ASERL Scholars Trust - Collection Analysis FAQ

Introduction

In 2018, ASERL initiated a collection analysis pilot project with the Center for Research Libraries (CRL) and six ASERL/CRL member libraries (Emory University, University of Alabama, University of Florida, University of South Carolina, University of Tennessee-Knoxville and Virginia Tech) to test the analysis process for providing a big picture view of local journal holdings among ASERL Scholars Trust libraries. Our goal was to highlight subject strengths and areas of redundancy, and actively identify unique/scarce copies for potential preservation purposes.

The desired outcomes for the pilot were realized: The analysis identified areas of overlap, completeness of holdings, and collection subject strengths of the serials collections from the six pilot libraries. The analysis also included a comparison of the pilot libraries' holdings against all holdings in OCLC WorldCat as an indication of titles that are more widely-held, and those that are unique/scarce materials.

For more information about the pilot, please visit the http://www.aserl.org/crl-collection-analysis-pilot/ webpage.

During its April 15, 2019 conference call, the ASERL Board approved expanding the CRL Collection Analysis Pilot to the remainder of the ASERL Scholars Trust libraries. This is an important point in the lifespan of Scholars Trust as a collaborative endeavor. We will gain a greater understanding of the scope of serials holdings among all ASERL Scholars Trust libraries which will inform decisions about collection growth for both Scholars Trust and our participation in the Rosemont Shared Print Alliance.

IMPORTANT DATES:
- **May 17** - Instructions for submitting records to be distributed to ASERL-Scholars Trust libraries.
- **May 28** - Q&A webinar on records submission and the analysis process.
  Date | Time: Tuesday, May 28, 2019 | 2:00 PM EDT/1:00 PM CDT
  Register: https://attendee.gotowebinar.com/register/3309714016905895682
  The webinar will be recorded for later playback.
- **June 12** - Proposed Scholars Trust Retention Model to be distributed for comment.
- **JULY 1 - DEADLINE TO SUBMIT PRINT SERIALS RECORDS.**
- **July/August -**
  - CRL reviews and validates bibliographic data against WorldCat and analyzes holdings data provided by libraries to ensure each library has enough data at bibliographic and holdings level to make allocation decisions. During this process, libraries may be asked to review preliminary reports (Checks Report) of their analyzed data to confirm the records have been interpreted appropriately.
  - Scholars Trust Town Hall e-meeting, Date TBD
- **August 30** – Scholars Trust Retention Model finalized
- **Mid-September** – Cross-Comparison Report is expected.

The report will be reviewed, and criteria identified in the Scholars Trust Retention Model will be applied to select the titles on which to proceed with allocations assessment.

- **TBD** – Allocations reports received.

FREQUENTLY ASKED QUESTIONS:

The FAQ will be updated as needed.

How do I identify in-scope serial records?

See **Analysis Data Elements**

What is considered out of scope for this project?

To be excluded if encoded in the record:

- Government documents (federal, state, and international)
- monographs
- monographic series
- non-print format, i.e., microform or e-resources
- newspapers

See **Analysis Data Elements**

Should only active subscriptions be submitted for analysis?

No, all print journal titles, whether active or inactive, should be submitted for analysis.

Is a retention commitment also a promise to continue the print subscription?

No, not unless the library chooses to do so. The holdings statement reflects the library's retention commitment.

What is the deadline for submitting records?

July 1, 2019

What file format is used to submit records?

Libraries should submit bib, item & holdings data, either merged or in separate files, in MARC format.

If your library cannot provide a marc extract a csv file may be acceptable. Contact Cheryle Cole-Bennett for information.

General instructions:

1. Extract bib, item & holdings data, either merged or in separate files.
2. If you have branch or affiliated libraries who do not wish to participate, if possible, do not include their holdings. If it is not possible to exclude holdings for these locations, please be sure to identify location codes to be excluded on the Collections Analysis Submission form.
3. Limit file size to a maximum of 100,000 records. You can send more than one file where needed.

Note: If bib/item/holdings data are in separate records, either in the same or separate files, you will be asked to identify which record ID / field maintains their relationship. This is usually a field generated by the ILS and part of the standard output.

How do I submit my library's records?
You will be provided ftp account login information for submitting your files. Upload the files along with a completed Collections Analysis Submission Form.

How are the files to be named?
- XXX = your OCLC holdings symbol in upper case
- Record type = "bib", "items", "holdings", or "combined" where a file contains both bib, item and holdings data/records.
- Date of file creation = YYYYMMDD, for example: 20190701
- File number = Use when providing more than one file per record type – 1, 2, 3, etc. If there is only one of each file, there is no need to add a number.
- File extension = For example: .mrc, .csv

   File naming examples:
   XXX.<Record type>.<Date of file creation>.<File number>.<File extension>

   o **ALM.bib.20190701.mrc** (i.e. Univ of Alabama – bib records – July 1, 2019 – MARC format)
   o **ALM.holdings.20190701.mrc** (i.e. Univ of Alabama – holdings records – July 1, 2019 – MARC format)
   o ALM.items.20190701.mrc (i.e. Univ of Alabama – item records – July 1, 2019 – MARC format)
   o **SUC.holdings.20190701.1.mrc** (i.e. Univ of South Carolina – holdings records – July 1, 2019 – file #1 - MARC format)
   o **SUC.holdings.20190701.2.mrc** (i.e. Univ of South Carolina – holdings records – July 1, 2019 – file #2 - MARC format)
   o **TKN.combined.20190701.1mrc** (i.e. Univ of Tennessee – file contains bib, holdings and item records – July 1, 2019 – file #1 - MARC format)
   o **TKN.combined.20190701.2mrc** (i.e. Univ of Tennessee – file contains bib, holdings and item records – July 1, 2019 – file #2 - MARC format)

What information will we receive from CRL?
1. Checks report – each library receives an assessment of their dataset, including total record counts, holdings validation to ensure holdings are on the correct record as well as indicators for non-standard records that the library may wish to review (e.g. missing or inconsistent OCLC/ISSN, date out of range for publication, etc.) Records are identified for inclusion/exclusion from further analysis and includes an indicator for that decision.

2. Cross Comparison report – The program receives title lists segmented by the number of holding libraries, from a single holding library to multiples. This report provides an opportunity to

identify titles that are widely held, as well as materials that are rare/unique within the region and beyond.

Additional information included in the report may serve as criteria for prioritizing retention selections at the local and/or program level:

- List single LC Class letter, if available (for potential subject-focused collections)
- Indicate if the title is in PAPR, and to which programs the associated holdings belong (such as the Rosemont Shared Print Alliance),
- Indicate the number of holding libraries in Worldcat,
- Note the existence of electronic versions, & provides the OCLC# for the electronic version,
- Indicate if the title is a JSTOR resource & indicate the source of electronic version if it is not a JSTOR title.

3. <u>Depth of Run/Allocation Report</u> – All records are analyzed for completeness - to determine if the library holds all volumes of a title from the start of the run through the last volume published. Each library will receive a list of titles for which they are one of three libraries with the most complete runs of the title within the group of participating libraries.

Based on the completeness of their holdings, the Allocation Report nominates these three libraries to retain the title for Scholars Trust.

Receiving a nomination as a candidate for retention does not obligate the library to retain the title for Scholars Trust. The report serves as a pick list of potential titles of benefit to the program.

Note: Holdings statements may include additional text and/or elements that are not easily interpreted during the analysis. As such, libraries may expect to find records where the analysis has incorrectly interpreted their holdings, indicating more (or fewer) holdings than are represented in the statement. Libraries will have the opportunity to report nominations when they have been incorrectly interpreted.

Examples of each of these reports are available on the program page at: http://www.aserl.org/crl-collection-analysis-pilot/

To what extent will the analysis require review/correction of problematic holding records?

CRL will provide an initial Checks report on all record sets shortly after receipt of the records. This report will give us an indication of the extent of the issues. To keep the analysis project within a manageable timeframe, unless easily resolved, problem records will be excluded from analysis at this time.

Is there a recommended format for holdings statements?

CRL recommends using guidelines outlined in ANSI/NISO Z39.71-2006 (R2011), Holdings Statements for Bibliographic Items.

Any of the following examples are acceptable:

- v.1-v.10 (1900-1909) – *preferred format*

- v.1:no.3-v.10:no.6 (Mar 1900-Jun 1909)
- v.1-v.10 (1900-1909); Supp.1 (1902); Index 2 (1904)
- v.1:no.3 (Mar 1900) -v.10:no.6 (Jun 1909)

When noting gaps in holdings, emphasize what is held rather than what is missing:
- 1942-1990, 1994-
- Not 1942-, missing 1991-1993

Cautionary Note: Holding statements, such as **v.1 (1900)-v.10; Supp.1 (1902); Index 2 (1904)** can confuse the CRL normalization process. This statement would be interpreted as the library only holding **1900-1904** (the only dates explicit in the statement) - the reports would show 5 years held instead of 11 years plus indexes. While the volume numbers in the statement indicate a longer run, the normalization process reads the data first by dates in the statement. If no dates are identified, it reads the volumes. Where no volumes are identified, it reads the issues. The reports will indicate which of the three processes was used to calculate the depth of run.

To get the best results from the analysis the holding statement should be as inclusive as possible regarding dates of coverage.

As noted previously, libraries may expect to find records where the analysis has incorrectly interpreted their holdings, indicating more (or fewer) holdings than are represented in the statement. Libraries will have the opportunity to report nominations when they have been incorrectly interpreted.