

Report of the Working Group on the UC Shared Print Collection Pilot August 4, 2003

Introduction

In October 2002, CDC recommended to SOPAG that UC launch a pilot to build a shared print journal collection with Elsevier and ACM titles.¹ A print copy of the journals are made available as part of the CDL system-wide license for the electronic format. CDC desired to jump start the UC shared print collection because of the severity of the budget situation and need for selectors to make cancellation decisions with the confidence that at least one print copy would be available in an RLF for system-wide use.

SOPAG agreed that CDC should appoint a small working group, bringing together HOTS, PAG, and RLF expertise, to address and resolve processing issues for the pilot program.² The goal of the pilot project is to develop processing guidelines and workflow procedures for dealing with the receipt and access of current issues of journals that form a shared print journal collection. Because the scope of this pilot project is limited to the prospective issues of two journal collections (Elsevier and ACM), it is important to keep in mind two points: some of the recommendations in this report will not be appropriate for other collections, and policy issues related to shared print collections, especially in regards to preservation, remain outstanding. The conclusion will address these further.

CDC Policy Decisions

The following policy recommendations specific to this pilot project made by CDC guided the WG's decisions on procedures and workflow.

1. The print copies will be part of the University of California Libraries and be so identified in the MELVYL records with the moniker UCL.
2. The governance of the collection will be collective.
3. The Elsevier and ACM shared collection will be physically located in the SRLF.
4. UCLA and UCSD will serve as the acquisitions unit for these titles.
5. Initially only one print copy will be retained.
6. The collection will be treated as a hybrid of a dim and light archive, in that articles may be photocopied, faxed, and desk-top delivered and issues may be physically used in the reading rooms of either RLF or circulated to campuses for in-building use only. For this purpose the issues will remain unbound.

¹ Letter from Christine Bunting, chair, CDC to John Tanno, chair, SOPAG, October 21, 2002

² The pilot consists of the Elsevier titles to which UC holds a 2002 print subscription.

The WG addressed and have made recommendations in the following areas: acquisitions (check-in, record creation and editing, claiming, preparation); cataloging and MELVYL record display and location; SRLF processing (record editing and physical processing); circulation from SRLF; preservation. Rather than put the specific procedures in the body of the report, there is an appendix containing the operational steps

Acquisitions

UCLA's YRL Acquisitions Department and the USCD Acquisitions Department will be the respective acquisition units for Elsevier and ACM titles. The Elsevier print consists of 928 journal titles. ACM titles consist of around 43 journal titles, 125 monographs, and a handful of videotapes and CDRoms. Both processing units will follow their local routine procedures for check-in, record editing, claiming, and physical transfer to SRLF. However, they will develop separate workflow streams for the shared print in order to track costs, give priority handling to these materials, and to meet preservation concerns particular to the shared print. Procedures will be developed for the security and safety of these materials upon receipt and prior to arrival at SRLF. These will include using archival envelopes and boxes for physical preparation. (Appendix 1, Sections 1,2,3.)

Cataloging

Cataloging of Elsevier and ACM titles, including title changes and CONSER record updates, will be coordinated between UCLA and UCSD Shared Cataloging Program (SCP). (Appendix 1, Section 4.)

MELVYL display.

It is important to make clear the shared print copies are governed by the UC Libraries. We also need to make clear that these are not available for loan or have restricted circulation.

A unique location code, SRUCL, will be created for the materials in the UCL collection to drive the display in the MELVYL record. It will also be used by the MELVYL Request system to determine if ILL requests should be sent for the materials. This code will permit a specific library/location, such as "SRLF—Archive" to display. In addition, it will generate a standardized note that describes the title as part of the UCL. We recommend the standard note be: "UC Libraries Collection copy. Restricted use." See Appendix 2 for option for MELVYL Record Display. The Working Group recommends the use of option 2, which reflects the *location* of the holding library and uses a note to identify UC Libraries as the owners of the item.

Once a unique location code has been assigned all kinds of possibilities for display and limiting are possible. We recommend MELVYL technologies evaluate the feasibility of implementing the following:

- Because the UCL copy is restricted use, it should display as the last holding.
- When a search limits to a campus the UCL copy should be part of that limit search.
- ILL and Request function need to treat the UCL copy as intended either for RLF use only or non-circulating.

Local Catalogs

Some campuses are interested in the option of adding information on availability of the the shared print copy to the records in their local catalog. The Working Group recommends and CDC concurs that campuses be notified when the first issue of a **serial** title is received. UCLA and UCSD will generate a list automatically and send to the campuses. The list could include information necessary to identify the title, such as OCLC record number, 245 title and summary holdings information. Campuses may then use the information to add to the SCP record in their local catalog. The Working Group recommends that HOTS develop guidelines for inputting the shared collection information into their own records and making sure that the information is not sent to Melvyl.

For the purposes of this specific pilot project, CDC is recommending that records for **monographs** in this experiment not be distributed to campuses for local catalogs. The number of ACM monographs is small and consists primarily of conference proceedings. It will be necessary to work out policies and procedures for record distribution of monographs in the UC shared collection in the future.

SRLF Processing and Circulation

SRLF staff will follow standard routines to edit records, adding the special location code, and physically shelving the shared print copy. See Section 5 of Appendix 1. SRLF will give priority to processing the shared collection. The issues and volumes will not be kept together physically. They will be shelved in the circulating collections of SRLF. (Appendix 1, Section 5) Items from the shared print collection can be paged from SRLF for use in any UC library and on site at either RL. The loan period should be limited to one week. The WG recommends that a future action be taken to adjust campus SRLF quotas to allow processing of shared print to take priority.

Preservation Issues

Based on the decision by CDC to allow circulation of print copies to campuses for in-building use only, the shared collection will not be considered a “copy of record” or “last copy” for UC. Since this pilot does not attempt to establish a “dark archive” for Elsevier and ACM titles, preservation concerns revolve primarily around labeling and protective enclosures as outlined in the previous processing sections. The potential for items to be “lost” in SRLF is more likely since issues and volumes are not kept physically together. With each loan, the risk for loss goes up. The decision to leave issues unbound for ease of photocopying, etc. will necessitate the use of more protective enclosures, but save in

binding costs. Binding has always been considered the main preservation measure taken for journals. SRLF should report regularly on the number of items loaned and any loss statistics, including requests that can't be filled because of non-return, damage, or "loss."

UCLA and UCSD processing units will apply their campus procedures for claiming and completing holdings of journal titles. Campus redundancy may be a source for fill-ins or replacement of damaged or missing issues. To provide security for print copies loaned to campuses, SRLF will insert security strips at the time of loan, keeping the additional cost for strips low. The Preservation Advisory Group (PAG) should be consulted to develop further recommendations regarding preservation procedures, including replacement of lost copies.

Conclusion: Policy Questions for Future Planning of the UC Shared Print Collection

As the procedures and workflow of the Elsevier and ACM pilot are put into practice we will learn where adjustments and revisions need to be made. As the fine tuning is completed, we expect the procedures as outlined in Appendix 1 will set the precedent for future shared print collections. An issue that we think is relevant to other collections and will be tested as part of the this pilot project is: the print copies will be identified as part of the University of California Libraries and will be so indicated in the note field of the holdings record in the MELVYL display. Other policies established for the experiment will vary with each type of shared collection. As the number and variety of shared collections grow, planning will need to address the governance of collections, distribution of the acquisitions function, guidelines for including information on the shared collections in local catalogs, and budgeting requirements.

The pilot—a prospective collection that retains one use copy leaves a number of policy and procedural issues regarding preservation unaddressed. For each of the UC shared print collections, it will be necessary to clarify the nature or intended behavior of the "archive." If the intent of the archive is to give campuses confidence that they can cancel print subscriptions and withdraw volumes from their own stacks should the collection be more of a dark archive than a collection of use copies? Do campuses want to know that there is a "copy of record" that will be retained indefinitely to backup the electronic version or do they want an access print copy to be available? For which collections should two copies -- a use copy and an archival copy, be part of the shared collection? In which instances should UC depend on national efforts for a dark archive or develop their own? "In-building" use can mean different things at different campuses. We need to be clear if the intended use of an access copy is under supervised circumstances. Since UC is moving forward with the development of its shared collections, it is time to return to the "Report of the Task Force on Collaborative Strategies for Archiving of Print in the Digital Environment, Developing a 'Copy of Record': Archiving Pilot Project for the University of California" (February, 2000).

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Appendix 1

UC Libraries Shared Print Collection Processing Procedures

1. Create holdings records and prepare records for claiming.

UCLA:

- a. Create holdings recordings in ORION2 Cataloging Client for each title, attaching them to bibliographic records cataloged by CDL Shared Cataloging Program (SCP) and loaded into ORION2. We would need to create a new ORION2 location code, e.g., "UCLSRLF," which would be suppressed from UCLA OPAC and would not be sent to Melvyl.
- b. Create DRA Classic records for each title (for claiming/source history and later to migrate into new ORION)
- c. Create records in UCLA's OLGA claiming database and set them up to produce regular claim lists (i.e., examine all 928 records every 3-6 months for overdue issues)

UCSD continuing resources:

- a. Create a check-in record and attach it to the bibliographic record for the UC Shared Physical Collection. (These records will not be redistributed to the campuses through the SCP, and we will make sure this doesn't happen by using a separate bibliographic record.) New branch and check-in location codes will need to be defined. These records will not display in Roger and are not sent to Melvyl. There should be no call number in the check-in record, as call numbers are not needed for SRLF and no local call number labels will be printed at UCSD. (The call number may remain in the bibliographic record, however.)
- b. Record and claim issues as needed.
- c. Do not create item records.

UCSD monographs (including conference proceedings):

- a. Search ORION2. If a record is found (whether a monograph or a serial), note record number so it can be put on the label as part of physical processing (step 3). *QUESTION: If ORION2 has a serial record, should UCSD capture that record for Roger and add a check-in record to be able to do future claiming?*
- b. If no record is found, do physical processing (step 3) and forward to Monographs Cataloging Division, who will create a new record in OCLC and INNOPAC.

2. Process physical issues.

UCLA:

- a. Checkin issues and claim skipped and/or overdue issues as they are received.
- b. Attach small (2" x 2") adhesive labels with designation to the cover of each issue, and date stamp label. Labels will be preprinted as follows:

UC Libraries
Record No. _____

UCSD continuing resources:

- a. Checkin issues and claim skipped and/or overdue issues as they are received.
- b. Attach small (2" x 2") adhesive labels with designation to the cover of each issue, and date stamp label. Labels will be preprinted as follows:

UC Libraries
Record No. _____

UCSD monographs:

- a. Attach small (2" x 2") adhesive labels with designation to the cover of each issue, and date stamp label. Labels will be preprinted as follows:

UC Libraries
Record No. (use ORION2 record number here)

3. Send materials to SRLF.

UCLA:

- a. Send issues to SRLF as issues arrive, in archival envelopes or Princeton files if not shelfworthy.

UCSD continuing resources:

- a. Collect and send issues to SRLF in "logical units," following the UCSD guidelines used for binding physical volumes.
- b. Send materials to SRLF packaged in archival envelopes, document boxes or Princeton files with scheduled UCSD shipments but separately labeled and counted.
- c. Ensure that a UCSD catalog record appears in Pactech before shipment of material.

UCSD monographs:

- a. Send materials to SRLF as they arrive, in archival envelopes or Princeton files if not shelfworthy.
- b. Ensure that a UCSD catalog record appears in Pactech before shipment of material unless an ORION2 record number is written on the label.

4. Send issues with titles changes for cataloging.

UCLA:

- a. Create brief bibliographic records in ORION2, DRA Classic, and OLGA.
- b. Send first and last issues of new and previous titles (or photocopies of critical pages) to YRL Serial Cataloging, who will update the master CONSER record for the older title, and will create a CONSER record for the newer title, and then will update the existing bibliographic records. [*QUESTION: UCLA might wish NOT to overlay the SCP record with the newly-fixed-up CONSER record, because it would lose the information about the electronic version. Edit the ORION2 record separately? Eventually the new SCP record will come back to UCLA; this is a question about timing. Also, for the new record added to ORION2: if the title is not also owned by UCLA, how will this record be coded?*]
- c. Send fax of the new title information to SCP catalogers at UCSD.

UCSD continuing resources (SCP catalogers):

- b. For title changes received from UCLA: Enhance the master CONSER records in the OCLC database with the appropriate electronic version information, and then export to add or overlay the CDL/SCP record. These records will be distributed through SCP to the campuses for their local systems. SCP catalogers will also notify Terry Vrable of the new title; Terry maintains a master list of CDL-subscribed titles.
- c. For title changes received at UCSD: Enhance the master CONSER record for the older title with information appropriate to the title change as well as to the appropriate electronic version information. Create a record in OCLC for the new title (which any full CONSER member could subsequently authenticate—*UCSD could send these to UCLA at this point*).. Export both records; note that a CDL/SCP record and a UC Shared Physical Collection record for each title will be needed. Adjust and create check-in

records as needed. The CDL/SCP records will be distributed to the campuses for their local systems. SCP catalogers will also notify Terry Vrable of the new title; Terry maintains a master list of CDL-subscribed titles.

(NOTE: SRLF will use the ORION2 record if one exists. The CDL/SCP record is needed to distribute title change information to all campuses. The UC Shared Physical Collection record is needed to manage print claiming.)

5. Process materials at SRLF.

- a. Attach holdings to an existing ORION2 record or capture UCSD's Pactech record to create an ORION2 record. A new location code will need to be established in ORION2 for these materials. ORION2 records with this location code will be sent to Melvyl; the precise way in which these holdings will display in Melvyl still has to be determined.
- b. Barcode each item received and record the barcode in the SRLF holdings record in ORION2. The owning location (in the item extension) for these materials will be the same as the shelving location, unlike other SRLF deposits. The item's circulation status will be coded as "UC Libraries building use only".
- c. Material is integrated into the SRLF stacks following standard operating procedures; it is not separately shelved.
 - d. The location display on ORION2 and in Melvyl should read SRLF - Archive, and the additional information about the circulation status of this collection will display through the ORION2 access note and through an automatically-generated Melvyl note.

6. Circulation from the SRLF.

- a. Items in the Shared Print collection can be paged for use in any UC Library and on site at either RLF. The circulation status of "building use only" displays on the ORION2 OPAC screens.
- b. Items that are requested for use on campus or at the RLFs will be retrieved from the stack collections and charged out on the ORION2 circulation system. The circulation system alerts staff that the item is "building use only", at which point SRLF staff will attach a permanent label to the item which reads "Building Use Only".
- c. Staff will charge the item out to the borrowing library, and they will apply a security strip to each item.
- d. The "building use only" label is prominently displayed on the item. Upon receipt at the campus libraries, use of the item must be restricted to in-library, building use only.
- e. The SRLF provides annual loans to UC libraries. But items are typically returned to the SRLF well before the annual loan ends. The loan period for items in the shared print collection will be one week.

Appendix 2

Options for Melvyl Record Display

1. Use a note only

Library	Call Number	Availability	Notes
So. Regional Library Facility			
		Circ status	V.25, 2002- UC Libraries Collection copy. Restricted use.

2. Use a note and a location

Library	Call Number	Availability	Notes
So. Regional Library Facility			
Archive		Circ status	v.25, 2002- UC Libraries Collection copy. Restricted use.

3. Make UC Library a "Campus"

The example below shows what it would look like if there were a UCB copy, a UCL copy and an SRLF copy. Imagine that the location under the UCL copy could be either regional facility or any campus library.

Library	Call Number	Availability	Notes
UC Berkeley			
NewsMicro	MICROFILM 4501 DK	Circ status	
UC Libraries			
SRLF		Circ status	v.25, 2002- UC Libraries Collection copy. Restricted use.
So. Regional Library Facility			
		Circ status	D0009724999

