



Western Regional Storage Trust

# AGUA User Manual

---

# Table of Contents

<b>I. Introduction to AGUA</b>	<b>3</b>
<b>II. Login and logout</b>	<b>3</b>
A. First-time Login	3
B. Resetting Your Password	4
C. Logout	5
<b>III. Functions</b>	<b>5</b>
A. Upload Bibliographic and Holdings Data	5
B. Set Archiving Commitments	7
<b>IV. Reports and Downloads</b>	<b>11</b>
A. On Demand Comparison Report	12
B. My Institution's Reports	12
C. WEST Archived Collections	17
D. WEST Group Reports	18
<b>V. Contacts</b>	<b>18</b>
A. Contact WEST Staff	19
B. Institution Contact Roster	19
C. Member Institutions	19
<b>V. User Administration Functions</b>	<b>20</b>
A. Authorized roles	20
B. Update Your Account	21
C. Manage Your Library's Users	21
<b>Appendix 1: Using the On Demand Comparison Report tool</b>	<b>24</b>
A. Preparing your local title list	24
B. Running the On Demand Comparison Report	25
C. Downloading and reviewing your On Demand Collection Comparison Report	26
D. Filtering output reports	32
E. Interpreting results	35
<b>Appendix 2: Validator Reports Documentation</b>	<b>39</b>
AGUA Validator Report	39
Error Counts	39
Warning Counts	39
File Summary	40
CRL Validator Reporting	41
Errors	41

## I. Introduction to AGUA

AGUA is a user interface that provides access to various functions and reports to support WEST collection analysis and archiving.

URL: <https://agua.cdlib.org/west>

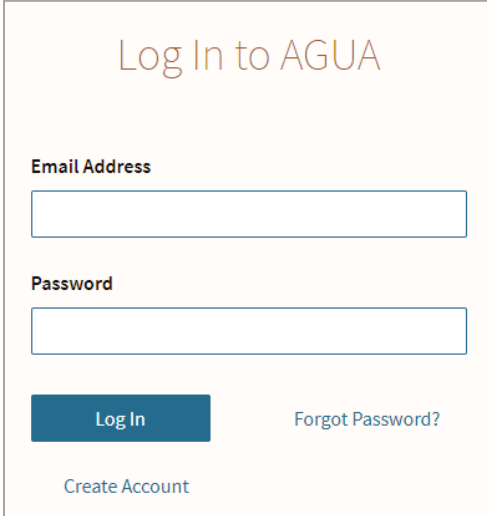
The AGUA Main Menu displays functions in three major areas: Member Functions, Reports and Downloads, and Contacts. The contents available under these headings will vary depending on your user permissions.

**Note:** To return to the main AGUA home page at any time, click on the “Western Regional Storage Trust | AGUA” text in the upper-left corner, which is available on all screens.

## II. Login and logout

Users must have user accounts in order to log in and access the AGUA system.

Login Screen:



The login screen features a light beige background with the title "Log In to AGUA" in a brown font at the top center. Below the title are two input fields: "Email Address" and "Password", each with a blue border. Under the "Email Address" field is a blue "Log In" button. To the right of the "Log In" button is a blue link labeled "Forgot Password?". At the bottom left of the form is a blue link labeled "Create Account".

Figure 1: AGUA login screen

### A. First-time Login

Any WEST member library staff member may use the “Create an Account” link below the login box to self-register for AGUA.

In the registration form, enter your full name, email address, password (and confirm), and select your WEST member institution from the pull-down list. Optionally you may also enter your job title and phone number. Click Create Account.

Figure 2: Create A New Account screen

The system will send a message to your registered email address to confirm the new account.

New users added through the “Create Account” function will be authorized for only two functional areas at this time: [Bibliographic and Holdings Data Ingest](#) and [Reports and Downloads](#). Additionally, all users have permission to [Update Your Account](#). WEST project staff and authorized library staff may authorize new users for additional functions.

## B. Resetting Your Password

If necessary, you may reset your AGUA password at any time by selecting the “Forgot Password?” link from the Login screen. (You don’t need to enter an Email Address or Password before clicking the reset link.)

You will be taken to a page to enter the email address you originally registered:

Figure 3: Reset password

The system will email a Password Reset link to you. **Please note:** The “Forgot Password?” option only works for email addresses that are already registered in the system.

Once you have received the Password Reset link by email, select the link provided to you. You will be asked to enter and confirm a password. Passwords must be between 8 and 15 characters.

### C. Logout

To logout at any time, click the “Log Out” link found in the dropdown menu under your name in the upper right hand corner of the screen. Your name and this menu will display on every screen, allowing you to [manage your account](#) or log out at any time. When you log out, the system will return to the Login screen.

## III. Functions

### A. Upload Bibliographic and Holdings Data

At various points in the year WEST members are asked to submit data, either for analysis (unarchived holdings) or to report archiving activity (retention disclosure). This submission process and some data review is performed directly in AGUA.

Files must follow this naming conventions:

#### Unarchived holdings ingest:

<OCLC symbol>.<ILS code>.<rec type>.<submission date>.<segment>.<extension>

During the unarchived ingest, anticipated file types are “bib,” “holdings,” or “combined.”

#### Disclosure:

<OCLC symbol>.<ILS code>.<type of file>.<date produced in yyyyymmdd format>

During disclosure, the file type should be “archived.”

Please note that your OCLC symbol must be followed by a period (.) for AGUA to accept it. If your OCLC symbol is not followed by a period in the file name, AGUA will reject it.

### 1. Upload Your File

AGUA offers two options for uploading a file: upload file from your desktop and upload file from remote server.

Upload Your Files

Only one file can be uploaded at a time. You may submit separate files for bibliographic and holdings data by completing the process for each file.

Upload from your device      Upload from remote server

Choose file to load

Choose file      Browse      Upload

Figure 4: Upload files to AGUA

### *i. Upload file from your device*

This option allows you to submit a file that is saved on your computer. This option is ideal for those members who do not have direct server access. This is the default file upload option.

To use this option, either select “browse” to open your native file explorer, then navigate to the file’s location and select your file. Once selected, click “upload” to submit your file.

### *ii. Upload from remote server*

This option allows you to use the command line to upload a file via a remote server. This option is appropriate for those members who have very large files and also have direct server access.

To use this option, select the “upload from remote server” tab, then follow the instructions on the screen to access your remote server, create the upload command, and upload your file from your server to AGUA.

## 2. Set Storage Location and Exclusion Flags

This function is used during the unarchived ingest period. On this page members will review the locations that were identified in their unarchived holdings by AGUA during the ingest process and mark which locations are storage (as opposed to open stacks), which should be excluded from overlap analysis, and which should be excluded from Archive Holder and/or Archive Builder proposal.

- **Storage Location.** Locations are part of storage facilities, meaning separate, secure, and dedicated facilities that can maintain certain environmental standards including: 30-70% relative humidity, temperature of less than 80 degrees F, and an Annual Time Weighted Preservation Index of 50 or better. Use the Select All option at the top of the column if all locations are storage. For more details, please see [WEST Environmental Standards](#) or contact [Alison Wohlers](#).
- **Overlap Analysis Exclusion.** All holdings at this location should be excluded from the analysis entirely. Examples of locations that should be excluded are microform, maps, gov docs, 'dummy' locations, non-print locations, and special collections. Checking this box will also check the “Holder Proposal Exclusion” and “Builder Proposal Exclusion” boxes.
- **Holder Proposal Exclusion.** Holdings at this location should not be proposed for archiving "in place" (for low risk titles). Please note that selecting an Archive Holder exclusion for a location does not automatically exclude that location from Archive Builder proposals. If you are participating in the analysis but do not wish to receive any archiving proposals, use the Select All option at the top of the column to exclude all of your locations from proposal.
- **Builder Proposal Exclusion.** Holdings at this location should not be proposed for archiving in storage. If you are not an Archive Builder, it is likely that you are selecting this exclusion for all your locations. If you are not an Archive Builder, use the Select All option at the top of the column.

Institution: Arizona State University		Status: IN_PROGRESS			
Holdings Location Code	OCLC SP Symbol	Storage Location	Overlap Analysis Exclusion	Holder Proposal Exclusion	Builder Proposal Exclusion
		<a href="#">Select All</a>		<a href="#">Select All</a>	<a href="#">Select All</a>
law-azref	AZC	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
law-core	AZC	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
law-elh	AZC	<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
law-hirsch	AZC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
law-indian	AZC	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
law-media	AZC	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
law-ref	AZC	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
law-rsv	AZC	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>
law-ssc	AZC	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
law-state	AZC	<input type="checkbox"/>	<input type="checkbox"/>	<input checked="" type="checkbox"/>	<input checked="" type="checkbox"/>

Figure 5: Location selection for collections analysis

By default, all locations found within your unarchived holdings file(s) are included in the analysis and are eligible for archiving proposal, and no locations are flagged as storage.

At the bottom of this page are three options for submitting location selections:

- Submit.** To register your final location selections, select Submit at the bottom of the screen. The system will take you back to the Define Location Storage Flags and Exclusions screen. At this point you will be able to view your location selections, but you cannot make any changes. Email the Collections Analyst if you need to make any changes to your location selections. The Collections Analyst will be in touch if there are any questions about any of your selections.
- Save and Quit.** If you need more time to complete your location selection, choose “Save and Quit” instead of Submit. This will save the location selections recorded so far so you can return to this function later.
- Cancel.** To leave this screen without saving any work from the current session, choose “Cancel.”

## B. 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):

- 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).
- 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 (Title Category 3) and high risk (Title Categories 4 and 5) journal families, Archive Builders should save but 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 view 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.

## 1. Review Proposed Journals

To access the Review Proposed Journals page, the user must have “Holder” permissions set for their AGUA user account. This permission can be granted by your institution’s Campus Admin or by WEST staff.

The system will display a summary list of files produced for your institution, broken down by OCLC Symbol and then Title Category. The “Status” column describes the review status of the proposals for that title category; the “Action” column describes the step that the user can take on proposals for that title category.

Commitment Year: 2024					
Institution: Arizona State University					
OCLC Symbol	Title Category	Journals Proposed	Journals Committed	Status	Action
AZS	1	18	0	UNREVIEWED	<a href="#">Record Commitments</a>

Figure 6: Review archiving proposals

To see the journals being proposed for a title category, select the link in the Action column. This will take you to the “Record Journal Commitments” page, which also includes links to the “Preview Proposed Journals report” and the “Preview WEST Holdings report.”



Relevant Reports

[Preview Proposed Journals](#) **1**      [Preview WEST Holdings](#) **2**

Arizona State University      OCLC Symbol: AZS      Title Category: 1      Archiving Cycle: Cycle 14 & 15      Estimated Volumes Committed: 711 **3**

Journal Family ID	Title	Publisher	Estimated Volumes	Commit	Do Not Commit This Cycle	Do Not Commit or Re-Propose
29379	Nikkei Bijinesu	Nihon Keizai Shimbun, Inc.	176	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
35834	La Revue de Belles-Lettres		111	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
69969	Revista Venezolana de Filosofia		13	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
106124	Aqui	EditorialArca	10	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
114838	Revista do B N D E		5	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
118264	Annuaire du Tiers Monde	Berger-Levrault Editions	12	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
136321	L E A		8	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>
136509	Letteratura Italiana Contemporanea	Lucarini Editore s.r.l.	13	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>

Figure 7: Record journal commitments

*i. Preview Proposed Journals report*

After selecting a title category, you will have the option to view and/or download a “Preview Proposed Journals” report (marked with a red ‘1’ in the above image) which lists all the archiving proposals for that Title Category. The file will open in a new tab. Download and save this file (tab-separated values) for local review. (To download, right-click on the “Preview Proposed Journals” link and choose “Save As” from the resulting menu, or, to download after opening, right-click on the screen and choose “Save As” from the resulting menu.)

*ii. Preview WEST Holdings report*

In addition to the report listing local holdings for archiving proposals, AGUA also provides a report that lists the holdings for those proposals at other WEST member institutions. These reports are used by Archive Builders to facilitate gap filling activities for Title Categories 3, 4, and 5 (medium and high risk levels). This report is also made available for Title Categories 1 and 6 (low risk level ) for informational purposes (low risk level holdings are not actively compiled and validated).

Select the “Preview WEST Holdings” report link (marked with a red ‘2’ in the above image) to view and save this file (tab-separated values) for local review and decision-making. (To download, right-click on the “Preview Proposed Journals” link and choose “Save As” from the resulting menu, or, to download after opening, right-click on the screen and choose “Save As” from the resulting menu.)

*iii. Record Journal Commitments*

This function allows users to record decisions about which of the proposed journals the user’s institution will commit to archive within individual Title Categories.

From the Review Proposed Journals screen, select the link in the Action column for the Title Category for which you wish to record decisions. For Title Categories with a Status of FILE\_COMMITTED, you will be able to view the selections that were submitted, but will not be able to edit them.

The system displays details about all of the proposed journal families in this OCLC Symbol and Title Category with a separate journal family in each row. **Please note:** Some lists may be lengthy and will require scrolling to review them all.

Relevant Reports

[Preview Proposed Journals](#)

[Preview WEST Holdings](#)

Arizona State University		OCLC Symbol: AZS	Title Category: 1	Archiving Cycle: Cycle 14 & 15	Estimated Volumes Committed: 711		
				A	B	C	
Journal Family ID	Title	Publisher	Estimated Volumes	Commit	Do Not Commit This Cycle	Do Not Commit or Re-Propose	
29379	Nikkei Bijinesu	Nihon Keizai Shimbun, Inc.	176	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
35834	La Revue de Belles-Lettres		111	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
69969	Revista Venezolana de Filosofia		13	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
106124	Aqui	EditorialArca	10	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
114838	Revista do B N D E		5	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
118264	Annuaire du Tiers Monde	Berger-Levrault Editions	12	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
136321	L E A		8	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	
136509	Letteratura Italiana Contemporanea	Lucarini Editore s.r.l.	13	<input checked="" type="radio"/>	<input type="radio"/>	<input type="radio"/>	

Figure 8: Record journal commitments, highlighting archiving decision options

- a. **Committing to all proposed journals.** Libraries are encouraged to commit to archive all of the proposed journal families in a given Title Category. To select all, check the Commit box in the column heading (marked with a red 'A' in the above image). This will check all of the proposed journal families in this category.
- b. **Committing to some journals.** Libraries may need to eliminate certain journal families from the proposed list. To commit to most and eliminate some, check the Commit box in the column heading to mark all as committed. For any you cannot commit to, you have two options:
  - i. *Do Not Commit; This Year Only:* select this option (marked with a red 'B' in the above image) if your institution would be willing to consider the selected journal family at a future time. Selecting this option means that the journal family may be re-proposed to your institution in the future.
  - ii. *Do Not Commit; Do Not Re-propose:* select this option (marked with a red 'C' in the above image) if it is unlikely your institution will be able to archive this journal family in the future. Selecting this option will flag the journal family so that it is not re-proposed to your institution.

Estimated Volumes Committed: 1751

Submit
Save and Quit
Cancel
Reset Form

Figure 9: Record journal commitments submission options

- c. **Submit.** To register final commitments, select the "Submit" button at the bottom of the page. The system will display a confirmation screen with an opportunity to provide a comment. After you Submit Final Commitments for any Title

Category, the system will produce the final Committed Journals report for that Title Category and will update the “Journals Committed” column to reflect the total of your final commitments for that Title Category. The system notifies you that the Committed Journals report will be available in the “[Archiving Commitments](#)” reports the next day.

- i. **Please note** that Builders should not Submit commitments for Title Categories 3, 4, or 5 before completing selections for all three Title Categories and confirming that their selected commitments fall within their [Archive Builder budget](#).
- d. **Save and Quit.** If you need more time, choose the “Save and Quit” button at the bottom of the page instead of Submit. This will save the commitments recorded so far so you can return to this function later. Please note that “Save and Quit” does not update the “Journals Committed” column. Those totals are updated only upon submitting final commitments. Use “Save and Quit” especially for Title Categories 3-5 so you can confirm the archiving budget with WEST staff before submitting your final commitments.
- e. **Reset Form.** To reset the commitment selection form and start over, select the “Reset Form” button at the bottom of the page. This will update all proposals to the default selection, which is “Commit.”

Information about Archive Builder-specific functionalities on the Record Journal Commitments pages is available in the [AGUA User Manual - Archive Builder Supplement](#).

#### *iv. Download Committed Journals reports*

Once final commitments have been submitted for a Title Category, the system will produce Committed Journals and WEST Holdings reports; these reports are ready the day after commitments are submitted. These reports are available on the “Archiving Commitment Reports” page linked on the AGUA home page. See the [Download Archiving Commitment Reports](#) section for instructions on how to use these reports.

## 2. Review Budgets

Archive Builder budgets are set by the WEST Executive Committee at the beginning of the Archive Cycle. Any medium or 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.

More information about the Review Budgets page is available in the [AGUA User Manual - Archive Builder Supplement](#).

## IV. Reports and Downloads

This section provides access to reports produced in the course of WEST archiving activities. Any user may view and download reports for the OCLC symbol(s) associated with that user’s WEST member institution. This section includes the On Demand Comparison tool as well as three expandable sub-sections of reports: My Institution’s Reports, WEST Archived Collections, and WEST Group Reports.

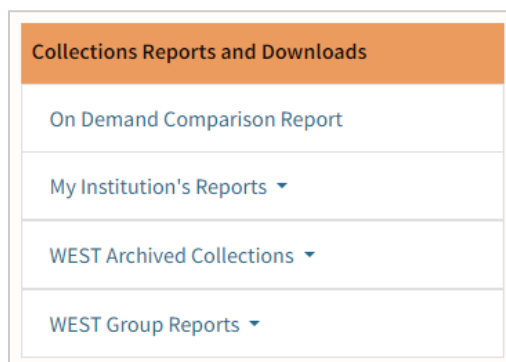


Figure 10: Collections Reports and Downloads section on the AGUA Dashboard

For each kind of report except the On Demand Comparison, the All Titles Archived by WEST report, and the All Titles MARC File, use the following steps:

- Choose the desired report type from AGUA home screen of My Institution's Reports (see report types below)
- Select the link to a specific report. The Collection Comparison and Archiving Commitment reports are organized by OCLC symbol, year/archive cycle, and, when applicable, title category. The report will open in a new browser tab as a file of tab-separated values.
- Download and save the file for local use. To download, right-click on the screen and choose "Save As" from the resulting menu. The file may be opened in any spreadsheet program for further review or processing.

AGUA keeps reports from previous cycles so they may be downloaded again for future use.

#### A. On Demand Comparison Report

The On Demand Comparison Report tool allows all WEST members to upload a locally prepared list of journals to be compared against the AGUA archived titles registry. Reports are generated on the fly (immediately following upload of the local list), and can be run as often as needed anytime throughout the year.

The On Demand Comparison tool allows member libraries to produce a comparison report whenever they need it and with the most recent archived and unarchived holdings data available. The output reports generated by the tool also include contact information for the institution responsible for each archived backfile, allowing members to more easily offer volumes to fill gaps.

See [Appendix 1](#) for detailed instructions on using the On Demand Comparison Report tool.

#### B. My Institution's Reports

All reports that are specific to the user's institution are grouped together in the My Institution's Reports section. This section includes Newest Reports (where users can access the most recent reports for their institution from all report types), Collection Comparison Reports, Archiving Commitment Reports, Validation Reports, and JRNL Export Files.

Collections Reports and Downloads	
On Demand Comparison Report	
My Institution's Reports ▾	
• Newest Reports	
• Collection Comparison Reports	
• Archiving Commitment Reports	
• Validation Reports	
• JRNL Export Files	
WEST Archived Collections ▾	
WEST Group Reports ▾	

Figure 11: Detail of My Institution's Reports section expanded to show all reports

## 1. Newest Reports

My Institution's Newest Reports

Institution: University of San Diego

Newest Reports

- Collections Comparison (2023 - Archive Cycle 12) ▾
  - CDU 2023 Collections Comparison
- Archiving Commitment (2022 - Cycle 12 & 13) ▾
  - CDU 2022 Category 6 Committed Journals
  - CDU 2022 Category 6 WEST Holdings for Committed Journals
- Metadata Validation Reports
  - AGUA Validator (Unarchived) (2021) ▾
    - CDU 2021 Summary Report (CDU.III.combined.20211028.convert.rpt)
    - CDU 2021 Error Records (CDU.III.combined.20211028.convert.warning.txt)
  - CRL Validator (Unarchived) (2021) ▾
    - CDU 2021 (CDU.III.combined.20211028-CRL.xlsx)
  - CRL Validator (Archived) (2023) ▾
    - CDU 2023 (CDU.iii.archived.20230626-edit-CRL.xlsx)
- JRNL Export Files ▾
  - CDU Bronze Disclosed Files

All Reports

- Collections Comparison
- Archiving Commitment
- Validation Reports
- JRNL Export Files

Figure 12: My Institution's Newest Reports page

The newest versions of each institution-specific report are available on the Newest Reports page:

- Collections Comparison
- Archiving Commitment
- Validation Reports
- JRNL Export Files

The Newest Reports page also includes direct links to the individual Reports pages for ease of access to historical versions.

## 2. Collection Comparison Reports

WEST produces annual collection comparison reports at the end of each WEST disclosure period for all institutions that provided unarchived holdings files for the most recent group collections analysis. The comparison report compares a library's holdings to AGUA's archived titles registry and reveals overlap; this allows members to see which of their locally held journals are being archived by another WEST member.

The archive cycles and years shown below indicate the archiving cycle that was completed and the year the Collection Comparison Reports were produced. The current year's report is available in the "Newest Reports" box; previous years' reports are available in the "All Reports" table. If an institution submitted unarchived holdings for multiple OCLC symbols, reports for each are available on this page.



Newest Reports ▲

2024 - Archive Cycle 13

[AZS 2024 Collections Comparison](#)

All Reports ▲

OCLC Symbol	Archive Year	Archive Cycle	Report
AZC	2012	1	<a href="#">AZC 2012 Collections Comparison</a>
	2013	2	<a href="#">AZC 2013 Collections Comparison</a>
	2014	3	<a href="#">AZC 2014 Collections Comparison</a>
	2015	4	<a href="#">AZC 2015 Collections Comparison</a>
	2016	5	<a href="#">AZC 2016 Collections Comparison</a>
	2017	6	<a href="#">AZC 2017 Collections Comparison</a>
	2018	7	<a href="#">AZC 2018 Collections Comparison</a>
	2019	8	<a href="#">AZC 2019 Collections Comparison</a>
	2020	9	<a href="#">AZC 2020 Collections Comparison</a>
	2021	10	<a href="#">AZC 2021 Collections Comparison</a>

Figure 13: Collections comparison reports (detail)

## 3. Archiving Commitment Reports

WEST users from Archive Holder and Archive Builder institutions may download Archiving Commitment Reports that were produced for their institution after they have submitted their archiving commitment selections for the biennial collections analysis. These reports are the result of WEST Archive Holders and Builders submitting final archiving commitments for a given archive cycle and title category. The reports are available the next day after final commitments are submitted, and are retained for downloading thereafter. The archive cycles and years shown below indicate the cycle and year in which the commitments were made, and the title category to which the committed journal families belong.

Newest Reports:

**Institution:** Iowa State University

Newest Reports ▲

2022 - Archive Cycle 12

- IWA 2022 Category 1 Committed Journals
- IWA 2022 Category 1 WEST Holdings for Committed Journals
- IWA 2022 Category 2 Committed Journals
- IWA 2022 Category 2 WEST Holdings for Committed Journals

Figure 14: Archiving commitment reports - Newest reports

All Reports:

**Institution:** Iowa State University

Newest Reports ▼

All Reports ▲

OCLC Symbol	Year	Archiving Cycle	Title Category	Report
IWA	2012	2	1	Committed Journals
			2	Committed Journals
	2013	3	1	Committed Journals
			2	Committed Journals
	2014	4	1	Committed Journals
			6	Committed Journals
	2015	5	1	Committed Journals
	2016	6	1	Committed Journals
			6	Committed Journals
	2018	8	1	Committed Journals
			6	WEST Holdings for Committed Journals

Figure 15: Archiving commitment reports - All reports (detail)

Archiving Commitments reports include:

- *Committed Journals*: detailed information about journal families and print titles that were committed for archiving by this institution for each Title Category, including volumes held and local record ID
- *WEST Holdings for Committed Journals*: for committed in each archive cycle, information about holdings for each title at other WEST members is available to facilitate gap-filling.

#### 4. Validation Reports

When members submit files to WEST for the collections analysis (unarchived title ingest) or disclosure (archived holdings ingest), the WEST Technical Team runs them through two different validator tools to check the metadata and ensure the records are in



good order before loading to AGUA: an AGUA Validator and a metadata validator developed by the Center for Research Libraries (CRL). These validators serve complementary purposes, and the output reports are made available to members to facilitate local data correction and cleanup projects to support both WEST and local needs.

Up to three validation reports are available, depending on which activities your institution has engaged in:

- **AGUA Validator (Unarchived).** This validator is run on members’ contributed data and focuses on control number validity and correct subfield usage for control numbers, as well as various leader byte and format coding for print serials. The data in the records is not checked against any other database.
  - convert.rpt files provide a summary overview of the file submitted to WEST, with a count of errors and warnings found in that file
  - convert.warning.txt files include detailed information about the records with errors and warnings.
- **CRL Validator (Unarchived).** This validator checks the primary OCLC number in the contributor’s *bibliographic* record against OCLC. Errors are noted where contributor data and OCLC data are not in alignment.
- **CRL Validator (Archived).** Checks the primary OCLC number in the contributor’s *holdings* record against OCLC. Errors are noted where contributor data and OCLC data are not in alignment.

### Metadata Validation Reports

**Institution:** University of San Diego

Newest Reports

AGUA Validator (Unarchived) (2021) ▾

CDU 2021 Summary Report (CDU.III.combined.20211028.convert.rpt)

CDU 2021 Error Records (CDU.III.combined.20211028.convert.warning.txt)

CRL Validator (Unarchived) (2021) ▾

CDU 2021 (CDU.III.combined.20211028-CRL.xlsx)

CRL Validator (Archived) (2023) ▾

CDU 2023 (CDU.III.archived.20230626-edit-CRL.xlsx)

All Reports

AGUA Validator (Unarchived) ▾

OCLC Symbol	Year	Type	Report
CDU	2021	Summary Report	CDU.III.combined.20211028.convert.rpt
		Error Records	CDU.III.combined.20211028.convert.warning.txt

CRL Validator (Unarchived) ▾

OCLC Symbol	Year	Type	Report
CDU	2021	Unarchived	CDU.III.combined.20211028-CRL.xlsx

CRL Validator (Archived) ▾

OCLC Symbol	Year	Type	Report
CDU	2023	Archived	CDU.III.archived.20230626-edit-CRL.xlsx

*Figure 16: Metadata Validation Reports*

## 5. JRNL Export Files

WEST participates in JRNL, the Journal Retention and Needs Listing tool developed by the University of Florida to help institutions engaging in shared print display and review any gaps in retained holdings. Archivers are highly encouraged to submit their holdings and any gaps to JRNL as a way to solicit contributions to fill those gaps, and all members are encouraged to use JRNL to identify gaps in retained titles held at other institutions that could be filled.

Using the retained holdings disclosure data that Archivers submit to WEST at the end of each Archiving Cycle, WEST generates files for each institution that can be used to populate JRNL. Members are responsible for submitting these files to JRNL and for coordinating any subsequent gap-filling activity.

OCLC Symbol	OCLC Location	Archive Category	JRNL Export Files
AZS	Arizona State University Shared Print	Gold	AZS Gold Disclosed Files
		Silver	AZS Silver Disclosed Files
		Bronze	AZS Bronze Disclosed Files
		Silver	AZS Silver TC 3 not yet Validated Files
		Gold	AZS Gold TC 4 not yet Validated Files
		Gold	AZS Gold TC 5 not yet Validated Files

Figure 17: JRNL export files

More information about using JRNL and gap filling can be found at the University of Florida Library website:

<http://guides.uflib.ufl.edu/JRNL>

Detailed instructions for WEST Archivers using JRNL are available on the WEST website:

<https://cdlib.org/wp-content/uploads/2021/01/WEST-AGUA-JRNL-instructions.pdf>

## C. WEST Archived Collections

### 1. All Titles Archived by WEST Report

This report is generated “on the fly” and is automatically downloaded to your computer when selected. This report is a list of all titles that have been archived by WEST member institutions for the WEST program.

### 2. All Titles MARC File

Clicking this link downloads a zip folder to your computer containing one .mrc file. This file contains MARC bibliographic records for all WEST retained titles, with embedded holdings. WEST members may use this file to load records for the WEST Archives into their local catalog to support discovery by local users, demonstrate the continued availability of titles deselected locally in favor of the WEST retained copy, or to perform additional collection analyses.

## D. WEST Group Reports

### 1. Not-Committed Reports

WEST users may download Not-Committed Reports that were produced at the end of each archive cycle. These reports include all journals for each Title Category that were proposed to any Archive Holders and Builders but were not committed for

archiving. The reports are produced all at once at the end of the archive cycle after all final commitments have been submitted. The archive cycles and years shown below indicate the cycle and year in which the journals were proposed but rejected.

Newest Reports ▲

2022 - Archive Cycle 12

- 2022 Title Category 1 Not-Committed Report
- 2022 Title Category 3 Not-Committed Report
- 2022 Title Category 4 Not-Committed Report
- 2022 Title Category 5 Not-Committed Report
- 2022 Title Category 6 Not-Committed Report

All Reports ▲

Year	Cycle	Title Category	Report
2014	4	1	2014 Title Category 1 Not-Committed Report
		3	2014 Title Category 3 Not-Committed Report
		4	2014 Title Category 4 Not-Committed Report
		5	2014 Title Category 5 Not-Committed Report
		6	2014 Title Category 6 Not-Committed Report
2015	5	1	2015 Title Category 1 Not-Committed Report
		3	2015 Title Category 3 Not-Committed Report
		4	2015 Title Category 4 Not-Committed Report
		5	2015 Title Category 5 Not-Committed Report
		6	2015 Title Category 6 Not-Committed Report

Figure 18: Not committed reports (detail)

## 2. Summary by Category Reports

These reports analyze the overlap levels by journal family. WEST users can use these to see duplication levels in each title category for each archive cycle.

## 3. Summary by Institution Reports

These reports are available for each Archive Cycle, and list the institutions that participated in that cycle’s collection analysis and how many records in their submitted met various criteria, including the total number loaded, the number with ISSNs, how many records matched to a journal family, and how many records were assigned to each title category.

# V. Contacts

AGUA includes contact information for the WEST project team as well as key staff at WEST member institutions. This information is available and accessible to all registered AGUA users.

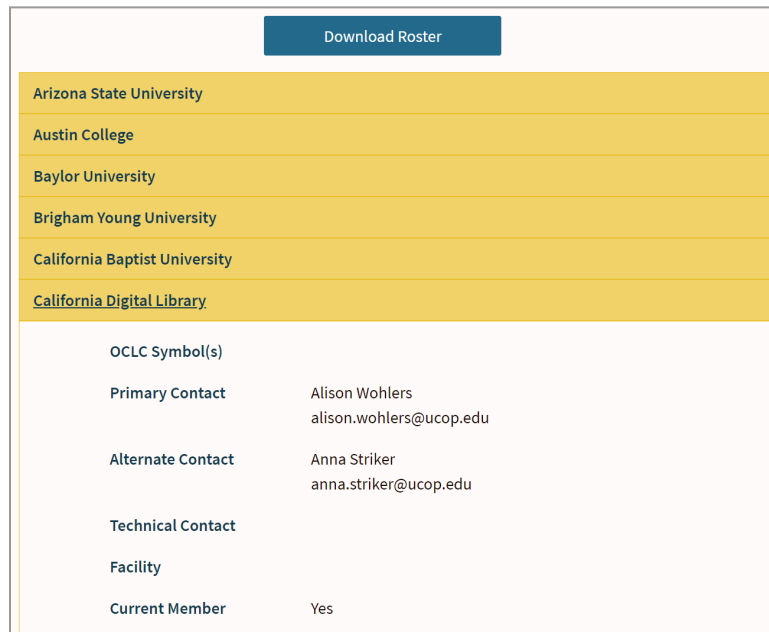
## A. Contact WEST Staff

AGUA users may use the Contact WEST Staff link on the AGUA dashboard to contact the WEST project team at any time. This link will open a draft email to [west-staff-l@listserv.ucop.edu](mailto:west-staff-l@listserv.ucop.edu) in your email client.

## B. Institution Contact Roster

The Institution Contact Roster lists Primary, Alternate, and Technical contacts for each current WEST member institution. WEST members are expected to keep these contacts up to date so the most current information is made available both in this roster and in various reports generated by AGUA (such as Collection Comparison reports).

To use the roster, click on an institution name to expand the drawer and see the contacts for that institution. If you want to see the full roster at once, use the Download Roster button at the top of the page.



Download Roster	
Arizona State University	
Austin College	
Baylor University	
Brigham Young University	
California Baptist University	
California Digital Library	
OCLC Symbol(s)	
Primary Contact	Alison Wohlers alison.wohlers@ucop.edu
Alternate Contact	Anna Striker anna.striker@ucop.edu
Technical Contact	
Facility	
Current Member	Yes

Figure 19: Institution contact roster

## C. Member Institutions

Users with Campus Admin privileges may update their institution's primary, alternate, and technical contacts. Each institution may include up to three staff contacts. These should be staff who are involved in the archiving process, or who act as WEST contacts for requesting or offering volumes to archiving institutions. Campus Admin users are also able to view but not edit their institution's name, WEST membership status, and OCLC Symbols.

Figure 20: Update your institution contact(s)

Once you are finished updating your contacts select Submit. The new contact information will be available in the Institution Contact Roster and in the On Demand Collection Comparison Report. The new contacts will also be used to populate the next set of Collection Comparison reports that are generated after the next Disclosure period (generally in the late summer). Contact information on past Collection Comparison reports will not be updated.

## V. User Administration Functions

This set of functions allows users to update their own user records or, if authorized, to update the records of other users at their institution.

### A. Authorized roles

Each authorized user of AGUA is assigned roles that authorize access to certain functions. All users are automatically authorized as “Readers”, with access to WEST Member Reports and Update Own Record functions. Users may be authorized for other roles in addition, as appropriate.

AGUA Function	Reader	Holder	Builder	Campus Admin	WEST Admin
Upload Bibliographic and Holdings Data	x	x	x	x	x
Reports and Downloads	x	x	x	x	x
JRNL Export Files		x	x	x	x
Set Archiving Commitments		x	x	x	x
Review Budgets			x		x
User Permissions: Update own record	x	x	x	x	x
User Permissions: Manage a library’s user permissions				x	x

Table 1: AGUA Authorized Roles for users and corresponding functions

## B. Update Your Account

Each user has permission to update certain information in their AGUA account. The Update Your Account function is available in the dropdown menu in the top right hand corner of each page, under your name, when you are logged in:

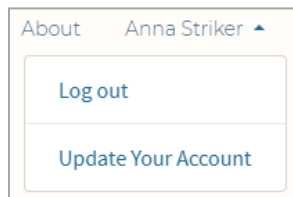


Figure 21: User management option menu

This function allows all users to update the name, phone number, and job title associated with their AGUA account. Users may not change their email address or institution affiliation. If either of these fields is incorrect, you must Delete your current user record, then create a new account using the [First-Time Login](#) instructions. Most users will not be able to change their Authorized Roles (only users with the Campus Admin role may update what roles are assigned to users within their WEST member institution).

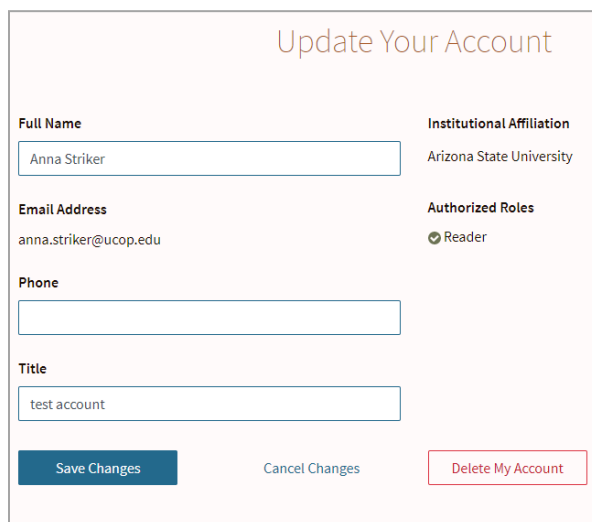
A screenshot of the 'Update Your Account' form. The title 'Update Your Account' is at the top in orange. The form has several fields: 'Full Name' (Anna Striker), 'Email Address' (anna.striker@ucop.edu), 'Phone' (empty), 'Title' (test account), 'Institutional Affiliation' (Arizona State University), and 'Authorized Roles' (Reader with a checked checkbox). At the bottom, there are three buttons: 'Save Changes' (dark blue), 'Cancel Changes' (light blue), and 'Delete My Account' (red).

Figure 22: Update your account

If you make changes, you will need to log out and log in again to see the changes reflected.

## C. Manage Your Library's Users

WEST library staff with the Campus Admin authorization role may use this function to add or delete users and manage user permissions for their own institution.

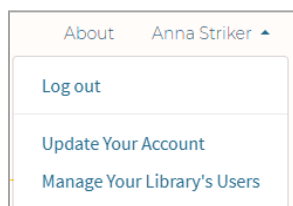


Figure 23: User management option menu - Campus Admin view

The system will display existing user records affiliated with your institution.

Institution: California Digital Library						
Select user to edit						
Name	Email	Reader	Holder	Builder	Campus Admin	
Alison Wohlers	alison.wohlers@ucop.edu	✓	✓	✓	✓	
Anna Striker	anna.striker@ucop.edu	✓			✓	

Figure 24: Manage your institution's users

### 1. Edit User

To edit a user account, select the name of the user record. The system will display current information for that user.

### Manage User

**Full Name**  
Anna Striker

**Email Address**  
anna.striker@ucop.edu

**Phone**  
510.287.3819

**Title**  
Shared Print Operations and Collections Analyst

**Institutional Affiliation**  
California Digital Library

**Authorized Roles**

- Reader
- Holder
- Builder
- Campus Admin

**Buttons:** Save Changes, Cancel Changes, Delete User

Figure 25: Manage User

As authorized Campus Admin, you may update the name, phone number, and job title associated with the account, as well as assign or remove authorized roles.

Select the Save Changes button when you have finished your edits. The system will automatically send an explanatory email to the user.

### 2. Delete user

To delete a user account from your institution, open the account following the above instructions, then select the red Delete User button, then confirm.

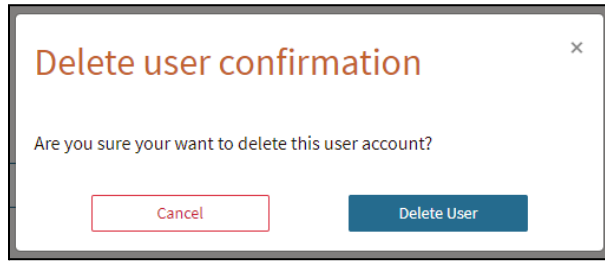


Figure 26: Delete User confirmation popup message

### 3. Add User

To add a user for your institution, select the Add User at the bottom of the table of users for your institution. If you select Add User, the system will display a blank form similar to the Edit User display.

A form titled "Add User" with a light pink background. It contains several input fields and a list of roles. On the left side, there are four input fields: "Full Name\*" (required), "Email Address\*" (required), "Phone", and "Title". On the right side, there are two sections: "Institutional Affiliation\*" with a dropdown menu currently showing "California Digital Library", and "Authorized Roles" with four checkboxes: "Reader" (checked), "Holder", "Builder", and "Campus Admin". At the bottom, there are two buttons: "Add User" (solid blue) and "Cancel" (text link).

Figure 27: Add user

Enter the new user's full name and email address, and, optionally, their phone number and job title. The Institutional Affiliation is set to your own institution and cannot be changed.

All users are authorized as Readers. If you wish this new user to have additional privileges, use the check boxes under Authorized Roles to grant these (see Table 1 above for Authorized Roles and user functions).

Select Add User when you have finished your changes. The system will automatically send an explanatory email to the new user.



## Appendix 1: Using the On Demand Comparison Report tool

WEST offers an On Demand Comparison Report tool that members may use to compare their local journal and serials holdings against WEST member holdings stored in the AGUA database. Users can generate these comparison reports by uploading a CSV file containing a list of identifiers (OCLC numbers and/or ISSNs) plus additional information as desired about the titles being compared against the AGUA database. This tool may be used at any time throughout the year, and there is no limit on how many times a member may use it. The tool can accept CSV files with up to 100,000 rows of data, and so is appropriate to use in both large and small projects. *Please note* that the larger the file, the longer it will take to process.

Like the annual Collection Comparison Report, the output reports will display multiple rows for a single journal if multiple institutions have holdings for that title or if a single institution has multiple holdings. Additionally, AGUA includes a copy of the Print Archives and Preservation Registry (PAPR) disclosure data set (refreshed annually), so the output reports will also include results for titles archived by other shared print programs. An example of this can be found in Figure 32.

### A. Preparing your local title list

Your input file must include a column for OCLC numbers (Column A) and a column for ISSNs (Column B). Every row must include an OCLC number, an ISSN, or both. Please enter only one OCLC number or ISSN per cell. ISSNs must be formatted as xxxx-xxxx (ISSNs that do not include the dash [-] will not match). You may also include up to 10 columns of additional information (Columns C-L), as necessary for your local project. This additional information will be included in the output reports to facilitate local review and decision making. Optional columns that are not used in the input report will not be included in the output reports.

	A	B	C	D	E	F	G	H	I	J	K	L
1	OCLC	ISSN	optional	optional	optional	optional	optional	optional	optional	optional	optional	optional
2												
3												
.												

Figure 28: Required and optional columns in On Demand Comparison input file (partial - users may optionally include up to 10 columns of other data in addition to the OCLC and ISSN columns)

Local Title List Example #1:

	Required		Optional									
	A	B	C	D	E	F	G	H	I	J	K	L
1	OCLC	ISSN	Institution	Bibliographic	Print Holdings	Statement	Earliest Year	Latest Year	Range for	Subject	Ulrichs Status	
2	2246712	0002-9912	OKS	9.99E+14	v.4-6 (1972-1974)		1972	1974		3	Mathemat	Ceased
3	6168547	0019-3895	CUY	.b1231510	8:12(July 2016)		2016	2016		1	Fungi Peri	Active
4	6289930	0017-1840	AFU	.b1461094	v.34-46, 1966-1978		1966	1978		13	Golf cours	Active
5	5140877		OKS	9.91E+15	1939-1953		1939	1953		15	Hotels Acc	Ceased
6	2265415	0048-153X	AZS	9.91E+17	v.11-12 1961-62, v.13		1961	2016		56	Indians of	Active
7		0048-153X	RCE	9.91E+17	v.46:no.4 (1996:fall),		1996	2007		12	Indians of	Active
8	1762125	0031-577X	KKU	245592	v. 28, no. 1 (1982) - v		1982	1984		3	Personnel	Ceased
9	1780346	0034-4702	COF	9.91E+17	7-12 1975-1980		1975	1980		6	Education	Active
10	7910037	0731-1974	WYU	.b1955581	2-25, 1982-2005, v.2		1982	2005		24	Investmer	Ceased
11	1785377	0090-9769	AFU	.b1285449	v.1 no.3-v.3 no.3,v.3		1958	2022		65	Folklore L	Active
12	2441043	0360-2397	WTU	.b1490856	v.57-62 (1913-1916)		1913	1916		4	Manners a	Ceased
13	1075485		CUS	25348073	4,7-8,11 (1972-1983)		1972	1983		12	Marine bi	Active
14	2745976	0316-2516	ZAS	4054629	v.1-2, 1972-73		1972	1973		2		Ceased
15	8788193	0449-3176	IWA	9.90E+17	1-11, 1961-1971, v. 1		1961	1971		11	Soils Peric	Researched
16	12874714	0886-280X	AZS	9.91E+17	71(1986)-72(1987)		1986	1987		2	Social scie	Ceased
17	1645935	0082-4410	IWA	9.90E+17	1-12, 1962-1973, 1 (1		1962	1973		12	Literature	Active
18		0082-4410	WTU	.b1726579	1st-4th (1962-1965)		1962	1965		4	Literature	Active
19		0002-8371	IWA	9.90E+17	1-68, 1946-1965, no.		1946	1965		20	Textile fal	Ceased
20	1479831	0002-8371	ZAP	b17027821	no.10(1949)-95(1972)		1949	1972		24	Textile fal	Ceased

Figure 29: Example On Demand Comparison input file - Optional columns F and L intentionally left blank

OCLC numbers must be stored in column A, and ISSNs in column B. Each row must include either an OCLC number or an ISSN to be included in the comparison, but does not need to include both (see Figure 29). Headers are required in Row 1. The On Demand Comparison tool can accept files with up to 100,000 rows of data. *Please note* that the larger the file, the longer it will take to process.

## B. Running the On Demand Comparison Report

Once you have completed preparing your file, save it to your computer as a .csv file (not .xls\*). On the main AGUA dashboard, under Reports and Downloads, select On Demand Comparison Report.

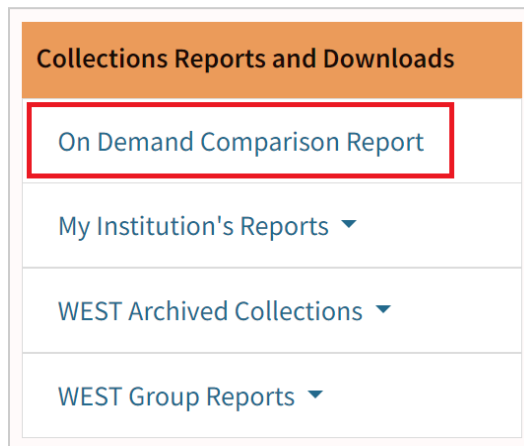


Figure 30: On Demand Comparison Report location on AGUA dashboard

Upload your locally prepared title list by clicking the “Browse” button on the report screen and using the file explorer to select your file.

Limit Report By (Beta)

Include Exclude

**Archiving Program**

WEST *i*

Rosemont *i*

Other print program *i*

**Validation Actions**

Validated for completeness *i*

Validated for condition *i*

Validated for both *i*

**Estimated Percent Archived *i***

Greater than or equal to ▾

Select file to upload

Choose File Browse Upload

Figure 31: On Demand Comparison file selection tool with optional filters

Once you’ve selected your file, click “Upload.” The file is immediately processed, and a zipped file containing the output reports is automatically downloaded to your computer.

### C. Downloading and reviewing your On Demand Collection Comparison Report

The zipped output report files can be accessed through the downloads section in your browser, or in your computer’s Downloads folder.

Three output reports are possible:

1. **ArchivedComparison.** This report includes all retained holdings that matched to identifiers in your input file; if using the output report scoping filters, the report will only include holdings for titles that matched the filter criteria. This report will include WEST-retained holdings as well as holdings retained for other shared print programs and trusted digital repositories that are disclosed to PAPR.
2. **NotMatched.** This report includes the titles from your input report that did not match to any titles in WEST’s databases, either archived or unarchived; or, if using the output report scoping filters, did not match the criteria you selected.
3. **UnarchivedComparison.** This report includes WEST member unarchived holdings (as reported to AGUA). These unarchived holdings might fall into one of two categories:
  - a. WEST member unarchived holdings for titles that *have not* been retained in WEST or any other program (if using the filters)



The following information is included for each archived holding (if available):

Column	Definition	Source	Notes
Archiver	The Archiver’s OCLC symbol	Archiver data, 852\$a	
Archived Title	The journal title	OCLC, 245	
Archived OCLC Number	The master OCLC number of the archived title	OCLC, 035\$a	The OCLC number in this column may differ from the input OCLC number if the input OCLC number has been superseded.
Archived ISSN	The current ISSN for the archived title	OCLC, 022\$a	
Archived Holdings	The summary holdings statement for the archived title	Archiver data	Specific data field source may vary depending on how Archiver data is structured.
Validation Actions	Any validation actions that have been taken on the holdings	Archiver data, 583\$a	The most common actions are “completeness reviewed” and “condition reviewed.”
Validation Level	The level at which the materials were physically validated	Archiver data, 583\$i	The most common validation levels are volume-level, issue-level, page-level, or some variation thereof.
Completeness Validation Notes	The outcomes of the completeness validation, if any	Archiver data, 583\$/z where 583\$a is “completeness reviewed”	This will be blank if no completeness problems were found during validation.
Condition Validation Notes	The outcomes of the condition validation, if any	Archiver data, 583\$/z where 583\$a is “condition reviewed”	This will be blank if no condition problems were found during validation.
Estimated % of Title Archived	The estimated completeness of the archived holdings	AGUA	This estimated completeness is calculated by comparing the estimated number of volumes archived (from the summary Archived Holdings statement) against the estimated number of volumes in the published run (using bib 008 date information). This calculation is available only if the Archived Holdings statement includes years and if the record includes an OCLC number.
Count of WEST Institutions	The number of WEST members known to have holdings for this title, including both archived and	AGUA	WEST members that have holdings for the title but did not submit them to AGUA will not be included in this count.

	unarchived copies		
Count of US OCLC Institutions	The number of institutions with holdings in the United States	OCLC	This information is only available if the archived holdings record includes an OCLC number. This field will be blank for any archived title that does not have an OCLC number. This data is stored in AGUA and refreshed from OCLC on a quarterly basis; for the most current and up to date OCLC holdings information, users are encouraged to double check this information in OCLC.
Archiving Program	The shared print program for which the holdings are retained	Archiver data, 583\$f	WEST-archived holdings and holdings retained for other shared print programs and key trusted digital repositories are included in this output report. For more information about non-WEST programs, see the PAPR Directory: <a href="http://papr.crl.edu/program/">http://papr.crl.edu/program/</a>
Rosemont Program	A flag indicating whether the Archiving Program is a member of the <a href="#">Rosemont Shared Print Alliance</a>	AGUA	If the Archiving Program is not a member, this column will be blank for that row, even if other holdings for the same OCLC number/ISSN are retained for a Rosemont Alliance program.
Date Of Action	The date on which the holdings were committed for retention	Archiver data, 583\$c	
Retention Period	The date on which the retention commitment expires	Archiver data, 583\$d	
Date Disclosed	The date on which the holdings were submitted to AGUA	AGUA	
Primary Contact Name	The institution's primary contact	AGUA Institution Contact Roster	This information is only available for WEST member institutions.
Primary Contact Email	The institution's primary contact's email address	AGUA Institution Contact Roster	This information is only available for WEST member institutions.
Alternate Contact Name	The institution's alternative contact	AGUA Institution Contact Roster	This information is only available for WEST member institutions.
Alternate Contact Email	The institution's alternative contact's email address	AGUA Institution Contact Roster	This information is only available for WEST member institutions.

Table 2: ArchivedComparison output report columns with definitions, data sources, and notes

## 2. Not Matched

The Not Matched Report lists all of the records (including any optional data) from your input report that do not match any records in either AGUA’s archived titles registry or to the unarchived holdings data members supplied for the most recent collections analysis; if filtering output results, this file will also include input data for titles that did not meet the filter criteria.

	A	B	C	D	E	F	G	H
1	OCLC	ISSN	Institution with Holdings (Symbol)	Storage Flag	Bibliographic Record Number	Print Holdings Statement		Earliest Year Held
2	4145226		IWA		9.90E+17	39-40, 1997-1998, v.39 (1		
3	4945901		OKS		9.99E+14	1995/1996		
4	427291		OKS		9.99E+14	no.35-47(1994-2006)		

Figure 34: On Demand Collection Comparison Report - Not Matched (detail)

## 3. Unarchived Comparison

The Unarchived Comparison Report lists all unarchived WEST member holdings for titles included in the input file, including holdings for titles that have not been archived and unarchived holdings of titles that appear in the ArchivedComparison report (unarchived duplicates). These records will not be found in your custom On Demand Collection Comparison Report.

The Unarchived Comparison Report includes:

- the OCLC numbers and/or ISSNs from the original upload (Columns A-B);
- up to 10 optional columns of data, from the original upload (starting in Column C; columns that were not used in the original input file are not included in the output);
- information about the unarchived holdings, including information about the specific holdings and the prevalence of the title in WEST and in OCLC (column location varies; located after input data columns); and
- contacts (name and email) for the holding institution (column location varies; located after unarchived holdings information). These columns are pulled from the [AGUA Institution Contact Roster](#); institutions that have not designated contacts in the roster will not display any contact information in this report.

Required		Optional										Output										
A	B	C	D	E	F	G	H	I	J	K	L	M	N	O	P	Q	R	S	T	U	V	W
OCLC	ISSN	Institution with Holdings (Symbol)	Bibliographic Record Number	Print Holdings Statement	Earliest Year Held	Latest Year Held	Range for ISSN at Location	Subject	Ulrichs Status	WEST Holding Institution	Title	OCLC Number	ISSN	Institution Holdings Statement	Estimated Volumes	% of Published Run Held at WEST Institution	Count of WEST Institutions	Title Archived by WEST	Title Archived by Rosemont	Title Archived by Other	Count of US OCLC Institutions	
2	2246712 0002-9912 OKS		9.99E+14 v.4-6 (1972-1974)		1972	1974	3 Mathemat	Ceased		AFU	Contents	2246712 0002-9912 v.4-6, 1972-19			3	100	3	Y				55
3	2246712 0002-9912 OKS		9.99E+14 v.4-6 (1972-1974)		1972	1974	3 Mathemat	Ceased		COF	Contents	2246712 0002-9912 v.4-6 1972-1974			3	100	3	Y				55
4	2246712 0002-9912 OKS		9.99E+14 v.4-6 (1972-1974)		1972	1974	3 Mathemat	Ceased		OKS	Contents	2246712 0002-9912 v.4-6 (1972-19			3	100	3	Y				55
5	6168547 0019-3895 CUY		.b123151028 8:12(July 2016)		2016	2016	1 Fungi Peri	Active		AFU	Index of fi	6168547 0019-3895 v.1-v.3; v.4 no			80	97.56	22	Y	Y			120
6	6168547 0019-3895 CUY		.b123151028 8:12(July 2016)		2016	2016	1 Fungi Peri	Active		AZU	Index of fi	6168547 0019-3895 v.1-2 1940-60,			21	25.61	22	Y	Y			120
7	6168547 0019-3895 CUY		.b123151028 8:12(July 2016)		2016	2016	1 Fungi Peri	Active		CFI	Index of fi	6168547 0019-3895 IN COMPACT			44	26.83	22	Y	Y			120
8	6168547 0019-3895 CUY		.b123151028 8:12(July 2016)		2016	2016	1 Fungi Peri	Active		COF	Index of fi	6168547 0019-3895 v.1-6 1940/1949			57	69.51	22	Y	Y			120
9	6168547 0019-3895 CUY		.b123151028 8:12(July 2016)		2016	2016	1 Fungi Peri	Active		CRU	Index of fi	6168547 0019-3895 v.1(1940)-8:11			154	93.9	22	Y	Y			120
10	6168547 0019-3895 CUY		.b123151028 8:12(July 2016)		2016	2016	1 Fungi Peri	Active		CSF	Index of fi	6168547 0019-3895 v.7 pt.17 2009,			75	91.46	22	Y	Y			120
11	6168547 0019-3895 CUY		.b123151028 8:12(July 2016)		2016	2016	1 Fungi Peri	Active		CSJ	Index of fi	6168547 0019-3895 v.3 (1963/197			37	45.12	22	Y	Y			120
12	6168547 0019-3895 CUY		.b123151028 8:12(July 2016)		2016	2016	1 Fungi Peri	Active		CUT	Index of F	2.14E+08 0019-3895 no.1 (1920)-nc			20	100	1					2
13	6168547 0019-3895 CUY		.b123151028 8:12(July 2016)		2016	2016	1 Fungi Peri	Active		CUT	Index of fi	6168547 0019-3895 v.1 (1940-194			10	12.2	22	Y	Y			120
14	6168547 0019-3895 CUY		.b123151028 8:12(July 2016)		2016	2016	1 Fungi Peri	Active		CUV	Index of fi	6168547 0019-3895 v.1-6(1940-19			58	70.73	22	Y	Y			120
15	6168547 0019-3895 CUY		.b123151028 8:12(July 2016)		2016	2016	1 Fungi Peri	Active		CUY	Index of fi	6168547 0019-3895 8:12(July 2016			1	1.22	22	Y	Y			120

Figure 35: On Demand Collection Comparison Report - Unarchived Comparison (Columns A-W only)

The following information is included for each unarchived holding (if available):

Column	Definition	Source	Notes
WEST Holding Institution	The member's OCLC symbol	WEST member data, 852\$a	
Title	The journal title	WEST member data, 245	
OCLC Number	The master OCLC number	WEST member data, 035\$a	
ISSN	The current ISSN for the archived title	WEST member data, 022\$a	
Institution Holdings Statement	The summary holdings for the title at the WEST Holding Institution	WEST member data	Specific data field source may vary depending on how member data is structured.
Estimated Volumes	The estimated number of volumes held (assumes one volume per year)	AGUA	This estimation relies on the presence of years in the holdings statement, and does not account for any internal gaps in the holdings.
% of Published Run Held at WEST Institution	The estimated completeness of the held run	AGUA	This estimated completeness is calculated by comparing the estimated number of volumes held (from the summary Institution Holdings Statement) against the estimated number of volumes in the published run (using bib 008 date information). This calculation is available only if the Institution Holdings Statement includes years and if the record includes an OCLC number.
Count of WEST Institutions	The number of WEST members known to have holdings for this title, including both archived and unarchived copies	AGUA	WEST members that have holdings for the title but did not submit them to AGUA will not be included in this count.
Title Archived by WEST	A flag indicating that the title is archived for WEST	AGUA	
Title Archived by Rosemont	A flag indicating that the title is archived for one of the Rosemont Alliance programs	AGUA	This flag is only present when one of the Rosemont Alliance programs other than WEST has archived the title.
Title Archived by Other Program	A flag indicating that the title is archived for a program	AGUA	This flag is only present when the title has been archived in print, and



	that is not a member of the Rosemont Alliance		will not appear if the title is only archived as a digital surrogate.
Count of US OCLC Institutions	The number of institutions with holdings in the United States	OCLC	This information is based on the OCLC number associated with the WEST Holdings Institution holdings, and is only available if the WEST Holdings Institution holdings record includes an OCLC number. This field will be blank for any title that does not have an OCLC number. This data is stored in AGUA and refreshed from OCLC on a quarterly basis; for the most current and up-to-date OCLC holdings information, users are encouraged to double check this information in OCLC.
Primary Contact Name	The institution's primary contact	AGUA Institution Contact Roster	
Primary Contact Email	The institution's primary contact's email address	AGUA Institution Contact Roster	
Alternate Contact Name	The institution's alternative contact	AGUA Institution Contact Roster	
Alternate Contact Email	The institution's alternative contact's email address	AGUA Institution Contact Roster	

Table 3: UnarchivedComparison output report columns with definitions, data sources, and notes

## D. Filtering output reports

Users have the option to filter the output reports to only include holdings for titles that meet certain criteria. These filters are intended to help members streamline their local decision making by limiting the amount of information provided in the reports, simplifying local analysis of the results. Users may elect to not use these filters, and instead rely on local analysis.

There are two filter modes that users can choose from, 'Include' and 'Exclude.'

- **Include** filters *include* only titles that have holdings that meet all selected criteria in the final output reports.
- **Exclude** filters *exclude* any titles that have holdings that meet any selected criteria from the final output reports.

### 1. 'Include' filter mode

In the Include filter mode, the filter logic operates using "inner OR" plus "outer AND" joins. When selecting multiple criteria within a single filter type (e.g., multiple archiving programs), the output report will include titles where holdings meet any of the criteria selected (archived for WEST **or** archived for Rosemont); when combining filters (e.g., archiving program and estimated percent archiving), the output report will include titles where any one set of holdings meet criteria from both filters (e.g., archived for WEST **or** Rosemont **and** the WEST or Rosemont archived copy is greater than or equal to 75% complete).

#### i. Archiving Program

This filter allows users to limit the output reports results by what shared print program has archived a copy of the title. Users may filter by WEST, Rosemont, or Other print program.

- **WEST.** Returns all holdings for titles archived by a WEST member.
- **Rosemont.** Returns all holdings for titles archived for one of the Rosemont Alliance partner programs, excluding WEST (BTAA, CRL, EAST, FLARE, or Scholars Trust (ASERL/WRLC)).
- **Other print program.** Returns all holdings for titles archived *in print* for a shared print program other than WEST or the Rosemont Alliance partner programs.
  - *Please note* that digital surrogates are not eligible for this filter. If the *only copy* of a title is as a digital surrogate in CLOCKSS, Portico, or the HathiTrust Digital Library, it will not be included in the output report when the filter is used. However, if any print archives for the title are found, digital surrogate holdings of the title will appear in the report.

#### ii. *Validation Actions*

This filter allows users to limit the output report results to only include titles where holdings have been validated for completeness, condition, or for both completeness and condition.

- **Validated for completeness.** Returns all holdings for titles where any holdings have been validated for completeness.
- **Validated for condition.** Returns all holdings for titles where any holdings have been validated for condition.
- **Validated for both.** Returns all holdings for titles where any holdings have been validated for both completeness *and* condition.
  - *Please note* that this filter is looking for holdings with both validation disclosure notes. Combining the separated ‘validated for completeness’ and ‘validated for condition’ filters (above) will return titles where any holdings has been validated for completeness *or* validated for condition (not necessarily validated for both).

#### iii. *Estimated Percent Archived*

This filter allows the user to designate a minimum or maximum level of completeness of the archived holdings, as compared to the published backfile. The user may select whether the threshold is “greater than or equal to” or “less than or equal to.”

#### iv. *WEST Holdings Count*

This filter allows the user to designate a minimum or maximum number of WEST members that hold the title. The user may select whether the threshold is “greater than or equal to” or “less than or equal to.”

- *Note:* This filter is currently only available for titles that have been archived. This filter will remain invisible unless the Archiving Program filter is also in use.

#### v. *US OCLC Holdings Count.*

This filter allows the user to designate a minimum or maximum number of institutions in the US (as reported to OCLC) that hold the title. The user may select whether the threshold is “greater than or equal to” or “less than or equal to.”

- *Note:* This filter is currently only available for titles that have been archived. This filter will remain invisible unless the Archiving Program filter is also in use.

Figure 36: On Demand Collection Comparison Include filter mode options

## 2. 'Exclude' filter mode

The Exclude filter mode operates using inner OR plus outer OR logic, meaning that if any holdings meets any criterion selected, that title will be excluded from the final output reports.

- **Archiving Program.** Limit the report output to titles where holdings *have not been* archived for specific programs.
  - **WEST.** Excludes titles where any holdings has been archived for WEST.
  - **Rosemont.** Excludes titles where any holdings has been archived for one of the Rosemont Alliance partner programs.
  - **Other print program.** Excludes titles where any holdings has been archived *in print* for any other shared print program that is not a member of the Rosemont Alliance.
    - *Note that there are a small number of digital repositories included in the On Demand Comparison data set. Since these are digitally archived and not print archives, they are not included in this filter.*
- **Validation Actions.** Limit the report output to titles where archived holdings *have not been* physically reviewed for completeness, condition, or both.
  - **Validated for completeness.** Excludes titles where any holdings has been validated for completeness.
  - **Validated for condition.** Excludes titles where any holdings has been validated for condition.
  - **Validated for both.** Excludes titles where any holdings has been validated for both completeness and condition.
- **Estimated Percent Archived.** Designate a minimum or maximum level of completeness of the archived holdings, as compared to the published backfile. The user may select whether the threshold is “greater than or equal to” or “less than or equal to.”

Figure 37: On Demand Collection Comparison Exclude filter mode options

At this time, the WEST Holdings Count and US OCLC Holdings Count filters are not available in the Exclude filter mode.

## E. Interpreting results

Filter criteria are applied at the title level, and *all* holdings for titles that match the filter criteria included in the output reports. Archived holdings for titles that match the filter criteria are included in the ArchivedComparison report; unarchived holdings for titles that match the filter criteria are included in the UnarchivedComparison report; titles that did not match the filter criteria are reported back in the NotMatched report.

If you specify multiple conditions (check multiple boxes) within a single filter, the report will include holdings that meet *any* of the conditions checked. For example, if under the Archiving Program filter you check "WEST" and "Rosemont," the report will include all holdings that are archived for WEST or archived for Rosemont, and will exclude titles that are archived by neither WEST nor Rosemont. This is the same in both filter modes.

When using the Include filter mode, if you use multiple filters (e.g., Archiving Program plus Validation Actions), the final output reports will only include results where *all* conditions are met. For example, if you check "WEST" and for "Validated for completeness," the results will include titles where a copy has been archived for WEST AND that WEST-archived copy has been validated for completeness.

When using the Exclude filter mode, the output reports will exclude titles where *any* conditions are met (e.g., exclude titles where a copy is archived for WEST and titles archived for any program that have been validated for completeness).

### 1. Example use cases

These examples are provided to help WEST members start thinking about how to use the new filter modes, and what to expect in the output results. These are common use cases, not the only potential uses.

*Example 1:* I want to identify titles for deselection that (1) are archived by WEST AND (2) have at least 2 other unarchived copies in the western region.

- **Solution:** Using the Include filter mode, run a single report filtered to only show you titles where WEST has an archived copy, then review the UnarchivedComparison report to identify titles with two or more unarchived copies.
  - Select the "WEST" filter criterion and upload your file.

- Open the UnarchivedComparison output report. All holdings in this report are unarchived copies of titles that are archived elsewhere in WEST.
- Use the “Save as” function to change the file type to Excel Workbook (\*.xlsx).
- Create a pivot table. In the popup dialog box to create the pivot table, select the option to Add this data to the Data Model.
- Once the pivot table is created, drag “OCLC Number” to the Rows area.
- Drag “WEST Holdings Institution” to the Values area. Make sure this is calculating the Distinct Count of WEST Holdings Institution (this will ensure that each OCLC symbol is only counted once).
- In the pivot table, identify the OCLC numbers that have a value of two or more, indicating that two or more institutions have unarchived holdings for the title. These are your deselection candidates.

*Example 2:* My library had a flooding incident and 5 titles we committed for WEST were damaged. I need to find out (1) what other unarchived copies exist amongst WEST members so I can arrange for a replacement copy **OR** (2) if another copy does not exist in WEST, I’d like to know if three copies have already been archived by Rosemont Programs.

- *Solution:* This question requires two reports, one for each scenario (identifying a replacement copy within WEST and checking to see if three copies are already archived by Rosemont programs). Both reports will use the Include filter mode.
  - *Report 1:* Identifying unarchived copies in the western region.
    - Upload your file without selecting any filter criteria.
    - Open the UnarchivedComparison output report. All holdings in this report are unarchived copies of titles that are archived elsewhere in WEST.
    - Review the unarchived holdings to identify candidates for replacement. When deciding which institution to contact, the “% of Published Run Held at WEST Institution” column is highly valuable for identifying which copies are the most complete (please note that this calculation is an estimate).
    - Use the contact information in the report to reach out to your candidate institutions.
  - *Report 2:* Checking the number of copies already archived by Rosemont programs.
    - Select the “Rosemont” filter criterion and upload your file.
    - Open the ArchivedComparison report.
    - Use the “Save as” function to change the file type to Excel Workbook (\*.xlsx).
    - Create a pivot table. In the popup dialog box, select the option to Add this data to the Data Model.
    - Once the pivot table is created, drag “OCLC Number” to the Rows area.
    - Drag “Archiver” to the Values area. Make sure this is calculating the Distinct Count of Archiver (this will ensure that each program is only counted once).\*
    - Drag “Rosemont Program” to the Filters area. Update this filter to only show results for Y (indicating the program is a member of the Rosemont Shared Print Alliance).
    - In the pivot table, identify the OCLC numbers that have a Distinct Count of Archiver value of three or more, indicating that three or more Rosemont institutions have unarchived holdings for the title. These are your deselection candidates.

	A	B
1	Rosemont Program	Y
2		
3	Row Labels	Distinct Count of Archiver
4	1536907	2
5	2251987	2
6	3314307	1
7	5844965	3
8	5844990	4
9	9089147	6
10	22516151	4
11	<b>Grand Total</b>	<b>16</b>
12		
13		
14		

**PivotTable Fields**

Drag fields between areas below:

**Filters**

Rosemont Program

**Columns**

**Rows**

Archived OCLC Num...

**Values**

Distinct Count of Arch...

Figure 38: Pivot table for Example 2 Report 2, checking the number of copies already archived by Rosemont programs

\* Alternatively, you may want to use Distinct Count of Archiving Program (rather than Archiver) to check that three or more Rosemont *programs* have copies retained for the titles. This will eliminate cases where a single program has archived multiple copies of a title.

**Example 3:** I want to know if I have extra copies of any WEST archived titles so I can donate the volumes to Internet Archive for digitization.

- **Solution:** Using the Include filter mode, run a single report filtered to only show you titles where WEST has an archived copy, then review the ArchivedComparison report.
  - Select the “WEST” filter criterion and upload your file.
  - Open the ArchivedComparison output report.
  - All titles included in this report have been archived for WEST, and are candidates for donation to the Internet Archive for digitization.

**Example 4:** I want to find journals in my collection that haven’t been archived in print by WEST or any other shared print program so I can archive them for WEST. I want to give preference to journals that are scarcely held within WEST.

- **Solution:** Using the Exclude filter mode, run a single report filtered to show you titles that have not been archived by WEST or Rosemont or another program, then review the UnarchivedComparison report.
  - Select the Exclude filter mode.
  - Select all options in the Archiving Program filter and upload your file.
  - Open the UnarchivedComparison output report.
  - All titles in this report are not yet retained in print for any shared print program and are candidates for retention by your library.
    - Note that HathiTrust, Portico, and CLOCKSS may have copies of these titles in their digital repositories. Since these are *digitally* preserved and not print copies, they are not counted as being retained for shared print.
  - To narrow the list to only titles that are scarcely held in WEST or in the US, review the Count of WEST Institutions and Count of US OCLC Institutions fields.

**Example 5:** I know some of the titles in my collection have been archived for WEST and other programs, but I recently transferred my journals to storage and in the process physically verified their completeness. I want to archive my copy for WEST if there are no validated copies already retained for shared print.

- *Solution:* Using the Exclude filter mode, run a single report filtered to show you titles that have not been validated for completeness.
  - Select the Exclude filter mode.
  - Select Validated for completeness (excludes titles where any holdings has been validated for completeness).
  - Open the ArchivedComparison report.
  - All titles on this report have no copies retained for any shared print program that have been physically validated for completeness, and are candidates for retention for WEST.

## Appendix 2: Validator Reports Documentation

### AGUA Validator Report

The AGUA Validator is run on WEST contributor files of bibliographic records, holdings, and, in some cases, item data submitted during the unarchived title ingest that seed the WEST group collections analysis. The .rpt report file gives a summary of errors, plus an overview of the file processing statistics. A companion warning.txt file supplies associated eye-readable MARC records followed by relevant error messages.

This report is output as part of the unarchived title conversion process, which is run before records can be loaded to the AGUA database. Validation is run on your source data and is not compared with the current copy in OCLC. This validator focuses on control number validity and correct subfield usage for control numbers, as well as various Leader byte and format coding for print serials. Records with problems in any of these areas will be written out to the companion "warning" file along with any generated error message.

### Error Counts

The error counts (Lacks output 895\$a) can be ignored by the data owner. This section is for WEST metadata analyst staff, who will follow up if error counts require clarification. These errors are a count of records rejected from the processor due to lack of associated holdings which are otherwise mapped to an 895 before loading to the AGUA database. This generally happens when a record is submitted with multiple locations, but one or more of the locations has no associated holdings. Whenever there are "error counts", the WEST metadata analyst will carefully review your data to be sure that we aren't missing holdings in error. If there is an error in picking up holdings, the analyst will work with you and the AGUA developers to adjust your processing profile to capture holdings that would otherwise be missed.

### Warning Counts

This section displays errors listed in the .rpt report file which should be reviewed by the data owner. Each error in this section is associated with an output eye-readable MARC record in a companion warning.txt file.

### Invalid ISSN, LCCN, or OCLC Number

**Critical.** This error is generated when a control number is stored in an incorrect linking data subfield, or, where the numeric value is incorrectly formatted.

- *What this means for WEST:* This error is critical, because the WEST collection analysis tools depend upon correctly formatted control numbers, stored in the correct MARC tag and subfield location, in order to facilitate matching with the correct journal family for collection analysis. Errors in this area negatively affect the probability that the record will match correctly.
- *What this means for the data owner:* Badly formatted control numbers may affect search and retrieval, or, at worst, cause records to match and overlay incorrectly. Linking data fields containing related title control numbers won't "connect" correctly to their related titles, or may connect to unrelated titles. Badly formatted linking data control numbers may hinder work done by catalogers, bibliographers, and reference librarians who routinely need to see related titles as part of their work.
- *Solution:* Data owner should upgrade records to include ISSN, LCCN, and/or OCLC numbers where lacking, or correct records where values or subfielding is in error.

### Leader/05 is equal to "d"

This error is generated when Leader 5 is set to "delete."

- *What this means for WEST:* WEST wants to be sure that records submitted for collection analysis are in good standing and have not been marked for deletion and sent in error.



- *What this means for the data owner:* Leader/05 is set to "d" to mark the record as "delete transaction", meaning that this record is ready for deletion. Where marked in error, there is a risk that the record could be inadvertently deleted. Generally speaking, this just causes confusion locally and in downstream processes, such as WEST processing.
- *Solution:* Data owner should correct incorrect values in the Leader, or, if valid, remove any associated holdings data and exclude from output unarchived ingest file.

### Leader/06/07 is not equal to "as"

This error is generated when Leader byte values don't conform with print serial coding.

- *What this means for WEST:* WEST requests that print serials are submitted for unarchived title holdings analysis. Inclusion of monographs or non-print formats will complicate analysis in cases where the error isn't merely an error in coding.
- *What this means for the data owner:* Where there are errors in Leader byte coding, but the bibliographic record does describe a print serial, this may affect filtering and limiting functions in the local catalog which use these coding values to function. Where Leader byte coding isn't for print serials and indeed, if the record description doesn't describe a print serial, this doesn't represent an error, per se, but may indicate that either print holdings have been attached to a non-print/serial record in error, or, that the institution wasn't able to filter these out as part of the file submission process, in which case, there are no errors to correct. That said, ideally, and local practice aside, it's best to attach print serial holdings to a print serial description record for several reasons: one, it will enable end users to easily identify these records locally using search functions accurately, and two, you will ensure that holdings are set on the correct OCLC record which facilitates OCLC consortium functions like inter-library loan or "who holds what."
- *Solution:* Data owner should correct incorrect values in the Leader and/or attach holdings records and item data for print serials to print serial description records, while doing any OCLC housekeeping as needed.

### Non-Print Format

This error is generated for a few conditions: MARC 245 contains \$h; 008/23 is not equal to blank, #, \, r or |; or, one or more 33X fields is present and contains at least one form value other than volume, sheet, text, or unspecified.

- *What this means for WEST:* WEST requests that only print serials are submitted for unarchived title ingest and subsequent collection analysis. Including non-print materials complicates analysis downstream if we're unable to remove these during the location filtering step. For example, if all serial e-resources are "held" at location "net", we can easily remove these from consideration. On the other hand, if serial e-resources are "held" at location "per" with all other print serials, then we're unable to identify and remove these titles.
- *What this means for the data owner:* Where values are incorrect, this may affect search filtering and limiting locally, as these functions rely on fixed code values. Where print holdings have purposely been attached to non-print format records, this may inadvertently hide holdings from patrons who are searching for "print" materials. Where holdings for print materials have been set in OCLC on non-print bibliographic records, this complicates ILL and other processes at OCLC.
- *Solution:* Data owner should correct incorrect values in the 008 and/or attach holdings records and item data for print serials to print serial description records, while doing any OCLC housekeeping as needed.

### File Summary

In addition to alerting you to errors that may need correction, the AGUA validator report will supply the following information about the processed file. This added information requires no action..

### File Processing Summary

- Total input records
- Invalid records
- Duplicate records created (where more than one location + holdings are associated with a bibliographic record.)

- Rejected records (where no holdings were associated with either a bibliographic record, or a specific holdings location. We do not load these to the database, since either no holdings were submitted, or holdings could not be discerned given input data conversion profiling.)
- Total output records

### Output File Field Counts

- OCLC number (we map this to field 001)
- ISSN (022\$a)
- Local system number (we map this to field 901)
- Concatenated holdings from your input holdings and item data where applicable (we map this to field 895)

### Holdings Location Codes

- Code values in output file (we map this to 852\$c)
- Code values in rejected record file (we map this to 852\$c)

If you have any comments or questions regarding your AGUA validator report, please don't hesitate to reach out to [WEST staff](#) so we can address your concerns.

## CRL Validator Reporting

The CRL Validator is run on WEST contributor files of bibliographic (unarchived ingest) or holdings records (archived ingest). The CRL Validator helps identify data in contributor records that do not match the OCLC record and flags it for review and correction.

WEST does not require that contributors correct errors, but does encourage them to review reports and correct where needed. We understand that local practice may be the source of some categories of errors generated, for example, "Holdings Out of Range." However, contributors should keep in mind that error corrections will enhance internal WEST processing routines and collection analysis. We have marked error categories as "critical" where they affect WEST processes.

Contributors should note that when WEST sends disclosure records to CRL for ingest into the PAPER registry, that CRL does their own validation on files. CRL has stricter parameters as to what they will ingest, so while WEST ingests ALL records in a contributors file, CRL rejects certain categories of records if they fail to validate. Again, record review and correction is encouraged where possible, as it will ensure that all records submitted to CRL for inclusion in the PAPER registry will be ingested.

If you wish to correct these records please see the detailed error descriptions below for information on how to do so.

- For **archived ingest reports**, note that the validator will consolidate multiple holdings fields in a single holdings disclosure record to create a single summary holdings string. The primary OCLC number in the input record is searched in OCLC. Matching OCLC data from the bibliographic record is used to formulate error conditions. Note that the contributor's local bibliographic record copy may differ from OCLC. Ideally, the local record coding matches what's in OCLC.
- For **unarchived ingest reports**, it's important to note that a preprocessing step will clone records with more than one location. Each cloned record contains a unique location with that location's holdings. Therefore, there may appear to be duplicate entries for a singly submitted bibliographic record. Holdings and/or item data fields are consolidated to create a single summary holdings string for each unique location. The primary OCLC number in the input bibliographic record is searched in OCLC. If a match is found, data from that OCLC record is compared with the contributor's input bibliographic and holdings data to generate any error conditions. Note that the contributor's local bibliographic copy may differ from OCLC. Ideally, the local record coding matches what's in OCLC.

## Errors

### Holdings Have No Years

**Critical.** This error is generated when no years are detected in the summary holdings string.

- *What this means for WEST:* This error is critical, because the WEST collection analysis tool uses years to determine depth of back-file. If no years are detected, then depth of back-file is equal to zero.
- *What this means for the data owner:* Cataloging practices do not require that years are included in holdings notation unless years are on the piece being described. Some institutions add years in square brackets to aid in discovery, the square brackets indicating that the years are known, but are not on the piece itself.
- *Solution:* None needed. In many instances it is not technically “wrong” for summary holdings to lack years, but several WEST processes draw on this information. If it is not present, the information available to WEST is incomplete.

### ISSN Mismatch With OCLC

**Critical.** This error is generated when either a primary ISSN is lacking (022\$a) or the value doesn't match with what's expressed in the matching OCLC record.

- *What this means for WEST:* WEST uses the OCLC number from the input record to search OCLC and harvest any relevant control numbers from the matching OCLC record, including ISSN (022\$a) and linking data fields' \$x.) Therefore an absent or incorrect ISSN is of no consequence, unless the record also lacks an OCLC number.
- *What this means for the data owner:* It is strongly encouraged that contributors update their records which either lack or have incorrect ISSN numbers, as this will affect local discovery, data control, and record management.
- *Solution:* Data owner should upgrade records to include/correct ISSNs where needed.

### No OCLC Number

**Critical.** This error is generated when the input record lacks a primary OCLC number.

- *What this means for WEST:* WEST uses the OCLC number (either primary or merged value) to harvest an array of control numbers from the OCLC record, including OCLC numbers, LCCN, and ISSNs from both primary fields and from linking data fields. These values are used through various processes to match with Ulrichs to assign a Journal Family ID. Where a primary OCLC number is lacking, we are unable to access the full array of possible match points, so it can significantly lessen the chances that a record will match with a journal family in Ulrichs.
- *What this means for the data owner:* It is strongly encouraged that contributors update their records lacking OCLC numbers not just for WEST, but for local discovery, local data control, and record management.
- *Solution:* Data owner should upgrade records to include OCLC numbers where lacking.

### Holdings Out of Range

**Critical.** This error is generated when detected holdings (years) fall outside of the matching OCLC record's fixed date fields in the 008.

- *What this means for WEST:* Detected depth of holdings may be deeper for that title than what is actually accurate. Volumes held by related titles (succeeding and preceding) may be lacking altogether, or less than what is accurate.
- *What this means for the data owner:* Local discovery of volumes held by individual titles will be compromised. Succeeding and preceding titles may be lacking from the catalog. While these titles may be added to a "primary" record for discovery purposes, the catalog will lack the added richness of these individual records.
- *Solution:* Data owner should review holdings and move volumes as appropriate to existing records, or new records where needed.

## OCLC Merged Number

This error is generated when the input primary OCLC number matches with the correct record, but has matched on a merged OCLC number.

- *What this means for WEST:* This has no effect on WEST processes, since we capture the entire OCLC number "set" in order that both primary and any merged (cross-reference) OCLC number can be used to match with the correct OCLC record.
- *What this means for the data owner:* The data owner need not make any changes to their records for WEST purposes. However, they may want to update these records with a fresh OCLC copy. A merged primary number may indicate that the record is old, and a fresh copy would provide significant enhancements. If OCLC record ingest in a local catalog is not set up to consider both primary and merged numbers for match purposes, a merged primary may signal a need to review to be sure that the catalog does not contain "duplicate" bibliographic records that should be merged.
- *Solution:* None needed.

## Serial Type Not Periodical

This error is generated when the matching OCLC record is coded for something other than periodical (not blank, \, g, j, m, p, -, ). See [008/21, continuing resources](#).

- *What this means for WEST:* We do not ask that materials be excluded by serial type.
- *What this means for the data owner:* Since we do not ask that materials be excluded by serial type, there is no action required.
- *Solution:* None needed.

## Invalid Form of Item

This error is generated when the matching OCLC record is coded for something other than physical print (blank, \, r, -). See [008/23, continuing resources](#).

- *What this means for WEST:* We ask that only records for physical print materials be submitted with unarchived title files. Form being something other than physical print, i.e., microform, electronic, online, etc., indicates that the record isn't a physical print description record. This may affect Ulrichs journal family matching, or other control number matching processes down the line, especially if these same records are used with disclosed WEST archived holdings.
- *What this means for the data contributor:* Multi-format records should not be used as they adversely affect downstream processes in organizations like WEST and HathiTrust. In some respects they make discovery easier for end-users, but in others they do not. For example, material type filters employed by end users may exclude online, microform, or print holdings depending upon the type desired. Print records, on the other hand, may merely be badly coded either locally, or also in OCLC. Note that correctly coded, non print records may have been submitted with non-print holdings, in which case there is no error. These holdings will generally be excluded using location criteria, so can be ignored.
- *Solution:* Data owners should correct badly coded records both locally and in OCLC where needed, and/or pick apart multi-format records and either move holdings to existing records or to new records as appropriate. Where records are non-print with non-print holdings attached, consideration can be given to excluding these in future.

## Invalid Carrier Type

This error is generated when MARC 338 contains a carrier type that is not consistent with a hard copy print record. Carrier type and form of item should be in sync. When they are not, it indicates a miscode in one or the other. When in sync, it will indicate that a non-print record was used with print holdings, or that non-print holdings were submitted.

- *What this means for WEST:* We ask that only records for physical print materials be submitted with unarchived title files. Carrier type indicating something other than physical print, indicates that the record isn't a physical print description record. This may affect Ulrichs journal family matching, or other control number matching processes down the line, especially if these same records are used with disclosed WEST archived holdings.

- *What this means for the data contributor:* Multi-format records should not be used as they adversely affect downstream processes in organizations like WEST and HathiTrust. In some respects they make discovery easier for end-users, but in others they do not. For example, material type filters employed by end users may exclude online, microform, or print holdings depending upon the type desired. Print records, on the other hand, may merely be badly coded either locally, or also in OCLC. Note that correctly coded, non-print records may have been submitted with non-print holdings, in which case there is no error. These holdings will generally be excluded using location criteria, so can be ignored.
- *Solution:* Data owners should correct badly coded records both locally and in OCLC where needed, and/or pick apart multi-format records and either move holdings to existing records or to new records. Where records are non-print with non-print holdings attached, consideration can be given to excluding these in future.

## Title Mismatch

**Critical.** This error is generated when the title in the input file differs significantly from the title in OCLC. Titles are considered to be matched if 90% of the characters in whichever is the shorter of the two matches the longer title.

- *What this means for WEST:* This is a critical error, as it indicates that the OCLC number in the input record is not the correct OCLC number for that title. Because of our other processes in harvesting control numbers based on the input primary OCLC number, this will adversely affect matching with Ulrichs.
- *What this means for the data owner:* These should be reviewed and corrected as soon as possible by the data owner as this has such a profound effect on downstream processes for organizations such as WEST and HathiTrust, or any batch automation data exchange with OCLC.
- *Solution:* Review and correct any OCLC numbers and other bibliographic data associated with title mismatches as soon as possible.

## Bib Level Not Serial

This error indicates that Leader byte 07, bibliographic level was something other than "s" serial in the OCLC record.

- *What this means for WEST:* We ask that data contributors only send serial titles. We do not drop these from loading or processing, however, as they tend to be miscoded rather than actual monographic titles.
- *What this means for the data owner:* Miscoded records may affect data discovery and data management. Filtering results sets for serials, for example, may not work correctly if records are miscoded as monographs.
- *Solution:* These records should be reviewed both locally and in OCLC and corrected where needed.

## No OCLC Match

**Critical.** This error indicates that no match was found for the OCLC number given in the input record with OCLC.

- *What this means for WEST:* Since we rely so heavily on OCLC number, this is considered to be a critical error. It generally indicates that the number contained punctuation or other characters which kept it from matching. These may also be old Institution Record numbers. These were numbers assigned to local copy in OCLC. These records/numbers no longer exist. Typically, very few records have this error.
- *What this means for the data owner:* Records lacking correct OCLC numbers in local systems can affect discovery, data control, and database management.
- *Solution:* Data owner should upgrade records to include/correct OCLC numbers where needed.

## Invalid ISSN

This error indicates that the input ISSN failed the algorithm for checking valid ISSNs.

- *What this means for WEST:* Since we look up ISSNs for each bibliographic record with a valid input primary OCLC number, this isn't an issue; we harvest the current ISSN set from OCLC. Furthermore, an "invalid" ISSN may be the currently assigned and matching/legitimate ISSN in the OCLC record.

- *What this means for the data owner:* While the ISSN may fail validation, it may be the correct ISSN in the OCLC record. Still, these should be reviewed and corrected locally and in OCLC where needed. Use of the ISSN Database and referencing the hard copy may be needed in order to do so.
- *Solution:* Data owner should review and correct ISSNs both locally and in OCLC where needed.

### Binding Words in Holdings

This error is generated when a word or fragment is found in holdings that points to a binding note (“Bound with vol. 26 1988”). The scripts currently search for “bound” or the fragment “bd w” in 866\$a.

- *What this means for WEST:* No effect. However, it should be noted that CRL will drop records from ingest into the PAPR registry where this error is encountered. If this is a concern, WEST contributors can correct this issue by moving the binding statement to 866\$z.
- *What this means for the data owner:* No affect
- *Solution:* Where desired/possible, move the binding statement to 866\$z. Make sure that your local system allows for/makes good interpretive sense of \$z data at the OPAC level before doing so.

### Completeness Words in Holdings

This error is generated when a word or fragment is found indicating incomplete or partial holdings. Currently the scripts search for the following: “inc”, “compl”, “miss”, “lack”, “without”, “w/o”, or “repr” in 866\$a.

- *What this means for WEST:* No effect. However, it should be noted that CRL will drop records from ingest into the PAPR registry where this error is encountered. If this is a concern, WEST contributors can correct this issue by moving the completeness statement to 866\$z.
- *What this means for the data owner:* No effect
- *Solution:* Where desired/possible, move the binding statement to 866\$z. Make sure that your local system allows for/makes good interpretive sense of \$z data at the OPAC level before doing so.

### Nonprint Words in Holdings

This error is generated when a term is found indicating that holdings are for audiovisual or music materials, not hard copy print. The scripts currently search for ‘DVD’ and ‘CD’ in 866\$a.

- *What this means for WEST:* No effect. However, it should be noted that CRL will drop any records from ingest into the PAPR registry which generate this error.
- *What this means for the data owner:* No effect.
- *Solution:* None recommended. Since it is technically correct to express non-print format holdings in an 866 \$a, there is no good solution. In order to "correct" this, the data owner would need to drop this data from the holdings statement, which has negative repercussions for display and inventory at the local level.

### Rec Type Not Language Material

This error indicates that Leader byte 06 is not equal to a, so is not language material.

- *What this means for WEST:* We ask that data contributors only send print, language, serial titles. We do not drop these from loading or processing, however, as they tend to be miscoded rather than actual non-language materials.
- *What this means for the data owner:* Miscoded records may affect data discovery and data management. Filtering results sets for language material (as opposed to maps or notated music), for example, may not work correctly if records are miscoded as non-language.
- *Solution:* These records should be reviewed both locally and in OCLC and corrected where needed.