Received Report uses the following naming convention:

received_holdings_<Builder symbol>_<cycle>_<title category>_<date generated>_<time generated>.zip

The following fields are included in the Received Reports:

Report Fields	Notes
Ulrichs ID	
Publication Title	
OCLC Number	
ISSN	
Contributor Bib ID	
Contributor Holdings Location	
Contributor Summary Holdings	
Holdings Received	
Builder Bib ID	
Contributor Institution	
Contributor Institution Symbol	
Contributor Institution Contact	
Contributor Institution Contact Email	

Archive Cycle	
Title Category	
Date Received	Date the Received data was input into text box (Automatically gathered)
Request Status	Include all holdings with Holdings Request Status Received, Declined, and Canceled

Table 2: List of Received Report fields, with notes