



Western Regional Storage Trust

SPDS Serial User Manual

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I. Introduction to SPDS

The Shared Print Decision Suite, or SPDS, is a user interface that provides access to various functions and reports to support WEST collection analysis and archiving.

URL: <https://spds.cdlib.org>

The SPDS 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 SPDS home page at any time, click on the “Brought to you by Western Regional Storage Trust | SPDS” 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 SPDS system.

Login Screen:

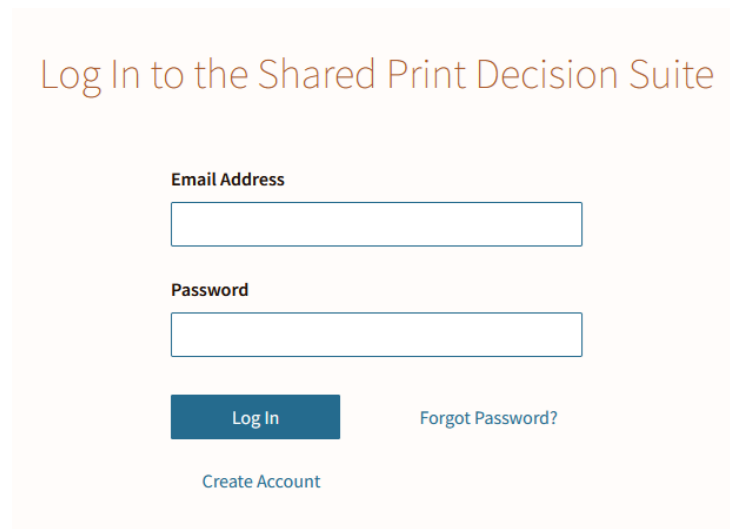
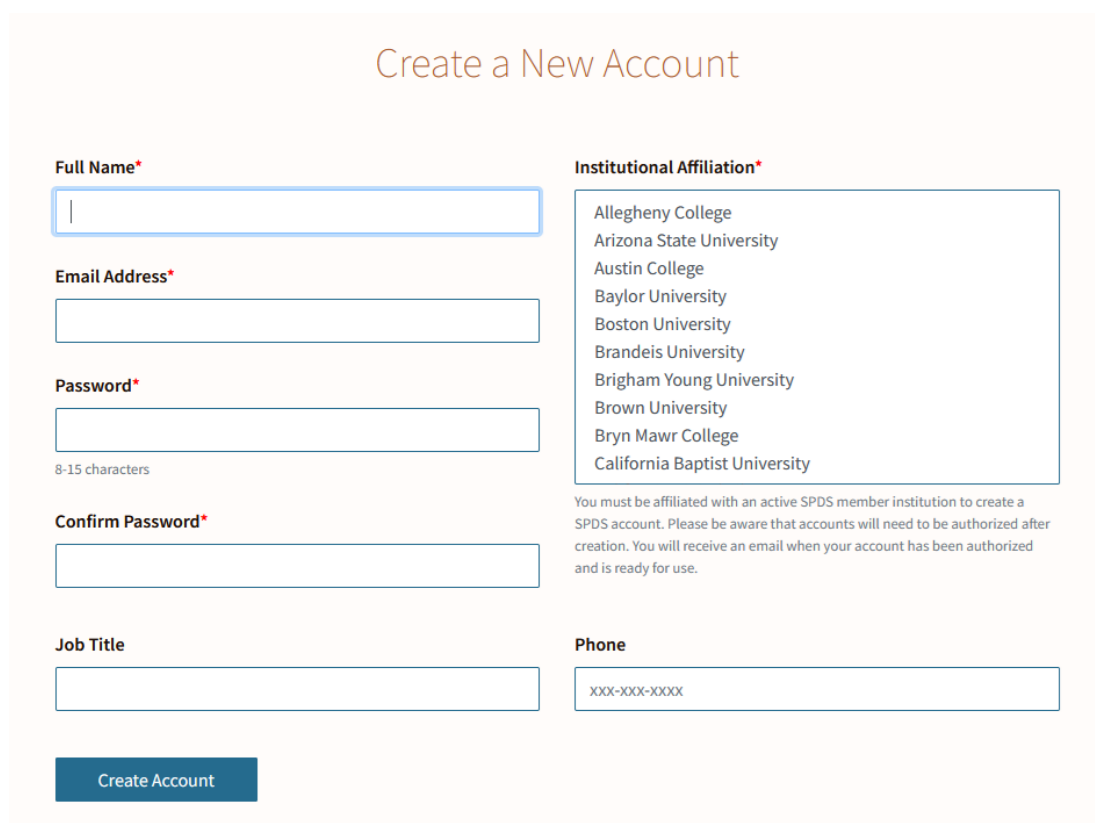
The image shows the login screen for the Shared Print Decision Suite (SPDS). It has a light orange background. At the top, the text "Log In to the Shared Print Decision Suite" is displayed in a brown font. Below this, there are two input fields: "Email Address" and "Password", both with blue borders. Under the "Email Address" field is a blue "Log In" button. To the right of the "Log In" button is a blue link that says "Forgot Password?". Below the "Log In" button is a blue link that says "Create Account".

Figure 1: SPDS login screen

A. First-time Login

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

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

The image shows a web form titled "Create a New Account" in a light orange header. The form is divided into two columns. The left column contains four input fields: "Full Name*" (with a cursor), "Email Address*", "Password*" (with a note "8-15 characters" below it), and "Confirm Password*". The right column features a dropdown menu for "Institutional Affiliation*" with a list of institutions: Allegheny College, Arizona State University, Austin College, Baylor University, Boston University, Brandeis University, Brigham Young University, Brown University, Bryn Mawr College, and California Baptist University. Below the dropdown is a note: "You must be affiliated with an active SPDS member institution to create a SPDS account. Please be aware that accounts will need to be authorized after creation. You will receive an email when your account has been authorized and is ready for use." At the bottom of the form are two more input fields: "Job Title" and "Phone" (with a placeholder "XXX-XXX-XXXX"). A dark blue "Create Account" button is positioned at the bottom left of the form area.

Create a New Account

Full Name*

Email Address*

Password*

8-15 characters

Confirm Password*

Job Title

Institutional Affiliation*

- Allegheny College
- Arizona State University
- Austin College
- Baylor University
- Boston University
- Brandeis University
- Brigham Young University
- Brown University
- Bryn Mawr College
- California Baptist University

You must be affiliated with an active SPDS member institution to create a SPDS account. Please be aware that accounts will need to be authorized after creation. You will receive an email when your account has been authorized and is ready for use.

Phone

XXX-XXX-XXXX

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.

After you've created your account, your account will need to be approved by SPDS staff before you can use it. You will receive an email when your account has been approved and is ready to be used. Please allow up to 1 business day for your account to be approved.

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](#). SPDS project staff and authorized library staff may authorize new users for additional functions.

B. Resetting Your Password

If necessary, you may reset your SPDS 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 and enabled 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 SPDS.

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 SPDS to accept it. If your OCLC symbol is not followed by a period in the file name, SPDS will reject it.

1. Upload Your File

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

Figure 4: Upload files to SPDS

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 SPDS.

iii. File Type

Whichever upload option you select for your submission, please make sure to select the correct file type for your submission. This manual is specifically about the serial functionality in SPDS. For more information about the monograph functionality in SPDS, please refer to the [SPDS Monograph User Manual](#).

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 SPDS 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
		Select All		Select All	Select All
law-azref	AZC	☐	☒	☒	☒
law-core	AZC	☒	☐	☒	☒
law-elh	AZC	☒	☐	☐	☐
law-hirsch	AZC	☐	☐	☐	☐
law-indian	AZC	☒	☒	☒	☒
law-media	AZC	☐	☒	☒	☒
law-ref	AZC	☐	☒	☒	☒
law-rsv	AZC	☐	☒	☒	☒
law-ssc	AZC	☐	☐	☐	☐
law-state	AZC	☐	☐	☒	☒

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 SPDS module during each cycle to review journal families proposed for archiving and to record their library's archiving decisions.

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

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

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 Journals1

Preview WEST Holdings2

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	☒	☐	☐
35834	La Revue de Belles-Lettres		111	☒	☐	☐
69969	Revista Venezolana de Filosofia		13	☒	☐	☐
106124	Aqui	EditorialArca	10	☒	☐	☐
114838	Revista do B N D E		5	☒	☐	☐
118264	Annuaire du Tiers Monde	Berger-Levrault Editions	12	☒	☐	☐
136321	L E A		8	☒	☐	☐
136509	Letteratura Italiana Contemporanea	Lucarini Editore s.r.l.	13	☒	☐	☐

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, SPDS 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	☒	☐	☐
35834	La Revue de Belles-Lettres		111	☒	☐	☐
69969	Revista Venezolana de Filosofia		13	☒	☐	☐
106124	Aqui	EditorialArca	10	☒	☐	☐
114838	Revista do B N D E		5	☒	☐	☐
118264	Annuaire du Tiers Monde	Berger-Levrault Editions	12	☒	☐	☐
136321	L E A		8	☒	☐	☐
136509	Letteratura Italiana Contemporanea	Lucarini Editore s.r.l.	13	☒	☐	☐

Figure 8: Record journal commitments, highlighting archiving decision options

- 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.
- 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:
 - 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.

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 [SPDS 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 SPDS 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 SPDS 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 [SPDS User Manual - Archive Builder Supplement](#).

IV. Reports and Downloads

This section of the dashboard 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.

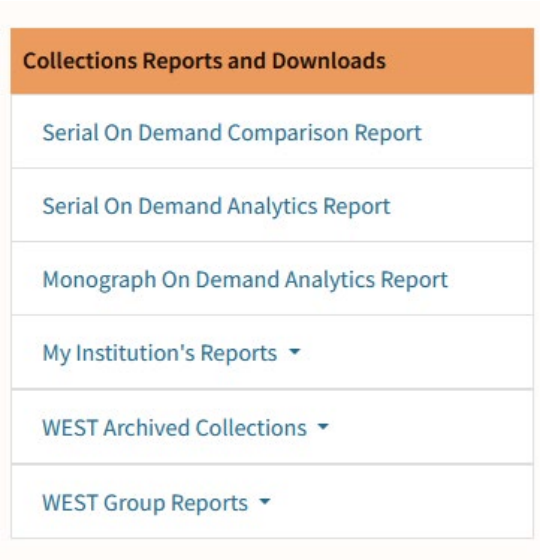


Figure 10: Collections Reports and Downloads section on the SPDS Dashboard

A. Serial On Demand Comparison Report

The Serial 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 by uploading a locally prepared list of journal identifiers. 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 Serial On Demand Comparison Report tool.

B. Serial On Demand Analytics Report

The Serial On Demand Analytics Report tool allows all WEST members to generate a report of titles held by pre-defined groups from the SPDS 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 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 2](#) for detailed instructions on using the Serial On Demand Analytics Report tool.

C. 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, Serial Validation Reports, and JRNL Export Files.

Collections Reports and Downloads
Serial On Demand Comparison Report
Serial On Demand Analytics Report
Monograph On Demand Analytics Report
My Institution's Reports ▾
Newest Reports
Collection Comparison Reports
Archiving Commitment Reports
Serial Validation Reports
Monograph 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 SPDS'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	AZC 2012 Collections Comparison
	2013	2	AZC 2013 Collections Comparison
	2014	3	AZC 2014 Collections Comparison
	2015	4	AZC 2015 Collections Comparison
	2016	5	AZC 2016 Collections Comparison
	2017	6	AZC 2017 Collections Comparison
	2018	7	AZC 2018 Collections Comparison
	2019	8	AZC 2019 Collections Comparison
	2020	9	AZC 2020 Collections Comparison
	2021	10	AZC 2021 Collections Comparison

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:

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		Committed Journals
			1	WEST Holdings for Committed Journals
				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. Serial 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 SPDS: an SPDS 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:

- **SPDS 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-SPDS-JRNL-instructions.pdf>

D. 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.

E. 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 ISSN, how many records matched to a journal family, and how many records were assigned to each title category.

V. Contacts

SPDS 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 SPDS users.

A. Contact WEST Staff

SPDS users may use the Contact WEST Staff link on the SPDS dashboard to contact the WEST project team at any time. This link will open a draft email to 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 SPDS (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

Allegheny College

Arizona State University

Austin College

Baylor University

Boston University

Brandeis University

Brigham Young University

Brown University

Bryn Mawr College

California Baptist University

California Digital Library

OCLC Symbol(s)

Primary Contact

Alison Wohlers

alison.wohlers@ucop.edu

Alternate Contact

Nika Worth

nika.worth@ucop.edu

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.

Update Member Institution

Institution: Baylor University

Primary Contact

Full Name

Email Address

Alternate Contact

Full Name

Email Address

Technical Contact

Full Name

Email Address

Membership

☐ Current WEST Member

OCLC Symbols

IYU

Submit

Cancel

Figure 20: Update your institution contact(s)

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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 SPDS 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.

SPDS 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: SPDS Authorized Roles for users and corresponding functions

B. Update Your Account

Each user has permission to update certain information in their SPDS 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:

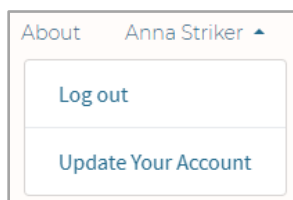


Figure 21: User management option menu

This function allows all users to update the name, phone number, and job title associated with their SPDS 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).

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.

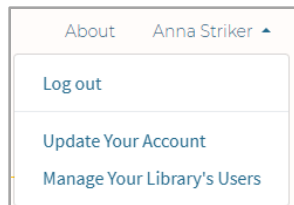


Figure 23: User management option menu - Campus Admin view

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.

The 'Manage User' form is divided into two columns. The left column contains input fields for 'Full Name' (Anna Striker), 'Email Address' (anna.striker@ucop.edu), 'Phone' (510.287.3819), and 'Title' (Shared Print Operations and Collections Analyst). The right column shows 'Institutional Affiliation' (California Digital Library) and 'Authorized Roles' with checkboxes for Reader (checked), Holder, Builder, and Campus Admin. At the bottom are three buttons: 'Save Changes' (dark blue), 'Cancel Changes' (light blue), and 'Delete User' (red outline).

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

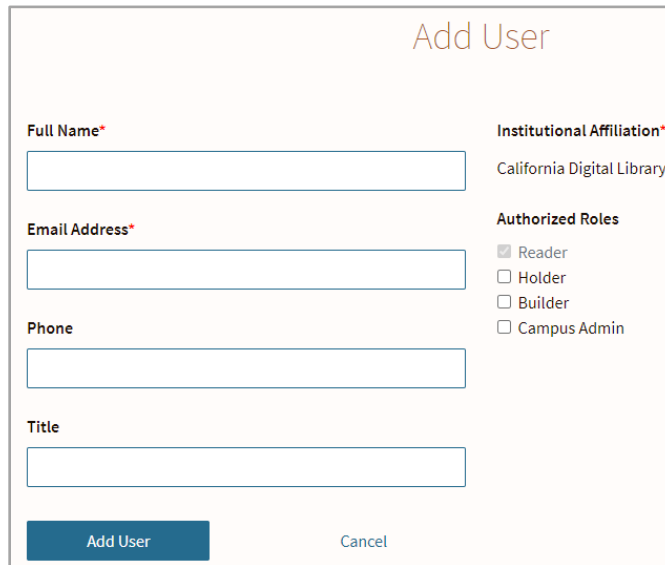
To delete a user account from your institution, open the account following the above instructions, then select the red Delete User button, then confirm.

The 'Delete user confirmation' popup has a title bar with a close button (X). The main text asks 'Are you sure your want to delete this user account?'. At the bottom are two buttons: 'Cancel' (red outline) and 'Delete User' (dark blue).

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.

The image shows a web form titled "Add User" in a light orange header. The form is divided into two main columns. The left column contains four text input fields: "Full Name*" (with an asterisk), "Email Address*" (with an asterisk), "Phone", and "Title". The right column contains a dropdown menu for "Institutional Affiliation*" (with an asterisk) showing "California Digital Library", and a section titled "Authorized Roles" with four checkboxes: "Reader" (checked), "Holder", "Builder", and "Campus Admin". At the bottom left is a blue button labeled "Add User", and at the bottom right is a blue link labeled "Cancel".

Add User

Full Name*

Email Address*

Phone

Title

Institutional Affiliation*
California Digital Library

Authorized Roles

☒ Reader
☐ Holder
☐ Builder
☐ Campus Admin

Add User [Cancel](#)

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 Serial On Demand Comparison Report tool

WEST offers a Serial On Demand Comparison Report tool that members may use to compare their local journal and serial holdings against holdings stored in the SPDS 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 SPDS 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 title if multiple institutions have holdings for that title or if a single institution has multiple holdings. Additionally, SPDS 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 the Serial 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	Personne	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	Active	
12	2441043	0360-2397	WTU	.b1490856	v.57-62 (1913-1916)		1913	1916	4	Manners &	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	b1702782	no.10(1949)-95(1972		1949	1972	24	Textile fal	Ceased	

Figure 29: Example Serial On Demand Comparison input file. Note that optional columns which are left blank, but sandwiched between other optional columns with data, such as Column F, will be replicated in the output reports, while blank columns at the end, such as L, will be left off the output report.

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.

B. Running the Serial 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 SPDS dashboard, under Reports and Downloads, select On Demand Comparison Report.

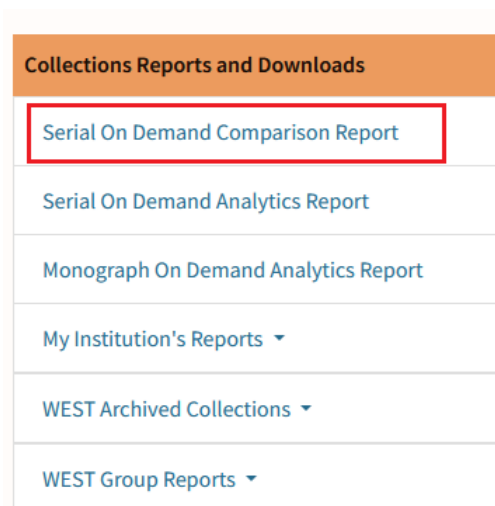


Figure 30: On Demand Comparison Report location on SPDS dashboard

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

The screenshot displays a web interface for selecting files and applying filters for a Serial On Demand Comparison report. It is divided into three main sections:

- Scope by Library Groups:** This section allows users to select specific library groups. It includes a "Select Groups:" box with four unchecked checkboxes: "Colorado Alliance of Research Libraries", "Consortium of Academic and Research Libraries in Illinois", "Center for Research Libraries", and "California State University Libraries". To the right, an "Operator:" section has two radio buttons: "AND" (unselected) and "OR" (selected). Below these are explanatory notes: "AND: include holdings belonging to all selected groups" and "OR: include holdings belonging to any selected group".
- Limit Report By:** This section provides additional filtering options. It starts with two tabs, "Include" (active) and "Exclude". Under "Archiving Program", there are three unchecked checkboxes: "WEST", "Rosemont", and "Other print program", each with an information icon. Under "Validation Actions", there are three unchecked checkboxes: "Validated for completeness", "Validated for condition", and "Validated for both", each with an information icon. At the bottom of this section is the "Estimated Percent Archived" filter, which includes a dropdown menu set to "Greater than or equal to" and an empty input field with a spinner.
- Select file to upload:** This section at the bottom features a "Choose File" button, a "Browse" button, and an "Upload" button.

Figure 31: Serial 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 Serial 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. **UnarchivedComparison.** This report includes WEST member unarchived holdings (as reported to SPDS). 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
- b. WEST member unarchived holdings for titles that *have* been retained for WEST or any other program (unarchived duplicates)

This report *does not* include unarchived holdings from non-WEST member institutions. If using the filters, only WEST member unarchived holdings for titles that match the filter criteria will be included in this output report.

3. **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.

Depending on the results of SPDS's analysis of your input file, you may receive some or all of these reports in your output.

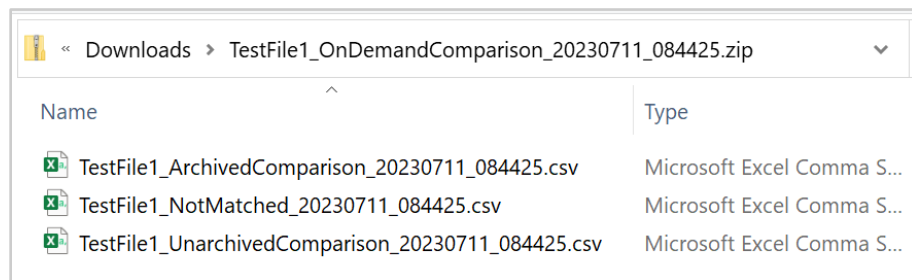


Figure 32: Results files returned by the Serial On Demand Comparison tool

1. Archived Comparison

The Archived 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 at Column C);
- information about the retained holdings (column location varies; located after required and optional input data columns); if the input OCLC number/ISSN matches to multiple holdings in the SPDS database, the multiple holdings are captured in multiple rows with your input data repeated (see rows 2-3 in the example in Figure 32); and
- contacts (name and email) for the archiver (column location varies; located after retained holdings information); this information is only available for WEST Archivists, and allows member libraries to more easily contact Archivists to offer volumes to fill gaps. These columns are pulled from the [SPDS 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	X	Y	Z	AA	AB	AC			
Oclc	Number	Print Issn	Journal Family ID	Title	Publisher	Library LC Classification	Archiver	Group Members	Archived Title	Archived OCLC Number	Archived ISSN	Archived Holdings	Validation Actions	Validation Notes	Complete ness	Condition Validation	Estimated % of Title	Estimated Volumes	Count of WEST Institutions	Count of US OCLC Institutions	Archiving Program	Rosemont Program	Date Of Action	Retention Period	Date Disclosed	Primary Contact Name	Primary Contact Email	Alternate Contact Name	Alternate Contact Email		
5695496	0002-726X		41429	American i Executive i HV2510	UBV		GWLA, HT	American i	5695496 0002-726X B31N4 (1886) B32-118 (1887-1893) 1119N2-8 (1974) B1-								90	128	25	414	WEST, WEI		4/2/2013	#####	8/2/2013						
5695496	0002-726X		41429	American i Executive i HV2510	MAFCI			American i	5695496 0002-726X v.31.no.4 (completen Volume								86.43	121	25	414	EAST	Y	#####	20310630	5/5/2021						
5695496	0002-726X		41429	American i Executive i HV2510	HATHI			American i	1479289 0002-726X v.1-002-yr.1848-48; v.24 (1879); v.25 (1880); v.38 (1893)								68.16	183	3	60	HTDL		#####	permanent	#####						
5695496	0002-726X		41429	American i Executive i HV2510	HATHI			American i	1.92E+08 0002-726X c.1 v.11-12 1859-60; c.1 v.39-40 1894-95; c.1 v.41-42 18								68.16	183	3	60	HTDL		7/8/2015	permanent	#####						
5695496	0002-726X		41429	American i Executive i HV2510	HATHI			American i	5695496 0002-726X v.1-2 (1847-1849); v.1 1847-1848; v.2 1848-1849; v.3-3 2								85.71	120	25	414	HTDL		1/1/2022	permanent	#####						
5695496	0002-726X		41429	American i Executive i HV2510	UIUSP			American i	5695496 0002-726X v.31.no.4 (completen issue-level								88.57	124	25	414	Big Ten Ac; Y		7/1/2017	20420630	6/5/2023						
5695496	0002-726X		41429	American i Executive i HV2510	AUM		CRL, HT	American i	5695496 0002-726X v.33, v.112										25	414	EAST	Y	#####	20310630	#####						
5695496	0002-726X		41429	American i Executive i HV2510	HISTOR			American annals of thi	0002-726X v.100-v.12 completen page-level												HARV@JSTOR		3/9/2023	retention p	5/1/2024						
5695496	0002-726X		41429	American i Executive i HV2510	CRLAA			American i	5695496 0002-726X v.36-154 (completen issue-level missing,m extensive i								85	119	25	414	CRLJSTOR	Y	8/9/2018	21221231	#####						
5695496	0002-726X		41429	American i Executive i HV2510	FUG		CRL, HT	American i	5695496 0002-726X v.129 (1984)-v.154 (2010)								19.29	27	25	414	FLARE	Y	#####	20351231	#####						
5695496	0002-726X		41429	American i Executive i HV2510	CAO			American i	5695496 0002-726X v.31.no.4 (1886)-v.115 (1970),v.118 (1973)-v.153 (2008)								115.7	162	25	414	Scholars Tr Y		#####	20351231	#####						
2051833	0567-7920	65256	Acta palae PanACEast	QE755.P7	LHL			Acta palae	2051833 0567-7920 v.7-v.34 (1 completen None								75.71	53	15	106	LHL		1/1/2014	5/4/2021							
2051833	0567-7920	65256	Acta palae PanACEast	QE755.P7	CRL			Acta palae	2051833 0567-7920 v.17-v.18 (1972-1973)								2.86	2	15	106	CRLSerials Y		#####	permanent	5/6/2021						
2051833	0567-7920	65256	Acta palae PanACEast	QE755.P7	HATHI			Acta palae	2051833 0567-7920 v.1; v.1 (1956); v.2 (1957); v.2 no.1; v.3-4; v.3 (1958); v.4								38.57	27	15	106	HTDL		#####	permanent	#####						
2051833	0567-7920	65256	Acta palae PanACEast	QE755.P7	WYU		CARL, GWI	Acta palae	2051833 0567-7920 Incomplete volumes: v.50 (2005), v.1-57 (1956-2012)								81.43	57	15	106	WEST, WEI	Y	#####	20351231	#####						
2051833	0567-7920	65256	Acta palae PanACEast	QE755.P7	UIUSP			Acta palae	2051833 0567-7920 v.1 (1956), completen issue-level missing,missing issue								70	49	15	106	Big Ten Ac; Y		7/1/2017	20420630	6/5/2023						
2051833	0567-7920	65256	Acta palae PanACEast	QE755.P7	FUG		CRL, HT	Acta palae	2051833 0567-7920 v.1 (1956)-v.34 (1989)								48.57	34	15	106	FLARE	Y	8/6/2014	20351231	#####						
2051833	0567-7920	65256	Acta palae PanACEast	QE755.P7	CAO			Acta palae	2051833 0567-7920 v.11 (1966)-v.22 (1977)								17.14	12	15	106	Scholars Tr Y		#####	20351231	#####						
2051833	0567-7920	65256	Acta palae PanACEast	QE755.P7	EMU		CRL, HT	Acta palae	2051833 0567-7920 v.13-v.35 (1968-1990)								32.86	23	15	106	Scholars Tr Y		#####	20351231	#####						
2051833	0567-7920	65256	Acta palae PanACEast	QE755.P7	CUT		CRL, HT	Acta palae	2051833 0567-7920 v.2 no.4 (1957); v.15 (1970)-v.64 (2019)								90	63	15	106	WEST, WEI	Y	#####	20351231	#####						
2259908	0007-9014	43207	CRC critic	CRC Press RM845	CAO			CRC critic	2259908 0007-9014 v.1-v.3										13	83	Scholars Tr Y		7/5/2022	20351231	#####						
2259908	0007-9014	43207	CRC critic	CRC Press RM845	GAT		CRL, HT	CRC critic	1.03E+09 0007-9014 v.1 (1970)-v.3 (1972)								100	3		2	Scholars Tr Y		8/5/2020	20351231	#####						
2259908	0007-9014	43207	CRC critic	CRC Press RM845	CUT		CRL, HT	CRC critic	2259908 0007-9014 v.1 (1970)-v.3 (1972)								100	3	13	83	WEST, WEI	Y	#####	20351231	#####						

Figure 33: Serial On Demand Collection Comparison Report - Archived Titles. Note that this report only utilizes 4 of the 10 possible columns of optional data.

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 Volumes	The estimated number of volumes held (assumes one volume per year)	SPDS	This estimation relies on the presence of years in the holdings statement, and does not account for any internal gaps in the holdings.
Estimated % of Title Archived	The estimated completeness of the archived holdings	SPDS	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	The number of WEST	SPDS	WEST members that have holdings

Institutions	members known to have holdings for this title, including both archived and unarchived copies		for the title but did not submit them to SPDS will not be included in this count.
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 SPDS 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: http://papr.crl.edu/program/
Rosemont Program	A flag indicating whether the Archiving Program is a member of the Rosemont Shared Print Alliance	SPDS	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 SPDS	SPDS	
Primary Contact Name	The institution's primary contact	SPDS Institution Contact Roster	This information is only available for WEST member institutions.
Primary Contact Email	The institution's primary contact's email address	SPDS Institution Contact Roster	This information is only available for WEST member institutions.
Alternate Contact Name	The institution's alternative contact	SPDS Institution Contact Roster	This information is only available for WEST member institutions.

Alternate Contact Email	The institution's alternative contact's email address	SPDS Institution Contact Roster	This information is only available for WEST member institutions.
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Table 2: ArchivedComparison output report columns with definitions, data sources, and notes

2. 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).

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 [SPDS Institution Contact Roster](#); institutions that have not designated contacts in the roster will not display any contact information in this report.

Required		Optional				Output																	
Oclc		Journal		Library LC	WEST	Group	Institution		% of	Count of	Title	Title	Title	Count of US	Primary	Primary	Alternate	Alternate					
Number	Print Issn	Family ID	Title	Publisher	Holding	Membershi	Title	OC	Published	WEST	Archived	Archived	Archived	Institutions	Contact	Contact	Contact	Contact					
				Classification	Institution	p		Number	at WEST	Institution	by WEST	by Rosemont	by Other Program		Name	Email	Name	Email					
5695496	0002-726X	41429	American Executive	(HV2510)	AZS	CRL, GWLA, F American	5695496 0002-726X 84(1939)-85	67	47.86	25	Y	Y		430	Nika Burn	nika.worth@ucop.edu							
5695496	0002-726X	41429	American Executive	(HV2510)	AZU	CRL, GWLA, F American	5695496 0002-726X v.45-46 190	126	90	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	CFI	CSU, SCEL, V American	5695496 0002-726X IN PERIODI	5	3.57	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	CLU	CRL, HTT, UC American	1479289 0002-726X v.107-141(1	35	19.55	3				68	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	CNO	CSU, SCEL, V American	5695496 0002-726X current pri	188	96.43	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	COD	CARL, CRL, G American	5695496 0002-726X 88-148, 194	62	44.29	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	COU	CARL, WEST American	5695496 0002-726X 111-136, 19	26	18.57	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	CRIJ	CRL, HTT, UC American	5695496 0002-726X v.100(1955)	53	37.86	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	CSIJ	CSU, HTT, SC American	5695496 0002-726X v.31 (1886)	120	85.71	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	CUF	CRL, SCEL, V American	5695496 0002-726X v.115 (1970	1	0.71	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	CUS	CRL, HTT, UC American	5695496 0002-726X v.115(1970)	24	17.14	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	CUV	CRL, HTT, UC American	5695496 0002-726X v.31:n.4-v.5	297	127.1	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	DVP	CRL, GWLA, S American	5695496 0002-726X 85-136, 194	52	37.14	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	HDC	CRL, GWLA, F American	1479289 0002-726X v.95(1950)-	24	13.41	3				68	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	KKS	GWLA, HTT, V American	5695496 0002-726X v.97 (1952)	44	31.43	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	KKUJ	CRL, GWLA, F American	5695496 0002-726X 132, 133-14	68	48.57	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	NTE	OCA American	5695496 0002-726X 114-124, 19	119	85	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					
5695496	0002-726X	41429	American Executive	(HV2510)	OKS	GWLA, HTT, V American	5695496 0002-726X v.137:no.1-	107	76.43	25	Y	Y		430	Nika Burn	nika.worth	Nika Burn	nika.worth					

Figure 34: Serial On Demand Collection Comparison Report - Unarchived Comparison. Note that this report only utilizes 4 of the 10 possible columns of optional data.

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)	SPDS	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	SPDS	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	SPDS	WEST members that have holdings for the title but did not submit them to SPDS will not be included in this count.
Title Archived by WEST	A flag indicating that the title is archived for WEST	SPDS	
Title Archived by Rosemont	A flag indicating that the title is archived for one of the Rosemont Alliance programs	SPDS	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 that is not a member of the	SPDS	This flag is only present when the title has been archived in print, and will not appear if the title is only

	Rosemont Alliance		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 SPDS 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	SPDS Institution Contact Roster	
Primary Contact Email	The institution's primary contact's email address	SPDS Institution Contact Roster	
Alternate Contact Name	The institution's alternative contact	SPDS Institution Contact Roster	
Alternate Contact Email	The institution's alternative contact's email address	SPDS Institution Contact Roster	

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

3. 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 SPDS's archived titles registry or 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
	OCLC	ISSN	Institution with Holdings (Symbol)	Storage Flag	Bibliographic Record Number	Print Holdings Statement		Earliest Year
1	4145226		IWA		9.90E+17	39-40, 1997-1998, v.39 (1		
2	4945901		OKS		9.99E+14	1995/1996		
3	427291		OKS		9.99E+14	no.35-47(1994-2006)		

Figure 35: On Demand Collection Comparison Report - Not Matched (detail)

D. Scoping Reports by Group

Users now have the option to scope report outputs by "group", meaning that users will only see holdings for institutions which are members of the selected group. Groups can be combined using the OR or AND buttons to see respectively either the holdings of multiple groups or only the holdings of institutions which are members of all selected groups.

Scope by Library Groups

Select Groups:

- ☐ Orbis Cascade Alliance
- ☐ Statewide California Electronic Library Consortium
- ☐ UC Libraries
- ☒ Western Regional Storage Trust

Operator:

☐ AND

☒ OR

AND: include holdings belonging to all selected groups
OR: include holdings belonging to any selected group

Figure 36: Group Scoping Selection View

At present, users can select from the following groups¹:

- Colorado Alliance of Research Libraries
- Consortium of Academic and Research Libraries in Illinois
- Center for Research Libraries
- California State University Libraries
- Greater Western Library Alliance
- HathiTrust
- Orbis Cascade Alliance
- Statewide California Electronic Library Consortium
- UC Libraries
- Western Regional Storage Trust

It is important to note that these group selections are made first, so include and exclude filters as described in the following section will be applied on top of the group selection. This means that both the Archived Comparison and Unarchived Comparison reports will only show titles which are held by a member of the selected group(s).

If you do not wish to make a group selection when generating your Comparison Report simply leave the check-boxes unchecked and proceed to the next section.

E. 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. It is important to note however, that these filters apply only to the *Archived Comparison*, the Unarchived Comparison will return matches for all unarchived holdings of titles included in the input file, whether a copy has been archived for WEST or not.

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 If there is a group you would like to see included in this list please email the WEST Analyst, Nika Burns Teshin, nika.worth@ucop.edu

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.

The screenshot shows a web interface titled "Limit Report By". At the top, there are two tabs: "Include" (selected) and "Exclude". Below the tabs, the interface is organized into several sections:

- Archiving Program:** Contains three checkboxes: "WEST" (checked), "Rosemont", and "Other print program". Each checkbox has an information icon (i) to its right.
- Validation Actions:** Contains three checkboxes: "Validated for completeness", "Validated for condition", and "Validated for both". Each checkbox has an information icon (i) to its right.
- Estimated Percent Archived:** Features a dropdown menu currently set to "Greater than or equal to" and a text input field.
- WEST Holdings Count:** Features a dropdown menu currently set to "Greater than or equal to" and a text input field.
- US OCLC Holdings Count:** Features a dropdown menu currently set to "Greater than or equal to" and a text input field.

Figure 37: 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.”

Limit Report By

Include **Exclude**

Archiving Program

☐ WEST

☐ Rosemont

☐ Other print program

Validation Actions

☐ Validated for completeness

☐ Validated for condition

☐ Validated for both

Estimated Percent Archived

Greater than or equal to

Figure 38: Serial 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.

F. 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 all titles included in the input file are included in the UnarchivedComparison report; titles that were not matched to anything in the SPDS holdings library (archived and unarchived) 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	Grand Total	16
12		
13		
14		

Figure 39: 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.

2. Understanding Title Matching

It should be noted that where both OCLC number and ISSN are submitted in the input spreadsheet, both values will be searched. This search will result in a dataset that will include a one-to-one title match with an input OCLC number, but will also provide matches for additional, related titles where an input ISSN is provided.

For example:

Input

OCLC number 297149050; ISSN 0000-0019

Returns for Unarchived Titles

- One-to-one title match:
 - The publishers weekly. OCLC primary 2489456; 0000-0019
- ISSN related title matches:
 - The American educational catalog. 5696243; 0000-0019
 - Publishers weekly. 220761871; 0000-0019
 - The publishers weekly (microfilm). 5995063; 0000-0019
 - The publishers' and stationers' weekly trade circular (microfilm). 6664670; 0000-0019
 - Publishers weekly (microfilm). 1645640; 0000-0019
 - Publishers weekly (microfilm). 5519550; 0000-0019
 - Publishers weekly (microfilm). 5995053; 0000-0019

Returns for Archived Titles

- One-to-one title match:
 - The publishers weekly. OCLC primary 2489456; ISSN 0000-0019
- ISSN related title matches:
 - None

Note: For unarchived title returns, some titles provided are non-print versions. This happens where contributor data sets include bibliographic formats other than print. This may happen where contributors are unable to eliminate non-print formats from their submitted data set, or, where contributors use a single record approach to describe multiple formats.

Note: The returned report for archived titles will contain fewer related titles, because the archived title data set used for matching is more exact. While multiples may occur, this generally happens where records in the archived title data set lack an OCLC number for matching as is the case with some data sets submitted by CRL, like the Harvard JSTOR Print Archive data set.

Appendix 2: Using the Serial On Demand Analytics Report Tool

In addition to the Serial On Demand Comparison Report, users can now run a Serial On Demand Analytics Report in SPDS which enables users to scope a report without first inputting a file.

As with the Serial On Demand 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, SPDS 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.

A. Running the Serial On Demand Analytics Report

Under "Collections Reports and Downloads" select the Serial On Demand Analytics Report.

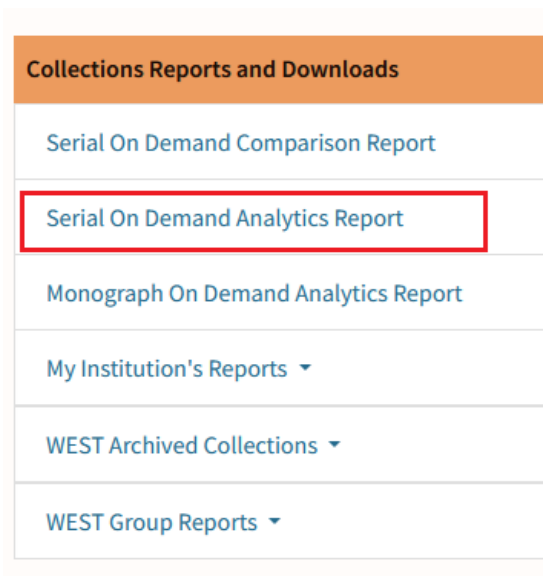


Figure 40: Serial On Demand Analytics Report location on SPDS dashboard

Select at least one group in order to scope your download report, by default the WEST group is selected. Select any other groups or filters as desired. See [Scoping Reports by Groups](#) for a more detailed description of the available filters.

At the bottom of the page, select “Generate Report”.

Scope by Library Groups

Select Groups:

☐ Orbis Cascade Alliance
☐ Statewide California Electronic Library Consortium
☐ UC Libraries
☒ Western Regional Storage Trust

Operator:

☐ AND
☒ OR

AND: include holdings belonging to all selected groups
OR: include holdings belonging to any selected group

Limit Report By

Include

Exclude

Archiving Program

☐ WEST ⓘ
☐ Rosemont ⓘ
☐ Other print program ⓘ

Validation Actions

☐ Validated for completeness ⓘ
☐ Validated for condition ⓘ
☐ Validated for both ⓘ

Estimated Percent Archived ⓘ

Greater than or equal to ▾

⌵

Generate Report

Figure 41: Serial On Demand Analytics Report generation screen

Please be aware that reports may take a significant amount of time to download depending on the size of the report you have scoped. Additionally, it is possible to create a report larger than the Excel file size limit (insert exact row limit here). If you find your report is too large to work with in Excel, then you can re-run the report with additional filter criteria, split the output file into smaller files, or use a different tool to view and work with the report.

B. Downloading and Reviewing Your Serial On Demand Analytics Report

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

Two output reports are generated:

1. **Analytics_Report_Archived.** This report includes all retained holdings for whichever group(s) was selected; 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. **Analytics_Report_Unarchived.** This report includes WEST member unarchived holdings (as reported to SPDS) for whichever group(s) was selected. 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)
 - b. WEST member unarchived holdings for titles that *have* been retained for WEST or any other program (unarchived duplicates)

This report *does not* include unarchived holdings from non-WEST member institutions.

1. Archived Analytics Report

The Archived Analytics Report Contains:

- information about the retained holding; if there are multiple holdings for a given OCLC number/ISSN in the SPDS database, the multiple holdings are captured in multiple rows
- contacts (name and email) for the archiver (column location varies; located after retained holdings information); this information is only available for WEST Archivers, and allows member libraries to more easily contact Archivers to offer volumes to fill gaps. These columns are pulled from the [SPDS Institution Contact Roster](#); institutions that have not designated contacts in the roster will not display any contact information in this report.

Please see Table 2 in the [Archived Comparison section in Appendix 1](#) for a full list of the columns available in this report.

2. Unarchived Analytics Report

The Unarchived Analytics Report lists all unarchived WEST member holdings for titles held by members of the selected group, including holdings for titles that have not been archived and unarchived holdings of titles that appear in the Archived Analytics report (unarchived duplicates).

The Unarchived Analytics Report includes:

- 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)
- contacts (name and email) for the holding institution (column location varies; located after unarchived holdings information). These columns are pulled from the [SPDS Institution Contact Roster](#); institutions that have not designated contacts in the roster will not display any contact information in this report.

Please see Table 3 in the [Unarchived Comparison section in Appendix 1](#) for a full list of the columns available in this report.

Users should be aware that it is possible to generate a report using this tool which is larger than the maximum number of rows you can work with in Excel. Users have several options for dealing with this constraint:

1. Users may return to the Serial On Demand Analytics Report page and apply additional filter criteria to limit the size of the report.
2. Users may split the output .csv file into multiple smaller files in order to be able to work with the files in Excel
 - a. There are many instructions available online detailing how to do this depending on your comfort level working in the Command Line Interface or with programming languages such as Python. There are also web apps available which can do this for you.
3. Users may work with the output .csv file in a tool other than Excel.
 - a. One such option would be to work with the file in Microsoft's PowerBI which can handle files of up to 1GB or work with the file in RStudio using the programming language R. There are a variety of tools available to work with larger file sizes suited to a wide variety of users.

C. 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. It is important to note however, that these filters apply only to the *Archived Analytics Report*, the Unarchived Analytics Report will return matches for all unarchived holdings of titles held by members of the selected group, whether a copy has been archived for WEST or not.

Please see [Appendix 1: Filtering Output Reports](#) for a more detailed explanation of the available filters and how they work.

D. Scoping Reports by Group

Reports created using the Serial On Demand Analytics Report tool have the potential to be very large. As such, users must scope report outputs by “group”, meaning that users will only see holdings for institutions which are members of the selected group. Groups can be combined using the OR or AND buttons to see respectively either the holdings of multiple groups or only the holdings of institutions which are members of all selected groups.

Scope by Library Groups

Select Groups:

- ☐ Orbis Cascade Alliance
- ☐ Statewide California Electronic Library Consortium
- ☐ UC Libraries
- ☒ Western Regional Storage Trust

Operator:

☐ AND

☒ OR

AND: include holdings belonging to all selected groups
OR: include holdings belonging to any selected group

Figure 42: Group Scoping Selection View

At present, users can select from the following groups²:

- Colorado Alliance of Research Libraries
- Consortium of Academic and Research Libraries in Illinois
- Center for Research Libraries
- California State University Libraries

² If there is a group you would like to see included in this list please email the WEST Analyst, Nika Burns Teshin, nika.worth@ucop.edu

- Greater Western Library Alliance
- HathiTrust
- Orbis Cascade Alliance
- Statewide California Electronic Library Consortium
- UC Libraries
- Western Regional Storage Trust

It is important to note that these group selections are made first, so include and exclude filters as described in the following section will be applied on top of the group selection. This means that both the Archived Comparison and Unarchived Comparison reports will only show titles which are held by a member of the selected group(s).

E. Interpreting Results

Please see [Appendix 1: Interpreting Results](#) for a full description of how the filter selections interact with each other.

1. Example Use Cases

These examples are provided to help WEST members start thinking about how to use the group selections, and what to expect in the output results. These are common use cases, not the only potential uses. For use cases exploring how to use the filter modes please refer to [Appendix 1: Example Use Cases](#).

Example 1: As a member of the Statewide California Electronic Library Consortium (SCELC) I want to identify titles which are held by other WEST members who are also SCELC members in order to identify titles held by libraries who are part of the same resource sharing network that I am.

- **Solution:** In the “Scope by Library Groups” section, select the checkboxes for both WEST and SCELC. Change the radial button selection from “OR” to “AND”. At the bottom of the screen select “Generate Report”
 - Once your reports have downloaded, open the Analytics_Report_Archived in Excel
 - The resulting Archived Analytics and Unarchived Analytics reports will now show only those titles which are held by institutions which are members of both WEST and SCELC.

Example 2: As a UC Library, I want to see only those titles which are archived on behalf of WEST by other UC Libraries and which are greater than or equal to 80% archived in order to generate a list of possible candidates for deselection at my library.

- **Solution:** In the “Scope by Library Groups” section, select the checkbox for UC Libraries. Below, in the “Limit Report By” section, select the checkbox for WEST as the “Archiving Program.” Under “Estimated Percent Archived” select “Greater than or equal to” and type 80 in the text box. At the bottom of the screen select “Generate Report”.
 - Once your reports have downloaded, open the Analytics_Report_Archived in Excel
 - The resulting Archived Analytics report will now show only those titles which have been archived on behalf of WEST by UC Libraries and which have an estimated archived percent greater or equal to 80%.
 - In order to view only the titles held by *other* libraries and not your own, filter the “Archiver” column and deselect the checkbox showing your own OCLC symbol.
 - Please be aware that this report will take some time to generate as the Unarchived Analytics report will show all unarchived serial holdings for UC Libraries.

Example 3: As a member of the Greater Western Library Alliance (GWLA) I want to be able to see a report of unarchived titles held by other members of the GWLA consortium, but which are held by fewer than 10 other WEST member institutions, in order to identify possible titles for archiving in my consortium.

- **Solution:** In the “Scope by Library Groups” section, select the checkbox for GWLA. At the bottom of the screen select “Generate Report”.

- Once your reports have downloaded, open the Analytics_Report_Unarchived in Excel
- Use CTRL+A to select all columns and rows in your report, Under the “Editing” section of the “Home” menu, select “Sort & Filter”, then click “Filter”
- Under the dropdown menu for the column, “TitleArchivedByWEST”, deselect “Y”. Now, your report will only show titles which have not been archived on behalf of WEST.
 - If you wish to further narrow down to titles which are not archived by other programs either, follow the same step for the columns, “TitleArchivedByRosemont” and “TitleArchivedByOtherProgram”
- Under the dropdown menu for the column, “CountOfWESTInstitutions”, deselect all boxes and reselect only checkboxes 1-10.
- You are now viewing only unarchived titles which are held by GWLA member libraries, and fewer than 10 total WEST Institutions.

Note: For unarchived title returns, some titles provided are non-print versions. This happens where contributor data sets include bibliographic formats other than print. This may happen where contributors are unable to eliminate non-print formats from their submitted data set, or, where contributors use a single record approach to describe multiple formats.

Appendix 3: Validator Reports Documentation

SPDS Validator Report

The SPDS 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 SPDS 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 SPDS 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 SPDS 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 SPDS 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 SPDS 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 PAPR 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 PAPR 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.