

Vendor Record Match Point Task Force Report to the Collaborative Technical Services Team & CTST Program Manager

November 25, 2014

1. BACKGROUND

A call for volunteers for the task force was distributed on Alliance's 'ctst-catreps' email list on September 4, 2014. All work of the task force was conducted virtually using conference calls and email. The task force conducted conference calls weekly from October 8 through November 26, 2014. The task force members were:

Bob Thomas, Western Washington University (Chair)

Kathi Carlisle Fountain (Alliance staff liaison)

Kathy Faust, Lewis & Clark College

Hilary Robbeloth, University of Puget Sound

Milly Williams, Portland Community College

The task force was charged to complete the following by December 1, 2014:

Charge: Conduct a vendor record loading survey of all Alliance member libraries. Examine vendor record match points and propose a method to standardize O35s from vendors to improve matching within Alma. The team should also recommend appropriate support models for the Alliance. Solutions may include policies of practice for library staff, normalization rule changes within Alma, or other solutions identified by the group.

Action: Summarize survey results and deliver recommendations to CTST Chair, Ann Miller, and CTST Program Manager, Kathi Fountain. CTST will review recommendations and direct work to auxiliary groups as necessary. If action is required by vendors, detail the vendors and actions needed.

2. SURVEY

The task force developed a survey of Alliance member libraries designed to gather information about which record sets for vendor e-resource packages were being loaded and how. The survey was created by the CTST Program Manager using Survey Monkey. A request to complete the survey was distributed via email on October 16, 2014 via the 'sils-catalogwg', 'ctst-tdsg' and 'stst-catreps' Alliance email lists on October 16. Alliance member libraries were asked to complete the survey by October 24. The text of the survey announcement email and the survey questions are in Appendix 1.

Of the 37 Alliance member libraries, 26 submitted survey responses and 21 included lists of vendor packages they have loaded or hope to load. The results of the survey highlighted two things. First, there are quite a few record sets for vendor record e-resource packages that are being loaded by multiple

Alliance member libraries, indicating the potential for saving staff time at Alliance libraries if some sets were managed either centrally or using a standardized process. Second, the approach used to load and manage any given record set among the purchasing/subscribing libraries varied widely. A more complete summary of the survey results is included in Appendix 2.

3. ALMA 035 FIELDS

When Alma imports bibliographic records, the import process automatically creates a 035 field using the contents of the 001 and 003 fields in the incoming record. For example:

```
001    4587989
003    AbCD
```

Will result in the following 035 field being created:

```
035    (AbCD) 4587989
```

These Alma-created 035 fields, and any pre-existing 035 fields, are the most important match points for overlaying existing records in Alma. They prevent the creation of duplicate records in Alma, allow multiple libraries to create local inventory attached to a single Alliance-wide bibliographic record, allow loading updated records, and allow removal of records for resources no longer available. Therefore, it is critical that these 035 fields are created in a consistent manner.

One of the issues the task force was asked to examine was how to deal with vendor-provided bibliographic records that contained inconsistent values in the 003 field, i.e., a vendor provides records with value '1' in the 003 field for customer 'A', while providing 003 fields with value '2' in records provided to customer 'B' (or providing records with different 003 values in each file of records provided to the same customer).

The task force determined that when desired, staff at an Alliance library or the Alliance staff supporting central management of vendor record sets could request a vendor use consistent 003 field values. This approach, however, is not necessary to achieve the goal of consistently formatted 035 fields in Alma. The task force found that a normalization rule can be created in the Alliance Network Zone account which could add a 003 field with a standard value for a particular package, replacing any pre-existing 003 field (after insuring that the contents of the 001 fields in all files are the same type, i.e., all are OCLC numbers or all are vendor unique record numbers from the same vendor). Such a normalization rule can be used in an NZ import profile used by Alliance staff, or as part of an import profile created in an individual library's IZ. Using this type of normalization rule would result in consistent 035 field creation for a given vendor package, without requiring the vendor to modify their record export software.

Since we cannot predict which data points will be needed for matching and possible overlaying of records in the future, it is important that all vendor unique record numbers be stored in Alma 035 fields in the recommended standard format, i.e., with an appropriate prefix identifying the vendor. It is essential this be done whether a record set contains OCLC numbers or not.

4. MANAGEMENT MODELS

After analyzing the survey results on which packages were being loaded by Alliance libraries, the task force conducted an in-depth analysis of over a dozen vendor packages being loaded by the highest number of Alliance libraries. Information about how Alliance libraries were loading each record set and how vendors made the record sets available was gathered, and sample bibliographic records in each set were examined. From this analysis, the task force developed a set of four record set management models which covered each common scenario being used to manage vendor record sets. These four models are listed below starting with the model that provides that greatest potential saving in staff time in Alliance member libraries:

Model #1 – Managed in the Alma Community Zone

Description: Each library individually activates a given package in the Alma Community Zone.

Benefits: Ex Libris maintains the resource package records based on input from the vendor, including adding new records, updating records, and removing records for resources that are no longer available. This model provides the greatest benefit to cost ratio.

Model #2 – Central Management in the NZ

Description: Alliance staff loads and manages the record set in the Alma Network Zone and ‘activates’ the record set for each purchasing/subscribing library. Each package managed centrally in the NZ must have either an OCLC number or a unique vendor number (with appropriate prefix) in a 035 field in each record.

Benefits: Maintenance tasks are done once on behalf of all purchasing/subscribing libraries. Alliance staff check regularly for maintenance files of new/updated/deleted records and once loaded are immediately available for all participating libraries.

Model #3 – Distributed Management in the NZ

Description: The package’s bibliographic records are loaded into the NZ, while the portfolios are created in each library’s IZ. Each participating library must load each initial and update file of records so that the appropriate inventory (i.e., portfolios) are created in each library’s IZ.

Benefits: This model must be used for selective packages where each library purchases or activates only selected titles within a package. The greatest benefits are obtained if a single person manages any normalization rules required for loading each package, and develops directions for creating standard specifications for an Alma import profile(s) needed by each library loading record files for each set.

Model #4 – Distributed Management in Each Library’s IZ

Description: Each participating library loads bibliographic records into their own IZ.

Benefits: This model provides the lowest level of benefits related to staff time required, and should only be used when an Alliance-wide policy decision has been made that a given set must be loaded in individual IZ’s in order to support easy deletion at a future date.

More complete descriptions of the four management models, including conditions when each model is not appropriate and notes on the types of processing required in each model, are included in Appendix 3.

5. SUPPORT STRUCTURE

Whenever an Alliance library purchases or subscribes to a new vendor e-resource package, they must develop a management process for the new package that will provide the best discoverability of resources by their patrons, while requiring the least time investment on the part of their staff. The greatest saving of staff time is achieved when a package can be quickly activated in the Alma Community Zone. The next greatest savings is achieved by a single person managing the records associated with the package, and so on, as described in the Management Models section above.

The task force feels that having a common, standard approach to managing each vendor package will provide the greatest saving in staff time for all purchasing/subscribing libraries. If a library can quickly find out if a management model and process have been established for a given vendor package, they will not have to spend time re-doing analysis work that has already been done. On the other hand, if a management model and process have not been developed for a given vendor package, developing a detailed management process should be part of a vendor record support structure. Some of the issues identified by the task force that such a support structure must be able to address include:

- Who will analyze each record set?
- How will the appropriate management model be determined?
- Who will decide which management model will be used for each record set?
- Who will regularly check for and load any new information made available by a vendor for new resources being added to a package, resources being removed from a package, or updated bibliographic records being made available for a package?
- Who creates the import profile for a centrally managed set?
- Who creates the standardized options for import profiles when libraries need to load record sets individually?
- How do we allow Alliance libraries to quickly determine what management decisions have been made regarding a specific vendor package?
- How do we allow staff who are experts in record set loading and management in Alliance libraries cooperate in the management decision process, while as much as possible, relieving them of day-to-day record loading tasks?
- Can we have an Alliance staff member perform the day-to-day record loading tasks, without requiring them to become an expert in developing Alma import profiles normalization rules?

6. RECOMMENDATIONS

Recommendation #1. Recommend CTST adopt the following policy on *Record Number 035 Fields in Vendor Bibliographic Records*:

The format of the 035 “Other System Number” fields in Alma bibliographic records is critical during the process of overlaying a bibliographic record with an updated version, and in preventing duplicate records from being created in Alma. Therefore, all Alliance libraries must insure that:

- Each 035 field contain a prefix identifying the source of the record number in that field. For example, “035 1234567” is not authorized and a prefix must be added to change the 035 field to the authorized format, “035 (AbCD) 1234567”, where “AbCD” is an identifier for the vendor.
- A unique vendor record number not already present in a 035 field in the incoming record must be stored in the 001 field if it is to be used for later matching purposes.
- Every vendor-supplied bibliographic record must contain a 003 field with a string that identifies the vendor. If the records do not contain 003 fields, they must be added either before being loaded into Alma or as part of the import process.

Recommendation #2. Recommend CTST adopt the following policy on *Management of Bibliographic Record Sets for Vendor e-Resource Packages*:

Whenever more than one Alliance library purchases/subscribes to a specific vendor e-resource package, all purchasing/subscribing libraries will manage the package in accordance with procedures developed by an Alliance working group tasked with developing record set management policies. The following management models will be used shown in order from the most desirable to the least desirable:

- Whenever possible, vendor e-resource packages will be managed using the Alma Community Zone.
- Whenever management in the Alma CZ is deemed not appropriate, packages will be centrally managed in the Alma Network Zone using Alma ‘group settings’ and centralized loading of bibliographic records.
- Whenever central management in the Alma NZ is not appropriate, record sets for each vendor package will be loaded into the Alma NZ by each purchasing/subscribing library using Alliance-wide standard import processes developed for each vendor package.
- Loading and managing record sets for a vendor package will only be done in an Alma Institution Zone only when the above three management models are deemed not appropriate.

Recommendation #3. Recommend vendor record set loading by Alliance libraries be supported by a management structure with the following attributes:

- An Alliance staff member tasked with coordinating all aspects of the record set loading support structure.
- An Alliance staff member tasked with the day-to-day checking for package updates and managing record sets, including record loads, for those vendor e-resource packages which are centrally managed in the NZ.
- Create a technical working group that would support the Alliance staff member(s) above by analyzing new vendor packages, deciding on the management model and process to be used, creating the necessary import profile(s), writing any normalization rules needed, and creating a ‘best practices’ document for loading record sets with only one participating library so that the

process used will not later create problems for central management if/when additional libraries purchase/subscribe to a vendor package. The technical working group would also be tasked with analyzing vendor record data quality issues identified by Alliance libraries and determining the appropriate response.

- Allow staff from Alliance libraries, on a volunteer basis, who have purchased/subscribed to a given vendor package to participate in the analysis and decision making processes of the technical working group.
- Create an Alliance document repository which can be easily accessed by staff at any Alliance library, but which has access restricted to only Alliance libraries. The document repository would be used to store documents supporting this program including:
 - A master list of all vendor resource packages which have been purchased or subscribed to by Alliance libraries. This master list would include the vendor name, package name, management model used for the package, and a link to the package's information sheet.
 - Information sheets for each package which has more than one participating library (a draft record set information sheet developed by the task force members is included in Appendix 4).

7. UNRESOLVED ISSUES

1. For packages managed centrally in the Alma Network Zone using group settings, the ability of Alma to support more than one proxy service for a library needs to be tested. An example institution is Lewis & Clark College which uses separate proxy services for its main and law libraries.
2. The impact of each of the import profile merge methods on the creation of inventory needs to be tested (e.g., if 'Use NZ' and 'Do Not Import' are selected, upon match are portfolios created).
3. Inventory managed in the Alma Network Zone is not included in results of repository searches conducted in an institution's Alma account, unlike inventory activated in the Alma Community Zone. Alliance-wide case #00118358 submitted.
4. Real Time Availability is not being provided to Primo for package-level/electronic collection records managed in the Alma Network Zone. WWU case #00113170 submitted with status 'In Development'.
5. Portfolios being managed in the Alma Network Zone as part of an electronic collection are being displayed in Primo to patrons of libraries which have not been given access to the collection. WWU case #0011230 submitted.
6. Records provided by vendors for packages managed in the Alma Community Zone are not being regularly loaded by Ex Libris. WWU case #00105937 citing Proquest's Ebrary Academic Complete package of ebooks as the example was submitted.

Appendix 1 – Survey

Early this year, the SILS Non-Serial Electronic Resource Management Task Group developed a series of best practices for managing electronic resources in Alma. One of the best practices was to load bibliographic records without OCLC numbers into the Institution Zone until the Alliance has central support for coordinating vendor control numbers and normalization rules necessary to load them to the Network Zone. The Vendor Record Match Point Task Force has been tasked to conduct the follow-on work recommended by the NSERM group to develop policies and procedures for loading and managing sets of vendor records for electronic resources in the Network Zone. These procedures would only be for vendor resource packages that an institution has decided not to manage in the Community Zone.

Managing record sets in the Network Zone, rather than individual Institution Zones, has the potential of achieving workflow efficiencies that would make management of these resource less complex and more consistent, and hopefully would require less staff time in each individual member library. In order to focus our work, the task force would like to find out which vendor record sets each institution would like to manage in the Network Zone.

The survey asks a few general questions, and then asks you to complete twelve questions for each vendor package you would like to manage in the IZ or NZ, or that you have already loaded into the IZ or NZ. The set of those twelve questions is shown at the bottom of this email. The survey is easiest to complete if you gather the answers to these questions for each package before beginning the survey.

Don't remember which vendor record sets you've loaded into your IZ? Attached is a document outlining one possible approach to figuring out which sets are present in your IZ. Also attached is a blank spreadsheet I used to gather together information I used in completing the survey for my institution (feel free to use or not).

We ask that each institution have one person complete the vendor record sets survey by October 24. Please make sure that all libraries at your institution have been consulted. This survey can be used to submit information on up to ten vendor record sets. If you have more than ten record sets you would like to manage in the IZ or NZ, or if you have any other questions about this survey, please contact Bob Thomas (bob.thomas@wwu.edu, 360-650-7458).

The survey is available at: <https://www.surveymonkey.com/s/7LVQ9KR>

Thank you,
The Vendor Record Match Point Task Force

General Questions

1. Institution:

2. Person completing the survey:

Email address for person completing the survey:

Phone number for person completing the survey:

3. Are there local conditions that have prevented you from loading record sets into the IZ or NZ when you wanted to (e.g., lack of staff, cost charged for record sets, lack of local expertise in creating Alma normalization rules or import profiles, etc.):

=====

Record Set Questions

Please complete the following questions for each record set you manage, or would like to manage, in the Network Zone or Institution Zone. Please exclude any record sets you manage in the Community Zone unless you would rather manage the record set in the Network Zone or Institution Zone.

6. Vendor name (e.g., Alexander Street Press):

7. Package name (e.g., American History in Video):

8. Package is currently being managed in: [Options: "IZ", "NZ", "CZ", and "Not Yet Loaded"]

9. About how often are additional records distributed for this package? [Options: "Weekly or monthly", "Less than monthly, up to annually", "Occasionally", "Don't know"]

10. Do the records contain OCLC numbers: [Options: "Yes", "No", "Mixed"]

11. Sample unique vendor resource number* (e.g., ASP359759/amso):

*We are using "vendor resource number" to refer to a number assigned by the vendor to a particular electronic resource such as a video file or ebook (or assigned to the bib record being distributed). It is a number assigned at the title level. There is normally a different vendor resource number in each bibliographic record received from the vendor. It is not the OCLC number or the ISBN.

12. MARC field where the vendor resource number is recorded when record was received from the vendor (e.g., 001):

13. Sample contents of 003 field (e.g., VaAIASP -- note if 003 field is not present):

14. Did you or do you intend to do any record editing or enhancement before loading the records (please include any edits/customization you have requested the vendor to make):

15. If the records have been loaded into the IZ or NZ, what were the settings used for the following import profile options (skip if you don't remember):

Normalization rule(s) used:

Match Method:

Merge Method:

16. Who set WorldCat holdings for the set? [Options: "Vendor", "Our Library", "Did Not Set Holdings", and "Not sure/Not applicable"]

17. Any additional comments or observations about this record set?

18. Do you have another record set to describe? [Options: "Yes", "No"]

Appendix 2 – Survey Results

Number of Institutions Mentioning a Package

The number of ‘mentions’ in the table below is based solely on the contents of survey responses. In each case, the actual number of purchasing/subscribing libraries may be higher than that shown. For example, responses from six Alliance libraries mentioned the “Naxos Music Library” package of streaming audio resources. Looking at the bibliographic record for the “Naxos Music Library” package in the Alma Network Zone shows that twelve Alliance libraries have inventory attached to this package-level record, double the number of ‘mentions’.

Mentions	Vendor	Package
7	Gale	Gale Virtual Reference Library
6	Naxos	Naxos Music Library
4	ACLS	ACLS Humanities Ebooks
4	Films Media Group	Films on Demand
3	Alexander Street Press	Classical Music Library
3	Alexander street press	Theatre in Video
3	Cambridge	Cambridge Histories Online
3	EBSCO Host	Net Library
3	Springer	Spring Link
2	Alexander Street Press	American Song
2	Alexander Street Press	Contemporary world music
2	Alexander Street Press	Counseling and Therapy in Video
2	Alexander Street Press	VAST: Academic Video Online package
2	Bloomberg BNA	Bloomberg BNA
3	Cassidy Cataloging Services	HeinOnline
2	LLMC	LLMC Digital
2	Metropolitan Opera Association	Met Opera on demand. Student access
2	Proquest	Safari Books Online
2	Readex	U.S. Congressional Serial Set
1	ACM	ACM Digital Library
1	Alexander Street Press	anthropology online
1	Alexander Street Press	Asian American drama
1	Alexander Street Press	Classical scores library, Vol. 1
1	Alexander Street Press	dance in video
1	Alexander Street Press	ethnographic video online 1
1	Alexander Street Press	Jazz music library
1	Alexander Street Press	PBS video collection
1	Alexander Street Press	popular music online
1	Alexander Street Press	Silent Film Online

1	Alexander Street Press	smithsonian global sound for libraries
1	Alexander Street Press	The Digital Karl Barth Library
1	Ambrose	Drama
1	American Academy of Pediatrics	AAP Clinical e-Book Library Collection
1	Books 24x7	IT Pro
1	Brodart	McNaughton Popular Collection
1	Credo	Credo Reference
1	Duke	eDuke Books Scholarly Collection
1	EBL and ebrary	YBP DDA eBooks
1	Ebrary	Ebrary Academic Complete
1	Ebrary EBL	Orbis-Cascade Alliance DDA Ebl Purchased
1	Elsevier	Earth and Planetary Science
1	Elsevier	environmental sciences
1	Elsevier	neuroscience
1	Elsevier	physics and astronomy
1	Films Media Group	Business & Economics Video Collection
1	Films on Demand	Collections: FMG Archival Films & Newsreels, FMG Business & Economics, FMG careers & Job Search, FMG Family & Consumer Science, FMG Guidance & Counseling, FMG Health & Medicine, FMG Humanities & Social Sciences, FMG Science & Mathematics, FMG Technical Education, ORBIS-Portland (Individual titles)
1	Gale	Eighteenth Century Collections Online
1	Gale	Nineteenth Century Collections Online
1	ICPSR	ICPSR
1	IEEE	MIT Press ebooks
1	JSTOR	JSTOR DDA
1	Knovel	chemistry & chemical engineering
1	Knovel	nanotechnology
1	Marcive	Marcive
1	Morgan & Claypool	Colloquium of Life Sciences and Synthesis Digital Collection 1-5
1	OECD	
1	Oxford	Oxford Reference Online
1	Oxford Press	Oxford Handbooks Online
1	Oxford Reference	Oxford Reference Online Perimium Collection
1	Oxford University Press	Oxford Scholarly Authorities [in International Law]
1	Practising Law Institute	Discover Plus
1	Praeger	Praeger Security International
1	ProQuest	E-book Library (Local)

1	Readex	American broadsides & ephemera
1	Readex	Early American imprints
1	Sage Publications	Sage eReference (Online service)
1	Springer	2013 ebooks
1	Springer	biomedical, chem, comp sci, earth/env sic, math, physics/astronomy
1	Springer	Springer Complete Collection
1	Springer	Various subject-oriented packages
1	State of Oregon	Oregon Documents Repository
1	U.S. Department of Energy	OSTI SciTech Connect
1	Wiley	Wiley InterScience (Online service)
1	Wiley	Wiley Online Library
1	YBP	Shelf Ready
1	YBP	YBP EOCRs
1	YBP / EBL	WWU EBL DDA
1	YBP / WCCP	YBP (WCCP OCLC recs to "overlay" brief bibs)

Managed in	Total
Not Yet Loaded	37
NZ	36
IZ	22
CZ	7

OCLC #s?	Total
Yes	66
No	25
Mixed	6
Not sure	1

Match method used	Total
035 (Other System Identifier)	15
Unique OCLC Identifier	14
ISBN/024/035	5
not sure	2

Appendix 3 – Models for Managing Vendor Record Sets

The following models represent different approaches to managing records associated with resource packages made available by a vendor for purchase or subscription. An example is the package “Theater in Video” made available by Alexander Street Press. The various models are listed in decreasing level of benefit, with those models that present the greatest benefit listed first.

These models are not intended to address situations where a vendor provides records supporting a service, rather than a package of resources. An example would be brief and/or full bibliographic records provided by OCLC or YBP for resources purchased from YBP; or records provided representing resources that are part of an approval plan with a vendor.

In order to support centralized management of vendor record sets, it is important that all Alliance libraries manage record sets at the individual package level whenever possible, and whenever subscribing libraries can select different packages. For example, Springer’s book packages “Biomedical & Life Sciences” and “Business & Economics” should be managed as two separate record sets, rather than trying to manage both packages as part of a single Springer record set. Similarly, since all libraries that subscribe to Springer’s “Biomedical & Life Sciences” ebook package receive access to all new titles added to the package, there is no reason to manage new titles for 2013 separately from new title for 2014.

Model #1 – Managed in the Alma Community Zone

Description: Each library individually activates a given package in the Alma Community Zone.

Benefits: Ex Libris maintains the resource package records based on input from the vendor, including adding new records, updating records, and removing records for resources that are no longer available. This model provides the greatest benefit to cost ratio.

Conditions which indicate this model may not be appropriate: The coverage of the package in the Alma Community Zone is not correct (i.e., the CZ package does not contain the same number of resources that are present in the package provided by the vendor); or the quality of the discovery metadata in the CZ is not full enough to support user discovery needs; or the package is not represented in the CZ at all.

Model #2 – Central Management in the NZ

Description: Alliance staff loads and manages the record set in the Alma Network Zone and ‘activates’ the record set for each purchasing/subscribing library. Each package managed centrally in the NZ must have either an OCLC number or a unique vendor number (with appropriate prefix) in a 035 field in each record.

Benefits: Maintenance tasks are done once on behalf of all purchasing/subscribing libraries. Alliance staff check regularly for maintenance files of new/updated/deleted records and once loaded are immediately available for all participating libraries.

Conditions which indicate this model may not be appropriate: Packages which require a unique URL for each library, and packages in which each library purchases/activates only selected titles

('selective packages') cannot be supported by this model. Packages purchased/subscribed by only a single Alliance library may not be worth the effort to set up centralized management support processes.

Processing notes:

1. Have "Use NZ" checked on import profiles.
2. Match method: Use "Unique OCLC Identifier Match Method" for records sets where all records contain OCLC numbers. Use "035 (Other System Identifier) Match Method" for record sets in which either none of the records contain OCLC numbers, or in which only some of the records contain OCLC numbers.
3. Merge method: Use "OCA Bib Overlay (Keep 035s)" merge method (this supports retention of unique vendor numbers in 035 fields, even if they are from different vendor packages).
4. If the records do not contain a 003 field, contact the vendor to see if they can add a 003 field with a value identifying the vendor in all their records. If the vendor is not able to do this, a normalization rule must be created in the Alliance NZ which adds a 003 field with a value that identifies the vendor. A 003 field with a standardized value is essential so that the 035 field Alma creates has a qualifier that correctly distinguishes OCLC and non-OCLC record numbers.
5. Any necessary corrections or editing should be accomplished whenever possible using normalization rules created in the Alliance NZ. Since only a single individual is loading records on behalf of all participating libraries, use of MarcEdit to make some types of record corrections is sometimes a useful alternative approach.

Model #3 – Distributed Management in the NZ

Description: The package's bibliographic records are loaded into the NZ, while the portfolios are created in each library's IZ. Each participating library must load each initial and update file of records so that the appropriate inventory (i.e., portfolios) are created in each library's IZ.

Benefits: This model must be used for selective packages where each library purchases or activates only selected titles within a package. The greatest benefits are obtained if a single person manages any normalization rules required for loading each package, and develops directions for creating standard specifications for an Alma import profile(s) needed by each library loading record files for each set.

Conditions which indicate this model may not be appropriate: Packages which require a unique URL for each library, and packages in which each library purchases/activates only selected titles ('selective packages') cannot be supported by this model.

Processing notes:

1. Have "Use NZ" checked on import profiles.
2. Match method: Use "Unique OCLC Identifier Match Method" for records sets where all records contain OCLC numbers. Use "035 (Other System Identifier) Match Method" for record sets in which either none of the records contain OCLC numbers, or in which only some of the records contain OCLC numbers.

3. Merge method: Use “OCA Bib Overlay (Keep 035s)” merge method (this supports retention of unique vendor numbers in 035 fields, even if they are from different vendor packages).
4. If the records do not contain a 003 field, or if the value in the 003 field is not consistent for all participating libraries, a normalization rule must be created in the Alliance NZ which adds a 003 field with a standard value and which can be used by each participating library in their import profiles. A 003 field with a standardized value is essential so that the 035 field Alma creates has a qualifier that correctly distinguishes OCLC and non-OCLC record numbers.
5. Any necessary corrections or editing should be accomplished whenever possible using normalization rules created in the Alliance NZ (these can be packaged and made available for all participating libraries to use in their import profiles). If corrections or processing is necessary which cannot be accomplished using normalization rules, a single person should be designated to process the record files and make a copy of the final edited file available to all participating libraries to load.

Model #4 – Distributed Management in Each Library’s IZ

Description: Each participating library loads bibliographic records into their own IZ.

Benefits: This model provides the lowest level of benefits related to staff time required, and should only be used when an Alliance-wide policy decision has been made that a given set must be loaded in individual IZ’s in order to support easy deletion at a future date.

Processing notes:

1. Make sure “Use NZ” is NOT checked on import profiles.

Appendix 4 – Record Set Information Sheet

The task force envisioned a person or small group completing a standard form containing information required to manage a vendor record set. The form would include the necessary information needed to manage the form based on the management model used for that package. If a record set was managed by having each purchasing/subscribing library load files of records, the information sheet would need to include the information each library would need to create the necessary import profile(s). The form shown below was a draft form created by the task force members and used in their analysis of sample record sets.

Package	
Name:	
Vendor:	
Subscribing libraries:	
Management model used:	
Person to contact with questions/ suggestion:	
Coverage of package in CZ:	
Metadata quality in CZ:	
Sources of bib records, associated costs and record characteristics/ quality from each source:	
Permission obtained to load records into Alma NZ (include any conditions imposed by vendor) / Vendor restrictions on use of bib records, setting holdings, etc.:	
Record Characteristics	
OCLC numbers present:	
Location of OCLC numbers:	
Example OCLC number:	
Unique vendor numbers present (not OCLC number):	
Location of unique vendor number:	
Example unique vendor number:	
Contents of 003 field:	
Updates	

Frequency:	
Available:	
Changes/editing required:	
Other notes:	
Import Profile	
Type:	
Source format:	
File Upload method:	
Correct the data using:	
Serial match method:	
Non Serial match method:	
Upon match:	
Merge method:	
Unresolved records Skip and do not import:	
Upon no match:	
Inventory operations:	
Portfolio type:	
Electronic Collection:	
Service:	
Material type:	
Multiple or single portfolios (i.e., multiple or single 856 fields per bib record):	
Extract access URL from field:	
Subfield:	
Activate resource:	
Notes on import profile:	