

UC Libraries Shared Print

Disclosure Standards for Journals

Prepared by the UC Libraries Shared print Strategy Team

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Overview of UC Libraries Shared Print Journal Disclosure Standards

UC Archive Holders agree to record information about UC shared print journals in union catalogs and other applicable system(s) as established by the UC Libraries shared print disclosure standards.

This document describes the policy, instructions, and metadata standards for disclosing UC shared print journals to UC libraries, their users, and to the broader library and user community.

1. Goals of UC Libraries Shared Print Disclosure

Disclosure of UC shared print journals is intended to support three primary goals:

- Discovery and display of UC shared print journals for use by library staff and library users
- Resource-sharing among UC members as defined in the UC Shared Print Access Guidelines, to be developed
- Collections analysis to support local and system-level collection management decisions and development of additional shared print journal collections

UC Disclosure: procedures and purpose

Under the UC Libraries Shared Print Disclosure Standards for Journals, Archive Holders will provide information about shared print journals to two different bibliographic databases:

1. OCLC WorldCat. Disclosing UC Shared Print journals to support resource-sharing, global discovery and collections analysis.
2. UC library catalogs and the UC Network Zone in Alma. Maintaining record information about UC Shared Print journals as appropriate for UC needs.

The following databases/services will also be used for disclosure, discovery, collection analysis and gap-filling (pending experimentation, analysis and negotiation of agreements):

1. The Print Archive and Preservation Registry (PAPR) system. Supplying records of UC shared print journals to support discovery and collections analysis.
2. Journal Retention and Needs Listing (JRNL). Supplying records of UC shared print journals to support discovery, collections analysis, gap-filling and staff-to-staff communications in multi-institution relationships.

UC Libraries should also record retention commitments through the “Committed to Retain” flag in Alma. This can be done either by editing individual items or in batch and record in the Retention Reason field which program the item should be counted toward for annual shared print statistics. Full details about

the Retention Reason can be found in Attachment 5.¹

The specific workflow and sequence of these disclosure actions may vary among UC libraries. The following sections summarize instructions for OCLC, PAPER and JRNAL activities. Full details about required fields and subfields are provided in Attachments 1, 2, 3 and 4.

2. Record UC Shared Print journals in OCLC WorldCat

The UC Libraries Shared Print disclosure instructions for recording UC shared print journals in WorldCat generally follow the approach and standards developed under the [Shared Print Actions: Terminology for MARC 21 Field 583](#) as referenced in the Library of Congress's [Source Codes for Vocabularies, Rules, and Schemes](#)

- a. Ensure each title has a Local Holdings Record. For each title, ensure there is a Local Holdings Record (LHR) where you will define the shared print holdings, the print archiving program(s), retention commitment, and outcomes of validation when performed: See Attachment 3 for a detailed list of the LHR fields and subfields to include for UC materials, summarized below.

Most of the shared print information is recorded in the 583 Action Note. Each LHR will include one, two, or three 583 Action Notes as appropriate:

- For all UC Shared Print materials, include a 583 **‡ a Action**="committed to retain".
- For programs that require validation for completeness (e.g. journal holdings consolidation and validation), include another 583 to summarize the action and report any identified gaps. Include **‡ a Action**="completeness reviewed" with appropriate **‡ l Status** terms to report evidence of missing units, binding anomalies or reprints; use the **‡ z Public note** to specify gaps and missing materials.
- For programs that require validation for completeness and condition (or holdings verification and condition review), include another 583 to summarize the action and record the conditions found. Include **‡ a Action**="condition reviewed" with one **‡ l Status** and one **‡ z Public note** for each reportable condition found, reporting the condition and indicating the volumes to which it applies. See Attachment 3 and the UC validation standards for more information about what to record and where in the action notes.

For all titles, record the 583 information in the shared print holding location's local catalog system to support future record updates.

When validation for completeness, holdings verification, or validation for condition are performed, the record holdings statement(s) (i.e. 85x/86x formatted holdings or 866 summary holdings statement) must also be updated to include an accurate description of volumes held.

The local ILS is considered the original source for shared print holdings records. Accordingly, the disclosure information in the Archive Holder's local catalog is the source for future batch record

¹ More information about this decision can be found in the [Decision Page for Harmonizing use of the Alma Retention Functionality for Shared Print materials](#).

updates in OCLC.

b. Update Original Campus Local Holdings Records (LHRs).

Holdings contributed to an RLF should be removed from the campus library holdings and recorded on the RLF shared print symbol and LHR.

If a campus holds two copies of a journal backfile, and one copy is contributed as a shared print archive in an RLF or in place, the non-shared print copy (i.e. the surplus holdings) will remain on the original LHR/symbol.

c. Simplified disclosure and display. Full runs recommended. To simplify holdings display, cataloging and other activities, Archive Holders are encouraged to commit all holdings for a particular publication held at the location (and not a partial run).

If an Archive Holder commits only part of their holdings for retention, they may elect whether to maintain two separate LHRs (one for the committed materials and one for the general collections materials), or to maintain a single LHR and use the 583\$3 to specify which materials are retained for WEST.

3. Provide records of UC Shared Print journal collections to AGUA

UC Archive Holders will provide records for UC shared print journal collections to the CDL Shared Print Team for ingest into the AGUA system and uploading to the Center for Research Libraries Print Archive Preservation Registry (PAPR), the international registry for shared print serials and journals.

- a. How often and when. During the annual disclosure period we ask that all archiving UC Libraries provide records of all materials archived during the past year, as well as materials archived in previous cycles, to capture any cataloging updates you've made, to CDL via the file upload tool in AGUA; additionally, all Archivers should register all commitments in OCLC WorldCat if they have not already done so. UC libraries should submit all UC and WEST disclosures at once.
- b. Public Registry of *Archived* Titles. Disclosure to PAPR ensures the UC shared print journal collections are discoverable in the public PAPR registry (<http://papr.crl.edu/>).
- c. Collections Analysis and Selection Decision-Support for *Unarchived* Titles. Disclosure to the AGUA system also facilitates UC shared print collections analysis, including selection decisions for “what to archive next?” In particular, it identifies titles that do not yet have a retention commitment (unarchived titles) and facilitates group decisions within UC about titles to archive in the future.

Attachment 1: UC Shared Print Institution Symbols and Holdings Location Codes

OCLC Institution Symbol	Institution	ILL Supplier	Holdings Location Codes
CUY	UCB	Supplier	Local code
CUV	UCD	Supplier	Local code
CUI	UCI	Supplier	Local code
CLU	UCLA	Supplier	Local code
MER	UCM	Supplier	Local code
CRU	UCR	Supplier	Local code
CUS	UCSD	Supplier	Local code
CUN	UCSF	Supplier	Local code
CUT	UCSB	Supplier	Local code
CUZ	UCSC	Supplier	Local code
ZAP	SLF-N	Supplier	Local Code
ZAS	SLF-S	Supplier	Local code

Attachment 2: Print Archive Program Subfield \$f Authorization for Journals

The name of the print archive program is captured in the LHR \$f authorization. It is used, in combination with the OCLC shared print institution symbol, to support discovery by library staff and library users, resource sharing, and collections analysis.

The program name is indexed and it is a repeatable field such that the same materials can be contributed to multiple programs.

For UC shared print journal collections, enter one or more Authorization subfield(s). The “UCL Shared Print” value accompanies all UC Libraries Shared Print disclosures (whether they are part of journal, monograph or government document collections); in some cases, “UCL Shared Print” is the only \$f authorization value required. Where applicable, an additional value (or values) will be added for a specific journal project and/or collection.

Table 1: Values for \$f Authorization

Subfield \$f Authorization Value	Material Type(s)	Application
UCL Shared Print	All	Applied to all UC shared print collections (required) .
JSTOR	Journals	Applied to items in the collection/project.
WEST	Journals	Applied to items in the collection/project.
Federal Documents	Journals +	Applied to items in the collection/project. ²
Licensed Content	Journals +	Applied to items in the collection/project. (e.g. prospective collections supplied as part of a systemwide license agreement: Elsevier, Springer, Wiley/Blackwell, Sage, etc.)

In reviewing records, libraries may find discontinued programs listed as the authorization value in the LHR \$f authorization. At present there is no expectation for staff to remove or change these values if discovered, however a list of discontinued programs is provided below for clarity.

² For more detailed information please see the [UC Federal Document Archive: Report and Recommendations](#).

Table 2: Discontinued Programs

Former Subfield \$f Authorization Value	Material Type(s)	Application
MedPrint	Journals	Applied to items in the collection/project.

Attachment 3: Journals – LHR Fields/Subfields Required for UC Libraries Shared Print Disclosure

Required Fields Summary

The following fields are required to identify UC shared print journals.

- **OCLC control number** of the corresponding WorldCat bibliographic record. This can be the **004**, **014** or **035** field but it must consistently be in the same location in all records. Required for WorldCat but not for PAPR.
- **Leader and Directory**
- **001** - Local System Control Number
- **007** - Physical Description Fixed Field
- **008** - Fixed-Length Data Elements
- **022** – ISSN
- **561** - Ownership and Custodial History
- **583** - Action Note(s)
- **852** – Location
- **85x/86x** Coded holdings (formatted holdings pairs) (if available)
- **866/867/868** Summary holdings (text) (if no 85x/86x formatted holdings pairs)

Details for selected fields

<i>Tag and subfield(s)</i>	<i>Name</i>	<i>Description</i>	<i>Example</i>
852 Location: Identifies the holdings for a given title at a given location (Institution Symbol).			
852 #a	Location	UCL Shared Print symbol for the Archive Holder. (See Attachment 2 for a list of UC Institution Symbols).	ZAS
852 #b	Sublocation	Holdings Location Code (HLC) where the archived volumes are physically located at the Archive Holder library or storage facility	ZAS #b ZSVA

85x/86x or 866 Holdings: The holdings committed to UCL Shared Print for this title, i.e. the holdings covered by this LHR. Usually this will be the first volume/issue held by the Archive Holder through to the end of their holdings. Enter these holdings as coded (formatted) detailed holdings if possible; otherwise enter a summary holdings statement.			
85x/86x	Coded holdings (formatted holdings pairs) for basic bibliographic units. Include supplements and indexes.		#8 1 #a v. #b no. #i (year) #j (month) #8 1.1 #a 282-302 #b 1-6 #i 2000-2010 #j 01-06
866/867/868	Summary holdings (text) if no 85x/86x formatted holdings pairs. Include supplements and indexes.		#8 0 #a v.9:no.1(1959:Mar.)- v.16:no1(1966:mar.),v.16:no3(1966:Sept)- v.51:no3(2005:dec)
022 International Standard Serial Number (ISSN) The ISSN is an important match point.			
022 #a	ISSN	Print ISSN for the title record. If there is more than one ISSN in the bibliographic record, use the first 022 subfield \$a.	
561 Ownership and Custodial History: It is important to identify the original owner(s) of materials committed to UCL Shared Print.			
561 #a History	Institution Symbol	Institution Symbol of library that provided materials to the UCL Shared Print Archive Holder identified in 852 #a Location. If the Archive Holder is the original owner, this would be the library's <u>original</u> or <u>primary</u> Institution Symbol, where the 852 #a would	CLU

		contain the library's shared print symbol.	
561 #3	Materials specified	<i>Optional.</i> If used, identifies the holdings originally owned and contributed by the institution identified in #a History. Not required for WEST or UC Shared Print but recommended.	CLU #3 v.9:no.1(1959:Mar.)-v.16:no1(1966:mar.)
561 #5	Institution	<i>Optional.</i> If applicable, the MARC organization code for the original owner.	
583 Action Note: Most of the UCL-specific print archiving information is recorded in the 583 Action Note. Each LHR will include one, two, or three 583 Action Notes as described below: 1) a 583 note describing Retention commitment; 2) a 583 note describing Completeness validation; 3) a 583 note describing Condition validation.			
1. 583 <u>Retention</u> note (required for all UCL Shared Print)			
583 1#	First Indicator	Including a value of 1 in the first indicator (#) signifies that this retention note is public.	
583 #3	Materials specified	Include if this 583 Action Note describes part of the holdings or a different set of holdings than were specified in the LHR holdings fields (85x/86x/87x or 866). Enter the range of holdings covered and indicate gaps if known.	583 \$3 v.1-3 INDEX: v.1 SUPPL: v.3 (example of INDEX and SUPPL labels)
583 #a	Action	Type of preservation action. The retention note contains "committed to retain".	committed to retain

583 #c	Time/Date of Action	Date this title was committed to UCL Shared Print (YYYYMMDD)	20140717
583 #d	Action interval	The standard retention date for all UCL Shared Print materials, regardless of when the holdings were ingested and validated.	December 31, 2035
583 #f	Authorization	Repeatable field containing the name(s) of the archiving program(s). See Attachment 2.	#f UCL Shared Print #f JSTOR
583 #2	Source of Terms	Indicates that standardized terminology is being used in the retention note and what the source material is. SPA is used here to indicate compliance with Shared Print Actions: Terminology .	583 1# \$a committed to retain \$c 2004 \$d 20351231\$f WEST \$2 spa
#u Uniform Resource Identifier	Link to program documentation for print archiving program identified in #f)	Program documentation should be available on a maintained, public website (not a wiki or other undiscoverable site.)	#u http://www.cdlib.org/services/collections/sharedprint/UCLProgramStatement.pdf ³
583 #5	Institution	<i>Optional.</i> If applicable, the MARC organization code for the Archive Holder.	
2. 583 <u>Completeness</u> note (as required for UCL Shared Print collections)			

³ Note that this link redirects to <https://cdlib.org/services/collections/sharedprint/>. This is because the link listed above, <http://www.cdlib.org/services/collections/sharedprint/UCLProgramStatement.pdf>, has historically been used as the Uniform Resource Identifier for these materials despite not linking to an existing document. In order to maintain consistency the decision was made to continue using this link but to redirect to the Shared Print page on the CDL Website to provide interested persons information on shared print at the University of California.

583 #3	Materials specified	Include if this 583 Action Note describes part of the holdings or a different set of holdings than were specified in the LHR holdings fields (85x/86x/87x or 866). Enter the range of holdings covered and indicate gaps if known.	583 \$3 v.1-3 INDEX: v.1 SUPPL: v.3 (example of INDEX and SUPPL labels)
583 #a	Action	Type of preservation action. The completeness note contains “completeness reviewed”.	completeness reviewed
583 #c	Time/Date of Action	Date completeness review completed (YYYYMMDD)	20140717
583 #f	Authorization	Repeatable field containing the name(s) of the archiving program(s). See Attachment 2.	#f UCL Shared Print #f JSTOR
583 #i	Method of Action	Enter the validation level for completeness as specified for the UCL Shared Print Collection.	#i volume-level #i issue-level #i page-level
#l Status and #z Public Note	The results of validation for completeness.	Use pairs of #l Status and #z Public Note subfields to describe the results of validation for <u>completeness</u> . If multiple statuses apply, enter multiple #l and #z pairs.	#l missing #z missing issue v.16:no.2(1966:June)

583 #5	Institution	<i>Optional.</i> If applicable, the MARC organization code for the Archive Holder.	
Record the following completeness problems in the 583 Completeness Note:			
#I Status Term	#z Public Note		
Binding patterns vary	Specify volumes where binding patterns differ.	#I Binding patterns vary #z Vols 32-35 bound as single unit	
Missing	Specify what physical material is missing (whether it is volume-level or issue-level, depending on the UCL shared print collection). For issue-level, also annotate if substantial number of pages, advertisements, images, or foldouts are missing. It is not necessary to identify or enumerate all missing pages, ads, images, or foldouts. Simply record that some of these are missing.	<i>Volume level example:</i> #I Missing #z missing volumes v. 2,7 <i>Issue level example:</i> #I Missing #z missing issue v. 6, issue 10 #I Missing #z missing issue v. 6, issue 10 #I Missing #z missing pages v. 7 issue 2	
Reprints	Specify which units are reprints	<i>Volume level example:</i> #I Reprints #z reprints vols 3-5 <i>Issue level example:</i> #I Reprints #z reprints vol 22, issues 2-3	
3. 583 Condition note (as required for UCL Shared Print collections)			

583 #3	Materials specified	Include if this 583 Action Note describes a different set of holdings than were specified in the LHR holdings fields (85x/86x/87x or 866). Enter the range of holdings covered and indicate gaps if known.	
583 #5	Institution	If applicable, the MARC organization code for the Archive Holder.	
583 #a	Action	Type of preservation action. For the 583 Condition note contains "condition reviewed"	condition reviewed
583 #c	Time/Date of Action	Date condition review completed (YYYYMMDD)	
583 #f	Authorization	Repeatable field containing the name(s) of the archiving program(s). See Attachment 2.	#f UCL Shared Print #f JSTOR
583 #i	Method of Action	Enter the validation level for condition as specified in the UCL Shared Print Collections Model.	issue-level
#l Status and #z Public Note	Use pairs of #l Status and #z Public Note subfields to describe the results of validation for <u>condition</u> . If multiple statuses apply, enter multiple #l and #z pairs.		

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

Attachment 4: Sample Local Holdings Records (LHRs)

Serials sample from the Western Regional Storage Trust (WEST)

WEST title (example of holdings at Stanford SAL3 storage facility)

Leader cy a3n

007 ta

008 1107210u 8 1001aaeng0110728

022 0030-4050

561 SFU \$5 CSt

583 committed to retain \$c 20120215 \$d December 31, 2035 \$f WEST \$u <http://www.cdlib.org/services/west/docs/WESTProgramStatement.pdf>

583 completeness reviewed \$c 20120215 \$f WEST \$l issue-level \$l missing volumes \$z missing v.1-8 \$l missing issue \$z missing v.16:no.2(1966:June)

583 condition reviewed \$c 20120215 \$f WEST \$l issue-level \$l loose pages \$z loose pages v.20:no.4(1970), v.26:no.1-no.2(1976) \$l loose covers \$z loose covers v.20

852 SL3

866 \$8 0 \$a v.9:no.1(1959:Mar.)-v.16:no1(1966:mar.),v.16:no3(1966:Sept)-v.51:no3(2005:dec)

Attachment 5: Alma Retention Flags and Retention Reasons

In addition to using the 583 field for shared print disclosure, UC Libraries should use the following controlled vocabulary and program hierarchy to record in the Retention Reason field which program the item should be counted toward for annual shared print statistics. The Retention Reason does not restrict materials from being committed to multiple shared print programs or initiatives, but rather acts as a statistical category for preparing annual statistics. This action does not preclude using the Retention Reason field for other local needs separate from shared print.

Hierarchy of Retention Reasons (controlled vocabulary)	Campus(es)
JSTOR Legacy	SLF-S
WEST	SLF-N, SLF-S, UCI, UCLA, UCR, UCSB, UCSC, UCSD
<i>WEST Gold*</i>	<i>SLF-N, SLF-S</i>
<i>WEST Silver*</i>	<i>SLF-N, SLF-S</i>
<i>WEST Bronze*</i>	<i>SLF-N, SLF-S, UCI, UCLA, UCR, UCSB, UCSC, UCSD</i>
JSTOR New	SLF-S
California State Documents	SLF-N, SLF-S
HathiTrust	SLF-N, SLF-S, UCM, UCSC, UCSD
FedDocArc	SLF-N, SLF-S
JACS	SLF-N, SLF-S
Shared Print Licensed Content	SLF-S

Shared Monographic Series Initiatives	UCB, UCD, UCI, UCLA, UCR, UCSB, UCSC, UCSD
Literary Presses Initiative	UCR, UCSD
Cambridge University Press	SLF-N, UCI
Canadian Literature	SLF-S
Springer	UCM
FedDocArc Microfiche	SLF-N
EEBO STC I and II	SLF-S

***Note about WEST Gold, Silver, and Bronze:**

WEST collections were formerly classified into Archive Type Terminology, with high risk level items being classified as WEST Gold, medium risk level items being classified as WEST Silver, and low risk level items being classified as WEST Bronze. WEST has since made the decision to move away from Archive Type Terminology in favor of plain language description of risk levels. See the [Future of WEST Report](#) for more information regarding this decision. Records previously retained as WEST Gold, Silver, or Bronze are not required to be changed retrospectively, however all WEST items committed to retain moving forward should use the Retention Reason “WEST”.