Registering Shared Print Retention Commitments in OCLC

Linda Wobbe - SCELC   Anna Striker - WEST

Good morning/afternoon depending on where you are and welcome! My name is Sara Amato and I am the Partnership for Shared Book Collections program coordinator, and am happy to introduce the first of a two webinars brought to you by the Partnership for Shared Book Collections and the Rosemont Shared Print alliance. Today's webinar will be focused on libraries registering their shared print commitments in OCLC.   Linda Wobbe from the SCELC program will be covering how to register using the CSV method, followed by Anna Striker from WEST discussing the alternate method of registration using the MARC processing method, and then comparing these two methods in terms of functionality and appropriateness in various scenarios.

We are also joined on the line by several colleagues from OCLC and CRL who are here to help answer any questions that you may have after these presentations.
I'd also like to give a thank you to Mei Mendez, the project manager at EAST, who has been handling the registration and technical details for these events.

CSV Template for Shared Print Retention Commitments

Preparing and Registering Using the CSV Template Method
Linda Wobbe Linda@SCELC.org

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Thank you Sara. I'll be giving some highlights of the CSV process for registering retention commitments in WorldCat. This process has been in use for several years, and was updated fairly recently to accommodate multi-part monographs and serials. I will share some ideas we have learned while using the multi-part monograph registration process. This updated CSV process was developed in partnership between CRL and OCLC with funding by the Mellon Foundation. Thank you so much to the OCLC team who are continuing to update the documentation for both the CSV and MARC processes, and for vetting our slides and assisting us in putting together this webinar by answering our many questions. (Next)

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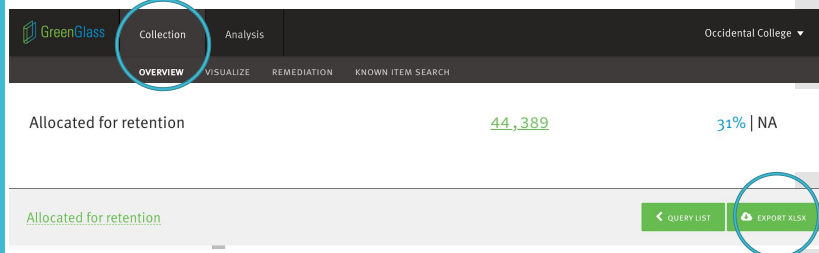
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Outline

Here is the basic outline for my portion of the talk today. Because I don't want to shortchange Anna's presentation, and since the MARC registration process is so new, we ask that questions be held until the end of both presentations, although as Sara mentioned, feel free to add questions in chat or in the Q&A. (Next)

The CSV process for registering retention commitments is used by individual libraries for self-registration and by Shared Print Program Managers also known as Agents to register on the behalf of program member libraries. The process works well for libraries using GreenGlass as the tool to develop shared print retention models, and once retention commitments have been made, libraries can export their Allocated for Retention commitments from their local library view, under Collection Overview, where the Allocated for Retention selection can be found at the bottom of that screen. Click the number of records allocated to see the Export button and Export this list. (Next)

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Before Registering: Review for Common Problems

- This is an example of an "Allocated for Retention" File from GreenGlass
  - Before registering your retention commitments, make sure they are still owned
    - Check for Weeded, Missing, Lost, Damaged
  - Possible Multi-Volume Set? = Multi-Part Monograph
    - Still Have the Volumes Committed to Retain listed in the Enumeration field?
    - *numbers are from the call number field, and when they aren't for a designated multi-part monograph, consider whether to register the holdings information
  - Enumeration From GreenGlass = Materials Specified for the registration template 583$3

Location Code	Display Call Number	Title	Enumeration	Possible Multi-Volume Set	WorldCat OCLC Number	Bib Record Number	Barcode
first	AZ201 .P43	History of classical scholarship from 1300 to 1850 /		No	3311289	.b10901267	35043000994326
first	AZ999 .M2 1856	Memoirs of extraordinary popular delusions and the madness of crowds. By Charles Mackay ..	v. 2	Yes	6750733	.b11541660	35043001708402
first	AZ999 .M2 1856	Memoirs of extraordinary popular delusions and the madness of crowds. By Charles Mackay ..	v. 1	Yes	6750733	.b11541660	35043001708394
	B21 .C8	The ethical and economic theories of Adam Smith; a study in the social philosophy of the eighteenth					

After you have downloaded your retention commitments from GreenGlass, prior to registering these commitments in WorldCat, remove rows for items that may have inadvertently been weeded or declared permanently lost after you sent your bibliographic data to GreenGlass. Also, check the Enumeration field for those listed as YES in the Possible Multi-Volume Set column. Please note that each volume for an OCLC Number is on a separate line. Remove rows for any volumes weeded or permanently lost after your GreenGlass data load. For our program, we have only been registering holdings for titles designated as Possible Multi-Volume Set titles. Check with your program to make sure of your local practice. Remove any extraneous information in the enumeration field that you don't intend to register as holdings. For example the "no. 13" in this example, which is starred to indicate that information was found in the Call Number field. It is likely the number of a series title that isn't represented by the associated OCLC number, so you might not want to list that in the holdings field, which is the 583$3 of the Local Holdings Record (LHR). (Next)

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Important Fields for CSV Registration

- WMS Libraries Use a Separate Workflow
- Non-WMS Libraries:
- Single-part monographs
  - OCLC Number, Local System Number, Barcode
  - Template – don't alter or remove columns
- Multi-part monographs and Serials
  - OCLC Number, Local System Number, Barcode and Action Note Plus Additional Columns
  - Template – don't alter or remove columns Agents use this Template
  - Save template as CSV
- OCLC Register Shared Print Retentions Instructions

OCLC_Number	LSN	Barcode

The simplest case for CSV registration is single-part monographs, which use the template depicted on this slide. Consider sorting your GreenGlass file by the Possible Multi-Volume Set column and creating a separate file to register single-part monographs, those labeled NO in that column. Remove all of the extraneous columns from the GreenGlass spreadsheet to match the template, then change the field names to match the template. Don't remove any columns. For single-part monographs, only the OCLC Number and Local System Number are the required fields. The Barcode field is required for WMS libraries, and they can use the OCLC Number as their Local System Number, since both of those fields are required. Registering multi-part monographs and serials using the CSV system requires the larger 14-column template but only OCLC number and Local system number and the Holdings fields are required - the rest can be blank. WMS libraries should include the barcode field in the larger template as well. Agents use the 14-column template. This slide, following slides and my end slide link to the helpful documentation on OCLC's site. (Next)

Multi-Part Monograph Holdings Special Issues

- The Multi-part Monograph /Serials Template Includes a "Materials Specified" column to Report Holdings which is to become the 583 $3 in the LHR
- The Enumeration Field of the GreenGlass "Allocated for Retention" file is the equivalent, BUT
- Item Records are listed Individually in the GreenGlass "Allocated for Retention" file, so each volume number is listed on a separate row. But what you need to register is a holdings statement.

- Also, check for extraneous Information that might be included In the GreenGlass Enumeration Field (CD-Rom, copy numbers, maps)

OCLC_Number	LSN	Barcode	InstitutionSymbol_ 852$a	HoldingLibrary_ 852$b	CollectionID	ActionNote _583$a	ActionDate_ 583$c	ExpirationD ate_583$d	MethodofActi on_583$i	Status_583 $l	PublicNote_ 583$z	ProgramName_ 583$f	MaterialsSpecified_583$3

Translating multi-part monograph holdings from a GreenGlass file into the 14-column template pictured on this slide is a large task. The Enumeration field of the GreenGlass file is the equivalent of the MaterialsSpecifed 583$3 field, but since each item record is listed on a separate row, you must gather those together into one holdings statement and then eliminate the extraneous rows. And since sometimes the GreenGlass Enumeration field includes information discovered in the call number field, there can be non-holdings information in that field. (Next)

Multi-Part Monograph Holdings Special Issues

- OCLC has prepared the GreenGlass files for some programs, example of the Materials Specified 583$3 field:

MaterialsSpecified_583$3
V.1, V.2
V.1, V.2
V.1, V.2
V.1, V.2
V.1, V.2
V.1, V.2
V.1, V.2, V.3, V.4, V.5, V.6
V.index, V.book 1, V.book 2, V.book 3, V.books 4 and 5, V.book 6, V.book 7, V.book 8, V.book 9, V.book 10, V.book 11, V.book 12
V.1
V.1, V.2
V.3, V.16, V.27, V.28
V.4
V.1, V.2
V.1 pt.1, V.1 pt.2, V.2, V.3, V.4, V.5, V.6
V.1, V.2, V.3, V.4

Consequently, for the SCELC program, we requested the assistance of the GreenGlass team, and they graciously agreed, recasting our GreenGlass file into the template to help us prepare for registration. They have listed the applicable holdings for an OCLC Record Number all in one row and removed the extraneous rows. Note that each volume is listed individually. While these are not traditional holdings statements, they are understandable and may be more easily machine-readable, and are ready to be registered as shared print commitments. In anticipation of your questions you may wonder why are including holdings information as part of the shared print 583 rather than relying on holdings information which may be found in 800 fields. Because libraries have made retention commitments for specific holdings, whether scoped through the use of the GreenGlass modeling, or through a regional serials retention program, we wished to specify the precise holdings being committed for retention in the shared print 583$3. (Next)

Multi-Part Monograph Holdings Special Issues

- Sara Amato at EAST has developed a rudimentary script for
  removing extraneous holdings data
  and concatenating the holdings statements she is willing to shar
  sara@sharedprint.org
- Extraneous information such as DVD, CD, copy numbers,supp
- Holdings statements listed as individual volumes are acceptable,
  and might be more machine-readable,
  but holdings ranges are more understandable for humans

AND I am in awe of Sara Amato at EAST and the Partnership for Shared Book Collections who has developed a script for removing the extraneous information that appears in the GreenGlass Enumeration field such as copy number, CD-Rom, etc, plus grouping individual volume numbers into holdings statements. Either style of holdings statement is acceptable for CSV registration. Sara is willing to share this script through github which is linked on the slide. (Next)

Role of the Collection Profile

- When registering multi-part monographs or serials, the Collection Profile
  - fills in information so it can be left blank on the template
  - OR the template can override information in the Profile
- "Merge Field Information" for treatment of existing LHRs
- Required information:
- 583
  - $a Action: "Committed to Retain" by default
  - $c Action Date: Beginning of Retention Period YYYYMMDD
  - $d Expiration Date: End of Retention Period YYYYMMDD
  - $f Program Name
- OCLC Detailed Metadata Guidelines for submitting shared print retention commitments

OCLC_Number	LSN	Barcode	InstitutionSymbol_852$a	HoldingLibrary_852$b	CollectionID	ActionNote_583$a	ActionDate_583$c	ExpirationDate_583$d	MethodofAction_583$i	Status_583$l	PublicNote_583$z	ProgramName_583$f	MaterialsSpecified_583$3

In addition to the registration template, in order to register your shared print retention commitments, you will create a Collection Profile in WorldShare Collection Manager. To prepare for creating the Collection Profile you want to have the information you need as well as understand the role of the Profile, in advance. The Collection Profile information will fill in several of the 583 fields so you don't need to add everything to the template. But note that anything you do put in the template will override the profile information. The Collection Profile will fill in the $a Action Note for example Committed to Retain, and the $c Action Date which is the beginning of the retention period, please note the date format of YYYYMMDD and the $d Expiration Date which is the end of the retention period. $f is the Program Name. Consult with your program to use the right program name and begin and end dates. (Next)

Role of the Collection Profile

- When Registering Multi-Part Monograph or Serials

  - Optional fields in the Profile – select each field you want to appear most frequently, and override as needed with the template
    - $a Action Note additional actions: Condition Reviewed; Completeness Reviewed
    - $i Method of Action: when Condition or Completeness is reviewed, specify the level: volume-level; issue-level;page-level
    - $l Status. Required if a public note is used to identify completeness or condition problems
    - $u URL: link to the program in $f
    - $z Public Note can be used to identify completeness or condition problems

  - OCLC Detailed Metadata Guidelines for submitting shared print retention commitments

When creating the Collection Profile you can also select optional fields. Add the information to the profile that you want filled in routinely, and consider creating separate Collection Profiles for materials that will share common elements, then override the information when it differs by, using the template. Programs that review the completeness or condition can choose to add additional $a statements Condition Reviewed / Completeness Reviewed or both through the profile. When Completeness or Condition is reviewed, additional subfields should include $i Method of Action to indicate the level at which the review is done using the volume-level, issue-level or page-level options.   If there are specific completeness or condition problems to call out , $l Status is required if a $z Public Note is used to identify the completeness or condition problems. For our program we use a standard $u URL to the program information page and a Public Note "Retain for SCELC" so check with your program for those specifics. (Next)

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Role of the Collection Profile

- When Using the Multi-Part Monograph and Serials Template
    - Example of repeating fields for same OCN
    - All $a statements must be included on a separate row
    - If Completeness or Condition statement is enterered, an additional row for "Committed to Retain" must be added, or the Shared Print flag will not be set

- OCLC Detailed Metadata Guidelines for submitting shared print retention commitments

	A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
	OCLC_Nur	LSN	Barcode	Institution	Hol	Collection	ActionNote_583$a	ActionDate_583$c	Expiration	Methodof	Status_58	PublicNot	ProgramN	Materials	Specified_583
	1291198	VVP1291198		VVP		1037250	committed to retain	20160630	20310630				EAST	v. 1-v.29 (1946-1974)	
	1291198	VVP1291198		VVP		1037250	completeness reviewed	20160630		volume-level			EAST	v. 1-v.29 (1946-1974)	

If the template is being used to communicate the details of completeness and condition review, a duplicate row for each action note that applies to the OCLC number must be added, including "committed to retain". Even though "committed to retain" is in the non-MARC Shared Print profile by default, if the template has information in the ActionNote field, it will override the profile, so all action notes that apply must be added through the template on separate rows. The same applies to the other fields: standard profile information for a column must be included on a separate row of the template for each OCLC number, since anything in the template will override the profile information. (Next)

Role of the Collection Profile

- Additional fields setup through the Collection Profile
- 852
    - $b Holding Library Code (drop-down list)
- 014
    - $b MARC Organization Code
- 008
    - ILL Policies:
        - /20 Monographic Programs = a. Will Lend
        - /21 Serials Programs = a. Will Reproduce

- OCLC Detailed Metadata Guidelines for submitting shared print retention commitments

The Collection Profile is also used to establish other MARC fields of the LHR, including Holding Library Code and ILL Policies. For Shared Print retention commitments, please specify the appropriate ILL Policies for your program, at a minimum: For Monographic Programs = will lend; for Serials Programs = will reproduce. (Next)

This is a graphic that probably complicates things, but I hope reinforces is the fields on the multi-part monograph/serials CSV registration template that can come from the Collection Profile circled in blue, and those that must come from the template, boxed in gold. This shows that the bulk of the information can come from the Collection Profile, and then the template only needs to include OCLC Number, LSN, and for WMS libraries, the required Barcode field, and for all libraries the Materials Specified, all of which can come from the GreenGlass file or other retention commitment sources.

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OCLC Instructions: Non-WMS **OCLC Registration Training videos**
OCLC Instructions: WMS

Creating the Collection Profile in Worldshare Collection Manager

- WorldShare Collection Manager
- Create a Collection
- Data Sync Collection - Local Holdings Records
- Properties Section:
  - Collection Name
  - Non-MARC
  - Shared Print - Yes

Create a Collection   ✖

Collection Type   Data Sync Collection   ▾

Data Sync Type*   Local Holdings Records ▾

Create a WorldCat data synchronization collection to synchronize your library's bibliographic and holdings data with WorldCat.

Create   Cancel

I've kept you in suspense and finally here is an example of the Collection Profile creation page using WorldShare Collection Manager. Create a Collection/Data Sync Collection/Local Holdings Records, then Click Create. (Next)

On the Properties accordian you will assign a Collection Name. You can create multiple profiles that will have the defaults that apply to a specific group of records, for example you could name one profile: Single Part Monographs, and another Multi-Part monographs with validation. Also under Properties note that this a non-MARC process for Shared Print. (Next)

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Creating the Collection Profile in Worldshare Collection Manager

OCLC Instructions: Non-WMS
OCLC Instructions: WMS
OCLC Registration Training Videos

Completed Retention Commitment tab for one or multiple programs that have the same expiration date - Example

| Retention Commitment | ILL Policies | Location | Linkage Information | Ownership History |

If you are retaining material under multiple programs that have different expiration dates, create a separate commitment for each program. If the programs have the same expiration date, create one retention commitment and enter each program in a separate row.

Treatment of Existing LHRs → ● Merge field information
○ Do not update

Action (583 $a)   committed to retain
Archiving Program Name (583 $f) *   If all your programs have the same expiration date, enter each program below.
Select from the list of available archiving programs.
UCL Shared Print ✕

Action Date (583 $c) *   20160625   (Format YYYYMMDD)
Retention Commitment Expiration Date (583 $d) *   20351231   (Format YYYYMMDD)
☐ Retention period not specified

Optional Information   Select ▾   (0/500)

Action (583 $a)   committed to retain
Archiving Program Name (583 $f) *   If all your programs have the same expiration date, enter each program below.
Select from the list of available archiving programs.
WEST ✕

Take a look at each accordion. The next accordion after Properties is the Local Holdings Records aka LHR accordion, pictured here. Please note the tabs across the top, and take a look at each. On the first tab, Retention Commitment, for Treatment of existing LHRs you should always select "merge field information". This non-MARC CSV process uses Merge/ Match logic to determine how to handle this new information that you will upload. Also on the Retention Commitment tab, the Action Note 583 $a Committed to Retain is selected by default. You can use the plus next to that selection to add additional Action Notes. Select the program name from the drop-down menu, and the start and end dates of the retention commitment. Commitments for multiple programs can be added at the same time. The second tab ILL policies should be completed, as should the Location and Linkage Information Tabs. Ownership History only pertains if you are accepting a transfer of a retention commitment from another institution and want to communicate that in the LHR. (Next)

Open All of the Accordions, including MARC record output, the optional comments section and the required Contact Information. Finally, at the top drop-down, select Collection Action: Submit and note the Collection ID. (Next)

Uploading to WorldCat through Collection Manager

- Save template as CSV
- WorldShare Collection Manager: - Metadata - MyFiles - Uploads
- Data sync LHR File Type Upload
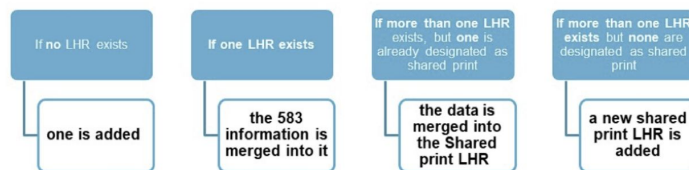- File Naming Convention:

<collectionID>.<OCLCsymbol>.sharedprint_<optionaltext>_<YYYYMMDD>.<optionalfile#>.csv

Before uploading save your completed template as a CSV file, using the file naming convention shown here. Here's where you will need the Collection ID from your profile. So, Collection ID, dot OCLC symbol.sharedprint_the date of the file in YYYYMMDD format and if you are registering multiple files on one date. optional file number.csv. Remember this is the CSV process, so the file needs to be a CSV file. Then you are ready to upload it through the WorldShare-Metadata-Uploads process using the Data sync LHR file type upload.

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Uploading to WorldCat through Collection Manager

- CSV Merge/Match Logic

Merge/Match Logic

If **no** LHR exists	If **one** LHR exists	If more than one LHR exists, but **one** is already designated as shared print	If more than one LHR exists but **none** are designated as shared print
one is added	the 583 information is merged into it	the data is merged into the Shared print LHR	a new shared print LHR is added

The CSV process uses a merge/match logic: If no LHR exists for the record, one is added. If an LHR exists, the 583 information is added. If more than one LHR for your institutions exists, but one is designated Shared Print, the 583 is added to the Shared Print LHR. But a few additional clarifications about that point: If there is an existing 583 in the record, your upload process will add the new 583 to that Shared Print LHR. So there may be multiple 583's on the same LHR. A script can be run to remove one (if one is less complete, for example) but is not automatically done, so work with your Data Sync analyst to arrange for that if needed. Finally, if multiple LHR's are on the record, but none are designated as shared print, a new shared print LHR will be added. (Next)

Responding to a question by attendees at the presentation, here are a couple of examples of additional 583 fields added to the local holdings record (LHR). Contact your OCLC Data Analyst for cleanup assistance. (Next)

Common Errors: Exception Reports

- Collection Manager Worldshare: Metadata-Files-Downloads to obtain the Summary and Exception Reports
- OCLC will review these files and let you know what action is needed
- Holdings not set
- Already registered
- 583 for another program through copy cataloging
- non-print format
- Processing errors – try again
- Missing information in the data file, correct and resubmit

After processing, your Data Analyst will review the reports from WorldShare Collection Manager, and advise you what action is needed. The types of errors they might see include the situations here, such as Holdings Not Set for your institution, or "already registered". We are seeing some cases where there is a shared print 583 for a different program already on a record due to an error in copy cataloging, and that might cause an error. If there are just hiccups labeled "processing errors" the answer is - try again. If there is missing information in the file, you can correct and resubmit. And then you've done it! Registered your retention commitments AND the shared print flag has been set. (Next)

Here is a (pretend) example of the resultant WorldCat Local Holdings Record (LHR) with the 583 "committed to retain" statement including start and end dates, program name, the "documentation" URL and a public note "Retain for SCELC".

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Help

- Email OCLC for assistance:
  - SharedPrint@OCLC.org
  - Support@OCLC.org
  - **AskQC@oclc.org**
    https://www.oclc.org/forms/record-quality.en.html
  -
- OCLC Detailed Metadata Guidelines for submitting shared print retention commitments
- OCLC Register Shared Print Retentions Instructions
- **OCLC Registration Training Videos**

Here are email addresses and the link to the form for connecting with the amazing OCLC staff, and a selection of their training materials. Now we will take a look at the alternate method of registration. Please continue to add your questions to chat or the Q&A, and we will respond after the second half of our presentation, in which Anna Striker will share with us the MARC process for shared print commitment registration.