



Shared Print Archive Network Phase 3, 2014-2015 Documentation for Archive Builders

In Phase 3, SPAN is embarking on print only archiving for the first time. These high risk materials will require different methods to ensure proper preservation. The following document outlines the procedures involved, which include: preservation in an environmentally controlled storage unit; physical validation at the issue level for both completeness and condition; and the potentially added process of archive building. This last step includes identifying the gaps in your assigned journal runs, and then placing out a call to other SPAN members for missing volumes to be shipped and ingested into your collection.

Thank you for considering a role as an Archive Builder for SPAN.

Timeline:

January 13, 2015	Libraries receive title lists
February 27, 2015	Due date: libraries must respond by this date with confirmed validation and gap analysis. COPPUL will then assist with call for missing volumes.

Definition of Archive Builder:

An Archive Builder proactively assembles print holdings from various libraries, validates them and discloses them. The Archive Builder then agrees to retain the journal run in environmental conditions stipulated below.

Materials for Retention:

For current subscriptions, Archive Builders agree to retain volumes published to the end of **2014**. Please note, we are not asking libraries to make retention commitments that extend beyond the end of this year. Libraries asked to archive a journal title to the end of this year are free to cancel a print subscription starting in 2015, if desired.

Retention Period:

Once archives are built, Archive Builders become Archive Holders. Archive Holders agree to maintain these high risk, print-only titles for 25 years (until December 31, 2039). The

Management Committee will review and may modify the SPAN Retention Date every five years if agreed upon by unanimous vote within the Committee. Retention commitments survive membership in SPAN.

Ownership:

Participants will retain ownership of the materials for which they are the Archive Holder, including gifted volumes, but the materials are subject to shared management. Archive Holders agree not to sell, discard, donate, or otherwise relinquish ownership or control of any of the archived materials prior to the Retention Date, except to transfer materials to another COPPUL SPAN Archive Holder (in case of program withdrawal) or with permission of the Management Committee.

Archiving Facilities for high risk materials:

- Storage Facility strongly preferred
- Ability to maintain environment within 30-70% relative humidity and less than 24°C
- Annual Time Weighted Preservation Index of 70 or better, 100 preferred
- Fire detection and suppression systems, with notification to responders
- Light exposure limited to work hours only

Holdings Verification:

High-risk titles will require validation for *condition and completeness at the issue level*. This means that someone will need to verify that the volumes on the shelf match the statement of holdings in the catalogue, and subsequently remove volumes from the shelf to inspect the issues inside for their condition. **[For additional information on the validation standards and process, please see Appendix A on page 4.]**

This information will need to be recorded in the bib record, as noted below **[See Holdings Disclosure on page 3]**.

Archive Holders are asked to respond by **February 27, 2015** with their commitments recorded on the spreadsheet distributed to them. This will allow COPPUL staff to track the holdings that are to be retained as part of SPAN, and assist with the call for missing volumes.

Financial Reimbursement for Archive Builders:

Please note that to help compensate for the costs associated with archive building, these libraries will be reimbursed at a rate of \$7 per volume against their SPAN fees for their efforts. All remaining associated costs remain with the Archive Builder, however, when calls are put out to help fill gaps in a journal run, other participating SPAN members will gift and ship their journal volumes to the Archive Builder at the shipping library's expense.

Holdings Disclosure:

The Archive Holder is required to mark the local catalogue records of the journals they are retaining. The only required amendment to the existing bibliographic record is the addition of a 583 Preservation Action Note stating the retention commitment. The value of the first indicator should be “1” (not private). The required subfields are in red; the other subfields are optional.

583 (in bib record)		
a	Action	“Completeness and condition reviewed” for high risk items
c	Time/Date of Action	Date action taken, YYYYMMDD
d	Action Interval	Date when the retention commitment expires (ie, 20391231 for high risk titles)
f	Authorization	Archiving program, “COPPUL SPAN”
i	Method of Action	Validation level used, “issue-level” ONLY when a = “completeness and condition reviewed”
l	Status	When a = “completeness and condition reviewed” use “missing”, if necessary and use z Public note to indicate volumes missing.
z	Public Note	Used to specify the issues for which a condition issue has been identified in l. Specify the condition issue, followed by the units to which it applies. E.g., z missing volume 13 (1937). Use one z Note per completeness status.
j	Site of Action	Holding location code, if different than 852 b
u	URI	Link to project documentation (http://coppul.ca/programs/shared-print)
3	Materials Specified	Detailed holdings to which action applies, if different from 85X/86X or 866
5	Institution to which field applies	Canadian library symbol (if available) for archiving institution

(Quotation marks indicate controlled vocabulary.)

Example: 583 1#\$aCommitted to retain\$c20140910\$d20241231\$fCOPPUL SPAN\$5BVAU

Access to the Materials: Archive Holders agree to make the materials available to SPAN libraries and other institutions to which the Archive Holder lends materials in accordance with the applicable Interlibrary Loan policies and procedures of the Archive Holder as follows

Reproductions: Archive Holders agree to fulfill requests for photocopies/electronic delivery of any of the archived materials.

Building Use Only: If necessary, original materials may be provided for onsite use only at the Archive Holder library or at the requesting library.

Archive Holder Withdrawal:

If an Archive Holder withdraws from the COPPUL SPAN or can no longer maintain the materials, the Archive Holder agrees to offer the materials to another Archive Holder and to transfer any accepted materials to the Archive Holder at the initial Archive Holder's expense. The Management Committee may waive this requirement if it determines that the materials no longer need to be archived.

Appendix A: Standards & Procedures for High Risk Level Validation:

These standards have been established to assist Archive Builders with the task of preparing a high risk journal run for archiving with SPAN. The following document outlines the procedures for validating for completeness and condition, as well as placing a call to fellow SPAN members for missing volumes. The standards are designed to:

1. **establish a basic set of validation requirements** that are less intensive than page-level validation but meet some basic expectations
2. **provide transparency among the SPAN members** about the content that can be found in the shared print journal archive and the condition in which it can be found. Transparency is achieved by:
 - a. ***explicitly defining the actions performed*** (and not performed) to secure a near-complete backfile
 - b. ***explicitly defining conditions of the material*** that are (and are not) accepted in the archive
 - c. ***disclosing completeness (including missing content) and condition information in descriptive records in the archive holders' catalogues.***

Scope of Holdings and Contribution Expectations:

It is assumed that validation occurs within the context of the holdings of SPAN member libraries. The Archive Builder will first assess their own collection, and then request missing volumes from participating SPAN members. All SPAN libraries are encouraged to contribute holdings to secure the most complete backfile possible. **Efforts are not made to acquire volumes or issues beyond the holdings of SPAN membership. Gaps and condition problems are recorded in descriptive records in member catalogues.**

Standards:

To be considered validated, a high risk journal

1. must meet standards for completeness and condition (as described in the *completeness* and *condition* sections).
2. specific actions must be taken (as described in the *decision matrix*) when problems of completeness, condition or contribution are identified.
3. information about completeness, condition and actions taken must be explicitly recorded in descriptive records in the archive holder's catalogue.

If any of these three steps are not met, the archive is not considered validated.

Process for Archiving High Risk materials:

Especially with high risk, print-only content, reasonable efforts are made to compile a complete or near complete archive of a journal. The Archive Builder first will confirm its own holdings via the validation process below, and then place a call for missing volumes. Other participating SPAN members will ship volumes to the Archive Builder, who will ingest the copies into their collection and add to the holdings of the specific journal run. Once holdings are compiled, a single archive of all published volumes, issues and supplements available is considered archived. The archive is disclosed as a shared archive and known gaps are recorded in the member catalogue.

Step One: Physical Validation Process:

- Begin with an inspection of the physical pieces (typically a run of bound volumes).
 1. Flip through the text block of the physical volume or issue (if unbound).
 - a. Look for obvious missing issues
 - b. Look at the binding labels, volume, issue and date statements
 2. If all of the issues are present, the volume is a likely candidate for the Shared Print Journal Archive. Review the condition of the volume (next section).
 3. If issues are missing or out of sync with the binding, volume, issue and date statements, consult library bibliographic records to verify the publication history.
- Reasonable efforts are made to identify the issues that are in the ***best, readable condition*** among the Content Partners' holdings and that are ***capable of sustaining an agreed upon preservation horizon***.

Definitions:

- **Readable condition.** A shared print journal archive is in readable condition when the entire text block can be read by the human eye. Words are not lost at the margins or on the pages due to publishing or binding errors, significant damage or markings.
- **Best condition.** When multiple readable copies are available, the copy that meets most of the acceptable conditions is selected. The *decision matrix* below describes how to make decisions when the best copy cannot be determined.
- **Preservation Horizon.** The time period for which the physical material is expected to last in readable condition when stored in defined environmental conditions. The horizon is formally agreed upon by the Content Partners.

Process for determining best, readable condition

- Flip through the complete text block of the physical volume or issue (if unbound).

- Look at the binding and sewing for indications of loose pages and tight bindings
- Test some pages for sufficient flexibility to sustain photocopying

Decision Matrix and Expected Actions: When validating journal holdings, it is likely that multiple problems may be identified including problems of completeness, condition or contribution. The following standard actions are expected and must be taken to address each problem. These actions are designed to keep validation effort to a reasonable minimum and to provide transparency across the partnership about actions taken to verify completeness and condition. (Please note, these standards are taken from WEST regional storage trust.)

Table 3: Expected Actions

Problem Type	Problem	Action
Contribution	1. Content Partner does not wish to contribute recent volumes or issues.	Implement a 3 or 5 year rolling wall in the Shared Print Journal Archive agreement with the Content Partner. Otherwise, seek another Content Partner.
Contribution	2. Complete or near complete holdings are available among Content Partners, but none of the partners are willing to contribute a significant portion of the older volumes or issues (backfile issues).	The entire journal is not a candidate for the Shared Print Archive. Remove the journal from the Shared Print program. If a portion of the Shared Print Archive has already been processed, annotate the remaining unprocessed issues as missing issues in descriptive records in union catalogs and discontinue work on the journal.
Completeness	3. Missing volumes.	Seek missing volumes from Content Partners. If none are available, annotate the missing volumes in descriptive records in union catalogs.
Completeness	4. Different binding patterns for a volume.	Add multiple volumes. Do not dis-bind volumes or correct physical bindings. Document binding differences in descriptive records in union catalogs to facilitate discovery.
Completeness	5. Volumes with missing issues.	Accession multiple volumes into the Shared Print Journal Archive to complete the archive. Document any remaining missing issues in descriptive records in union catalogs.
Completeness	6. Missing issues. (for unbound issues)	Seek missing issues from Content Partners. If none are available, document missing issues in descriptive records in union catalogs.

Problem Type	Problem	Action
Completeness	7. Reprints.	Seek another Content Partner. If no holdings are available among the Content Partners, accession reprints into the Shared Print Journal Archive. Document which volumes contain reprints in descriptive records in union catalogs.
Completeness	8. Missing advertisements, images (graphs, photographs).	If upon a general inspection of the issues a significant number of advertisements or images appear to be missing, seek another Content Partner. If no holdings are available among the Content Partners, accession issues into the Shared Print Journal Archive. Document which issues are missing advertisements in descriptive records in union catalogs. It is not necessary to identify or enumerate all missing ads or images. Simply record the fact that some ads and images are missing. Accession multiple volumes into the Shared Print Journal Archive to complete the archive.
Completeness	9. Missing foldouts.	If upon a general inspection of the issues a significant number of foldouts appear to be missing, seek another Content Partner. If no holdings are available among the Content Partners, accession issues into the Shared Print Journal Archive. Document which issues are missing foldouts in descriptive records in union catalogs. It is not necessary to identify or enumerate all missing foldouts. Simply record the fact that some foldouts are missing.
Completeness	10. Missing pages	If upon a general inspection of the issues a significant number of pages appear to be missing, document which issues are missing pages in descriptive records in union catalogs. It is not necessary to identify or enumerate all missing pages. Simply record the fact that some pages are missing.
Condition	11. Tight binding.	Seek another Content Partner. If no holdings are available among the Content Partners, accession issues into the Shared Print Journal Archive. Document which volumes have tight bindings in descriptive records in union catalogs.
Condition	12. Loose binding	No action necessary. This condition is acceptable. Accession the volume into the archive.

Problem Type	Problem	Action
Condition	13. Low quality binding/sewing	No action necessary. This condition is acceptable. Accession the volume into the archive.
Condition	14. Brittle paper	Document which volumes have brittle paper in union catalogs and accession the volume into the archive.
Condition	15. Yellowed/Browning pages	No action necessary. This condition is acceptable. Accession the volume into the archive.
Condition	16. Unreadable text block (e.g. glue damage, printing mistakes, shot text)	Not permitted in the archive. Seek another Content Partner.
Condition	17. Highlighting, marginalia, pencil and pen markings	If a significant number of pages have highlighting or markings that render the text unreadable, seek another Content Partner. Otherwise, accession the issues into the Shared Print Archive and document that some pages have highlighting or markings in descriptive records in union catalogs. Do not attempt to verify this at the page level, only at a cursory level by flipping through the text block.
Condition	18. Separated pages 19. Loose pages	If more than 10 pages in a volume, seek another Content Partner. If none available, then reattach the pages or tie the volume with acid free string, whichever is fastest, and accession into the Shared Print Archive. If less than 10 pages in a volume, reattach the pages or tie the volume with acid free string, whichever is fastest, and accession into the Shared Print Archive.
Condition	20. Missing issue covers	Document which volumes have missing issue covers in union catalogs and accession the volume into the archive.
Condition	21. Separated issue covers	Reattach the cover(s) or tie them with acid free string, whichever is fastest, and accession into the Shared Print Archive.

Step Two: Call for Missing Volumes:

Once the Archive Builder has validated for condition and completeness, and identified the gaps in the journal run, the Archive Builders will then report these gaps back to SPAN. SPAN will help facilitate a call for missing volumes. This will involve circulating the missing volumes spreadsheet to all SPAN members and encouraging them to ship any such volumes to the appropriate Archive Builder.

- Please note that after this initial call, SPAN members with missing volumes and the Archive Builders will communicate directly with further details.
- Any volumes shipped will be at the expense of the shipping library.