Registering Shared Print Commitments in OCLC

Managing self-registration in OCLC's new registration service using MARC processing

PARTNERSHIP FOR SHARED BOOK COLLECTIONS

ROSEMONT SHARED PRINT ALLIANCE

Agenda

- MARC processing method
  - Overview of MARC registration
  - Basic OCLC workflow - establishing a new shared print Data Sync Collection
  - Alternative workflow - using ongoing Data Sync Collections
- Selecting a registration method
  - Comparing use cases
  - Comparing requirements
  - Key questions
- Q&A

Self-registration via MARC processing

To be clear, I'm not going to talk about how to prepare your records or load the file, and will just be focusing on the shared print-specific aspects of data sync collections.

MARC registration

- Only available to <u>institutions</u> registering shared print commitments
  - Not available to agents (CRL) or group coordinators (program staff)
- WorldShare Collection Manager account required
  - Records must be prepared according to LHR and shared print metadata requirements (e.g., submit complete title sets, records must have 583$a 'committed to retain' present)
  - Institutions may create a new shared print collection or request that their Data Sync Analyst modify an existing WorldShare Collection to enable Modify Shared Print LHRs (does not require filling out a Collection Profile Template)
- Add, update, and delete retention local holdings records (LHRs) according to local needs and schedules

Resources:
LHR requirements:
https://help.oclc.org/Metadata_Services/WorldShare_Collection_Manager/Choose_your_Collection_Manager_workflow/Data_sync_collections/Create_an_ongoing_data_sync_collection/Local_holdings_records_collection/20Data_requirements_for_local_holdings_records_collections
Shared print metadata requirements: https://help.oclc.org/Metadata_Services/Shared_Print/Detailed_metadata_guidelines

This method is only available to institutions - agents and group coordinators are not able to use this method to register any commitments in OCLC, so neither CRL nor your local program will have access to this. A WorldShare Collection Manager account is required, and records must be prepared according to existing LHR and shared print metadata requirements (this method uses purge/replace rather than matching and merging, so you'll need to submit complete title sets when registering or updating a shared print record, and the shared print records must have a 583$a 'committed to retain' present in order to be flagged as shared print. Under this method, the data sync collection is looking for that action note to set the flag, and will not add the flag to any records that don't have it.) Institutions can elect to either create a new data sync collection for this, or you can ask your OCLC data sync analyst to update the settings in an existing collection so that it can detect and modify shared print records.

So what does all of this get you? By self-registering, you have the ability to update your records in OCLC as needed and on your own schedule. If you have existing workflows using data sync and maintain 583s in your local records, you can neatly fold the registration process into them by just asking your data sync analyst to update the settings on your existing collection(s) and then just continue using your existing workflows.

Overview of MARC registration workflow

Basic workflow in OCLC:

1. Create a MARC LHR collection profile and include 'shared print' in your collection name.
2. Submit your MARC data (MFHD) through data sync collections.
   a. .mrc or .xml format
3. An OCLC data sync specialist will be in touch with you to confirm settings in order to accept your profile and process your data.
4. An exception (error) report will be delivered to MyFiles or SFTP and a summary report will be delivered in OCLC Usage Statistics.
5. Your commitments and metadata will be reflected in WorldCat.

Here's the basic workflow from OCLC that gives the basic steps for setting up a new shared print collection profile in data sync and what to expect. In this workflow, you will create a new data sync collection either by filling out the collection profile template and submitting it to sharedprint@oclc.org for OCLC to create or by setting up a new collection on your own in Collection Manager. Once you have your new collection established, submit your .mrc or .xml file of MARC formatted holdings data to the collection and wait for your data sync analyst to contact you to confirm your settings and accept your file. After they've processed the data you'll receive any error reports in MyFiles, and records that have been successfully processed will be reflected in WorldCat (in FirstSearch, Connexion, WorldShare, etc., but not in the public WorldCat.org). This overview focuses on the major steps, so please visit the page linked on this slide to read through all the details (like file naming conventions, and how to create a new collection profile in Collection Manager).

Using OCLC registration workflow

Test Institution A

- Already maintain shared print LHRs using a WorldShare Collection Manager account
  - Established a new shared print collection profile with OCLC assistance (filled out form, OCLC created the new shared print data sync collection in Collection Manager)
- Existing workflows to export shared print records from local Alma instance and load to Collection Manager
  - No automatic syncing between LSP (Alma) and OCLC - manual process for updating records
  - API extraction from Alma
  - Used MarcEdit to clean up records (e.g., convert $d from text to yyyymmdd format)
  - Confirmed records had new shared print flag applied in OCLC

To help illustrate what this looked like in action, here's the process that one of the test institutions went through to get their shared print holdings registered. They already maintain their shared print LHRs in Collection Manager, so they were already familiar with the basic requirements of this process. They established a new shared print collection profile by filling out the template and submitting it to OCLC, who then set up the collection in their account. As I mentioned, this institution already had established workflows for exporting their data from their local system and loading it to Collection Manager, so they continued using these workflows and just submitted their files to the new shared print collection instead of their existing one. This institution doesn't have automatic syncing between their local Alma instance and OCLC, so they have a fairly manual process: they use an API extraction to get the data out of Alma, then their local MARC expert used MarcEdit to clean up the records. After they submitted them and OCLC had completed processing the file, the institution was able to confirm that the records did have the shared print flag set in all the appropriate places.

I should note that this institution ONLY updates its shared print holdings, and does not update their general collections' holdings in OCLC. Setting up a separate shared print collection doesn't impact existing workflows, because this is essentially what they had already, it's just that this collection can 'modify shared print LHRs' and will set the shared print flag on any records that have the 583 in them.

Alternative MARC registration workflow

Alternative workflow:

1. Contact your OCLC data sync specialist that you want to update an existing collection to allow modification of shared print LHRs.
2. An OCLC data sync specialist will be in touch with you to confirm settings in order to modify your profile and process your data.
3. Submit your MARC data (MFHD) through data sync collections.
   a. Records with a 583$a 'committed to retain' will be automatically flagged as shared print; records without this action note will not be flagged as shared print.
4. An exception (error) report will be delivered to MyFiles or SFTP and a summary report will be delivered in OCLC Usage Statistics.
5. Your commitments and metadata will be reflected in WorldCat.

While setting up a separate shared print collection worked for that institution, it may not be efficient for institutions that use data sync to update all of their holdings, shared print and general alike. In these cases, it may make more sense to just have your existing data sync collection (or collections, if you submit holdings that include shared print materials to more than one collection) modified to allow it to look for that 583 and set the shared print flag in the course of your regular workflows. If this is the case, you can use this alternative to modify your existing collection rather than setting up a whole new one.

In this case, you won't need to submit a collection profile template, just put a comment in your data sync collection that you want to update your collection's settings. Your data sync analyst will be in touch to confirm your settings, and will make the change for you (this is a setting that's only available to OCLC, and is not something that you can update on your own). Once your settings are updated, submit your file like normal: there's no need to separate your shared print records out, just keep everything together and the data sync collection will detect the 583 in your records that are committed for shared print and will set the flag on only those records. Non-shared print records will not have the flag applied. Again, once your file is processed any errors will get reported, and you'll see the new shared print flag visible in FirstSearch, Connexion, Record Manager, etc.

Using alternative registration workflow

Test Institution B

- Already maintain LHRs using a WorldShare Collection Manager account
  - Contacted Data Sync Analyst to update settings for existing data sync collection to "Modify Shared Print LHRs"
  - Included comment requesting assistance in transitioning from second symbol to flag method based on presence of 583 in LHRs
- Existing workflows to export records from local Alma instance to Collection Manager
  - Automatic syncing between LSP (Alma) and OCLC - weekly updates
  - Leveraged these workflows to manage migration of retention holdings off of shared print second symbol and onto primary OCLC symbol
    - Local management of shared print holdings with shared print-specific location codes
    - Updated OCLC Data Sync Translation Table to map shared print-specific location codes to regular OCLC symbol
    - Submitted shared print LHR file to 'force' update of all records, future updates will be handled through automatic syncing
- Confirmed shared print flag was only applied to shared print records that have a 583 in the record

For another example, a different institution tested this workflow. They have existing data sync collections in Collection Manager, and the send automatic weekly updates from their local Alma instance. They were very interested in maintaining these workflows, so they contacted their data sync analyst and asked them to update the settings in their existing collection to "modify shared print LHRs." They also put in a comment that they wanted help transitioning their retained holdings from their shared print second symbol to their institution's primary symbol. They were also able to leverage this process to migrate their holdings from their second symbols back onto their primary symbols because they use location codes that are specific to their shared print collections, so they updated their Data Sync Translation Table to map those locations to their primary symbol. Once all of the collection settings were updated they manually sent in a new file to update existing records and confirmed that the shared print flag was only added to their shared print records, and that the OCLC symbol was updated. All future updates and registration of new commitments will happen during the course of their automatic syncing.

Benefits and Considerations of MARC method

Benefits

- Simultaneously update holdings and register commitments
- Uses purge/replace, no potential duplication of fields or records
- Potential to use existing workflows for updating OCLC holdings
- Can be used to migrate holdings from OCLC shared print second symbol to primary OCLC symbol (additional steps may be required)

Considerations

- Institutions must register their own commitments (agents do not have access to this method)
- Commitments will not be immediately reflected in PAPR

There are a lot of benefits of choosing this method, but also a couple of considerations. The benefits are that you will be able to simultaneously update your holdings and register your commitments, so you can be sure that the information reflected in OCLC is accurate. As I mentioned earlier this method uses purge/replace rather than match/merge, so there's no potential for even temporary duplication of records or 583s. If you already use data sync, you can fold shared print registration into your existing workflows, and, if necessary/appropriate, you can use this to migrate your retained holdings off of your second symbol and onto your primary OCLC symbol (this might require a few additional steps - if you're interested in exploring this possibility reach out to your data sync analyst to discuss it).

However, if you do elect to use the MARC processing method to register your shared print commitments, your local program may be able to help coordinate setting this up with OCLC, but they will not be able to submit records for you: that will be your responsibility. Additionally, your commitments will not be immediately reflected in PAPR; CRL is working on mechanisms to periodically check OCLC for new registrations, with the intent to pull them into PAPR on an ongoing basis to keep the two databases in sync and make sure that your retention commitments are openly discoverable.

Selecting a Registration Method

In this final section of the webinar, we're going to compare the use cases and requirements of the two methods, and I invite Linda to jump in at any point. This section is really a distillation of everything we've covered so far, and just presents the info as a side-by-side comparison.

Comparing Use Cases

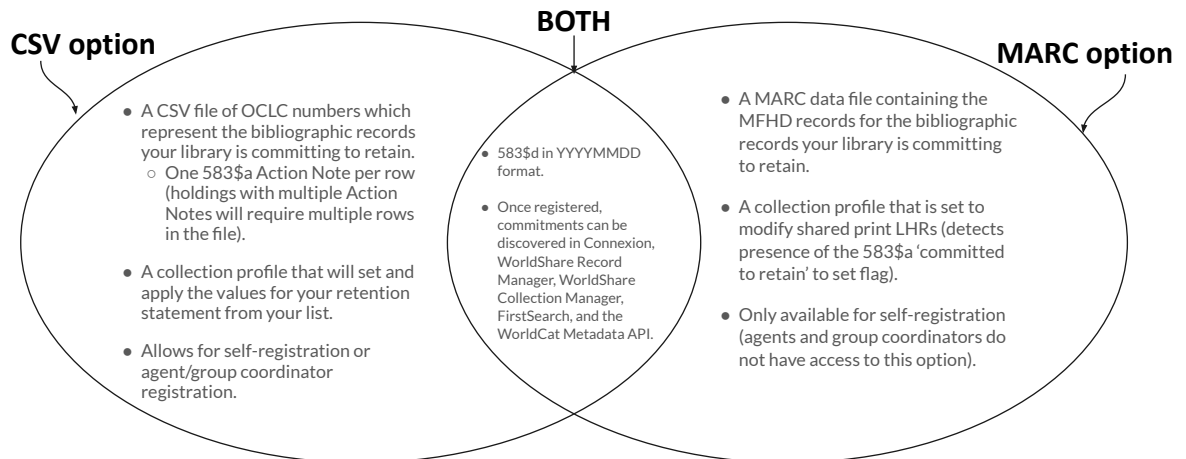| CSV option	MARC option
• institutions registering single part monographs	• institutions that retain serials or multipart monographs
• institutions that do not have holdings records in their local systems	• institutions that maintain 583s in their local systems
• institutions participating in shared print projects that use GreenGlass for collections analysis and retention allocation	• institutions that regularly add materials to existing commitments
• institutions whose committed holdings are stable/static	• institutions with existing workflows using data sync in WorldShare Collection Manager
• institutions that want an agent or group coordinator to register on their behalf	• institutions that automatically update OCLC holdings from their local system
	• institutions that want to self-register their commitments

CSV

The CSV method was developed with registration of single part monographs in mind, so this is the best use case for it. In particular, this method can be useful for institutions that don't have holdings records in their local system, and institutions that are participating in shared print programs or projects that use GreenGlass for analysis and retention allocation. This method can also be useful for institutions that have stable or static holdings, as in, you committed to volumes 1-3 and will not be adding more volumes. Finally, this is a good option for institutions that may want to have CRL or their local program register on their behalf at some point. If you use the CSV method, it can be easier to transfer responsibility for this activity if you need to in the future.

MARC

On the other hand, the MARC processing option might be a better fit if your institution retains serials or multipart monographs and have holdings records in your local system (GreenGlass does support multipart monographs, but they will likely require some additional work to clean up holdings statements), and especially if you maintain 583s in those local holdings records. If your institution has existing workflows in Collection Manager using data sync collections, using this option and just updating the settings in your existing data sync collection can help streamline the registration workflow, in particular if your institution automatically syncs with OCLC from the local system. Finally, the MARC option is good for institutions that are sure they want to manage registration on their own, and are not likely to need CRL or program help.

Comparing Requirements

CSV option

BOTH

MARC option

- A CSV file of OCLC numbers which represent the bibliographic records your library is committing to retain.
  - One 583$a Action Note per row (holdings with multiple Action Notes will require multiple rows in the file).
- A collection profile that will set and apply the values for your retention statement from your list.
- Allows for self-registration or agent/group coordinator registration.

- 583$d in YYYYMMDD format.
- Once registered, commitments can be discovered in Connexion, WorldShare Record Manager, WorldShare Collection Manager, FirstSearch, and the WorldCat Metadata API.

- A MARC data file containing the MFHD records for the bibliographic records your library is committing to retain.
- A collection profile that is set to modify shared print LHRs (detects presence of the 583$a 'committed to retain' to set flag).
- Only available for self-registration (agents and group coordinators do not have access to this option).

For a high-level look at the requirements for the different options, the CSV method requires, unsurprisingly, a CSV file of your retention data. If your records have more than one 583 in them, you will need to include multiple rows for each OCLC number (one for $a 'committed to retain,' one for $a 'completeness reviewed,' one for $a 'condition reviewed,' etc). You will also need to set up a shared print collection profile that contains default information about your commitments, which you can rely on to set and apply those values to the records in your file (though again, if there are multiple actions you will need to reflect that in the input file rather than relying on the collection profile). And again, the CSV method allows for self registration or agent/group coordinator registration, so you can authorize CRL or your local program to register your commitments on your behalf.

The MARC option requires a MARC data file containing MFHD for the bib records you're committing to retain. You will need to have a collection profile that is set to modify shared print LHRs so that it can use the presence of the 583$a 'committed to retain' to set the shared print flag on the record. This option is also only available for self-registration, so any institution choosing this option is also choosing to maintain responsibility for registering their commitments.

For both options, the $d (retention expiration date) should be in yyyymmdd format (a change made in the summer of 2020 to support indexing and searching on this field). This is a requirement for the CSV method, which has strict rules about data format, and is strongly encouraged using the MARC method to maintain a consistent format and help support searching. No matter what method you use or who is responsible for

registering your commitments, after registration they will be discoverable in the same OCLC spaces, including Record Manager, Collection Manager, Connexion, FirstSearch, and via the WorldCat Metadata API. Please note that at this time the shared print flag will not be visible in the public WorldCat.org.

Selecting a registration method

Key questions to consider when choosing a strategy for registration.

1. Does the library maintain 583s in their regularly submitted LHRs? i.e. in their local system?
2. Does the library wish to use their local system to edit, modify and delete their registrations?

If **yes** to both, then using the regular ongoing Data Sync collection can be the most efficient way forward.

If **no** to either question, the library may be advised to set up an additional Data Sync collection with the "Modify Shared Print" enabled. They can leave their regular LHR collection alone, with the "Modify Shared Print" option turned off.

Institutions that elect to set up an additional Data Sync collection may self-register or may authorize an agent/group coordinator (CRL, HathiTrust, etc) to register their commitments on their behalf.

Finally, here are two key questions that you should consider when deciding which option to choose: do you maintain 583s in your local system, and do you want to use your local system to edit/modify/delete your registrations? If you can answer yes to both, the MARC option where you update your existing data sync collection to detect and modify shared print LHRs might be the best one for you. If you answer no to either, it may be best to set up a standalone shared print collection in Collection Manager to keep this registration workflow separate from other data sync collections. In all cases, talk to your local program and to your OCLC data sync analyst! They will be the best to help guide you through this process and can work with you to figure out which option will work best for your local situation.

Questions?

Thank you

Join us next week for "Working with Shared Print Commitments in OCLC"

Want more discussions with colleagues?
Join the PAN Listserv https://www.crl.edu/subscribe-pan - PAN Forums and the 'Water Cooler'
Join the google group discussion@sharedprint.org - unmoderated discussion forum

Thank you for attending today. Slides and the recording of this session will be posted to sharedprint.org. If you are interested in Working with Shared Print Commitments in OCLC, join us for next Friday's webinar, held at the same time. Registration is available off of the home page at sharedprint.org

Also as a reminder if you want more discussions with colleagues, Join the PAN Listserv https://www.crl.edu/subscribe-pan for information on the PAN Forums and the 'Water Cooler' discussions that follow them, and/or join the google group discussion@sharedprint.org for general conversations of all things shared print.