

Libraries and MARC Holdings: From Works to Items

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Outline



- Overview of MARC holdings standards
- Benefits of adhering to holdings standards
- Brief introduction to the structure of a MARC holdings record

Outline

- Applications of MARC holdings:
 - Predictive check-in
 - Data migration and sharing
 - Inventory control
 - Offsite storage
 - ILL and resource sharing

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- Applications of MARC holdings:
 - Predictive check-in
 - Data migration and sharing
 - Inventory control
 - Offsite storage
 - ILL and resource sharing
- Emerging trends and questions
- Helpful resources

Overview of MARC Holdings

- When we talk about MARC 21 Holdings, librarians refer to two distinct standards:
 - MARC 21 Format for Holdings Data (MFHD)
 - Encoding and Exchange
 - Holdings Statements for Bibliographic Items (ANSI/NISO Z39.71)
 - Content and Display

- ANSI/NISO Z39.71 is to MARC 21 Holdings as AACR2 is to MARC 21 Bibliographic

Benefits of Adhering to Holdings Standards

- Consistent displays for users
- System advantages
 - Easier to share data between systems (e.g., for interlibrary lending (ILL) / resource sharing)
 - Easier to generate statistical reports
 - Easier to migrate data to a new system
- Excellent documentation and best practices guidelines
- Lower automation costs

lections Department, Pullen Library, Georgia State University

Structure of the MARC 21 Holdings Record – Overview

- LDR Leader
- 00X Variable *control* fields
 - 004 Control number of related bibliographic record
 - 007 Physical description fixed field
 - 008 Fixed field data elements (e.g., receipt or acquisition status, method of acquisition, retention policy, language, lending policy, etc.)
- 010-880 Other variable fields

Structure of the MARC 21 Holdings Record

- LDR (Leader)
 - Type of record (byte 06)
 - x Single-part item (non-serial)
 - v Multi-part item (non-serial)
 - y Serial item
 - Encoding level (byte 17)
- 004 (Control number of related bibliographic record)

Structure of the MARC 21 Holdings Record

- 007 (Physical description fixed field)
 - Category of material (byte 00)
 - Specific material designation (byte 01)
- 008 (Fixed-length data elements)
 - Receipt or acquisition status (byte 06)
 - Method of acquisition (byte 07)
 - General retention policy (byte 12)
 - Lending policy (byte 20)
 - Reproduction policy (byte 21)
 - Etc.

Structure of the MARC 21 Holdings Record

■ Other Variable Fields

- 3XX, 5XX, 84X (Note fields)
- 852 (Location)
- 856 (Electronic location and access)

- Field 856 is also present in MARC 21 Bibliographic Format. However, because URLs in field 856 represent location and access information and are often specific to an institution, they are best recorded in MARC 21 Holdings

Structure of the MARC 21 Holdings Record

- Holdings Data (serials and multipart items)
 - Captions and patterns (85X) separated from enumeration and chronology (86X)
 - Basic units, supplements, and indexes recorded separately
 - 853/863 (Basic bibliographic units)
 - 854/864 (Supplementary material)
 - 855/865 (Indexes)
 - Textual holdings statements (866-868)
 - Item information (876-878)

Fixed field codes (single-part items)

- Type of record: x
- Encoding level: 1 or 2
- Receipt or acq. status: 2 (complete)
- Retention policy: 8 (permanent)
- Lending policy: [according to library's policy]
- Reproduction policy: [according to library's policy]

- Most other codes do not apply

Fixed field codes (multipart items)

- Type of record: v (multipart item)
- If the Library does not actively receive or check in items
 - Use the same fixed field codes as for a single-part Item
 - Use the 008 completeness code (008/16) to record the general completeness of the library's holdings
- If the Library does actively receive or check in the items
 - Use the same fixed field codes as for a serial item

Fixed field codes (serial items)

- Type of record: y (serial)
- Encoding level: typically 3, 4, or 5
- Language: Language of captions, etc.
- Receipt or acq. status:
 - 2 (ceased)
 - 3 (on order)
 - 4 (currently received)
 - 5 (not currently received or canceled)
- Method of acquisition: [code as appropriate]

Holdings Example

(Single-part item)

- Location: Lamont FARNSWORTH
- Call number: PS3563.A7297 H37 2003

Holdings Example

(Single-part item)

- Location: Lamont FARNSWORTH
- Call number: PS3563.A7297 H37 2003

Behind-the-scenes in MARC holdings format:

- Leader cx a2n
- 007 ta
- 008 0810142p 8 4001abeng0100929
- 852 0_ \$b LAM \$c FARNS \$h PS3563.A7297
 \$i H37 2003 \$p [barcode no.]

Holdings Example

(Multipart item)

- Location: Lamont FARNSWORTH
- Call number: PS3563.A7297 H37 2003
- Holdings: v.1-2

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- Location: Lamont FARNSWORTH
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- Leader cv a4n
- 007 ta
- 008 0810142p 8 4001abeng0100929
- 852 0_ \$b LAM \$c FARNS \$h PS3563.A7297 \$i H37 2003
- 853 20 \$8 1 \$a v.
- 863 40 \$8 1.1 \$a 1-2

Holdings Statement Examples (Serial Items)

- Library Has: v.46:no.9(1999:Sept.)-
- Available: v.46:no.9(1999:Sept.)-

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- Library Has: v.46:no.9(1999:Sept.)-
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Behind-the-scenes in MARC holdings format:

866 ... \$8 0 \$a v.46:no.9(1999:Sept.)-

OR ...

(Note: Not all indicators and subfields are present.)

Holdings Statement Examples (Serial Items)

- Library Has: v.46:no.9(1999:Sept.)-
- Available: v.46:no.9(1999:Sept.)-

Behind-the-scenes in MARC holdings format:

866 ... \$8 0 \$a v.46:no.9(1999:Sept.)-

OR ...

853 ... \$8 1 \$a v. \$b no. \$i (year) \$j (month)

863 ... \$8 1.1 \$a 46- \$b 9- \$i 1999- \$j 09-

(Note: Not all indicators and subfields are present.)

Itemized Holdings Example

(Serial Items)

- v.1:no.1(2001:Jan.)
- v.2(2002)

Itemized Holdings Example (Serial Items)

- v.1:no.1(2001:Jan.)
- v.2(2002)

Behind-the-scenes in MARC holdings format:

853 ... \$8 1 \$a v. \$b no. \$i (year) \$j (month)

863 ... \$8 1.1 \$a 1 \$b 1 \$i 2001 \$j 01
\$p [barcode no.]

863 ... \$8 1.2 \$a 2 \$i 2002 \$p [barcode no.]

(Note: Not all indicators and subfields are present.)

Predictive Check-In

Publication patterns and holdings data coded in MFHD can expedite the creation of predictive check-in

- Check in individual items
- Predict/estimate the arrival of future items
- Assist in claiming items that are late

Example: A Weekly Magazine

Oct 24, 2011 BOUND on 10-24-11 115:16 (1 copy)	Oct 31, 2011 BOUND on 10-28-11 115:17 (1 copy)	Nov 7, 2011 TO BIND on 02-02-2012 115:18 (1 copy)	Nov 14, 2011 TO BIND on 02-02-2012 115:19 (1 copy)	Nov 21, 2011 TO BIND on 02-02-2012 115:20 (1 copy)	Nov 28, 2011 TO BIND on 02-02-2012 115:21 (1 copy)
Dec 5, 2011 TO BIND on 02-02-2012 115:22 (1 copy)	Dec 12, 2011 TO BIND on 02-02-2012 115:23 (1 copy)	Dec 19, 2011 TO BIND on 02-02-2012 115:24 (1 copy)	Dec 26, 2011 TO BIND on 02-02-2012 115:25 (1 copy)	Jan 9, 2012 ARRIVED on 01-11-12 116:1 (1 copy)	Jan 16, 2012 ARRIVED on 01-13-12 116:2 (1 copy)
Jan 23, 2012 ARRIVED on 01-20-12 116:3 (1 copy)	Jan 30, 2012 ARRIVED on 01-30-12 116:4 (1 copy)	Feb 6, 2012 ARRIVED on 02-06-12 116:5 (1 copy)	Feb 13, 2012 ARRIVED on 02-10-12 116:6 (1 copy)	Feb 17, 2012 ARRIVED on 02-15-12 116:7 (1 copy)	Feb 20, 2012 ARRIVED on 02-20-12 116:8 (1 copy)
Mar 1, 2012 EXPECTED on 03-15-12 116:9	Mar 5, 2012 ARRIVED on 03-07-12 116:10 (1 copy)	Mar 12, 2012 ARRIVED on 03-09-12 116:11 (1 copy)	Mar 19, 2012 EXPECTED on 03-21-12 116:12	Mar 26, 2012 EXPECTED on 03-28-12 116:13	Apr 2, 2012 EXPECTED on 04-04-12 116:14

Data Migration and Sharing

Publication patterns and holdings data coded in MFHD can also

- Facilitate migration of publication patterns and holdings data to another system
- Facilitate the sharing of holdings information across systems

Inventory Control

- Some library resources do not use predictive check-in:

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 - Irregular multipart items
 - When a multipart item is published irregularly, libraries cannot predict when the next part will arrive

Inventory Control

- Some library resources do not use predictive check-in:
 - Single-part items
 - Irregular multipart items
 - When a multipart item is published irregularly, libraries cannot predict when the next part will arrive
 - Retrospective holdings
 - When an item is no longer received, predictive check-in is no longer needed

Item-level Inventory Control

- Two popular trends drive the need for item-level control of library resources:
 - **Circulation**
 - It's a new thing I've heard, but many libraries have started allowing users to borrow books and resources
 - **Offsite Storage**
 - In order to be sent offsite, most libraries follow the principle that resources must be cataloged, barcoded, and given complete item records

Item-level Inventory Control

■ Barcodes

- Barcodes allow libraries to meet both the circulation needs of users and the inventory control needs for offsite storage.

Item-level Inventory Control

■ Barcodes

- Barcodes allow libraries to meet both the circulation needs of users and the inventory control needs for offsite storage.
- Additionally, consistent use of MARC Holdings records for barcoded items allows libraries to generate inventory reports, usage statistics, etc.

Offsite Storage

- Libraries send materials offsite because
 - Central sites can no longer accommodate growing collections
 - Prime space at central sites is redesigned for purposes other than housing collections
- To facilitate the use of offsite materials, libraries
 - Create bibliographic and item-level holdings records
 - Barcode items destined for offsite storage

Offsite Storage

- Serials and multipart items are popular candidates for offsite storage because they constitute large discrete units
- Item-level holdings records support efficient offsite storage and retrieval because
 - Users typically approach serials with a citation to a particular volume
 - Item-level records support citation mapping and efficient storage of barcodes at offsite facilities

Interlibrary Lending (ILL) & Resource Sharing

MFHD can ease the transfer of holdings records from one system to another. For example,

- Batch loading and/or sharing of holdings to consortia and union catalogs such as MeLCat (state), RapidILL (regional/national), and OCLC WorldCat (national/international)
 - Expedites unmediated borrowing
 - Increases ILL and resource sharing



Local Holdings Information

(example from OCLC FirstSearch)

Ethnology.

University of Pittsburgh.

1962-



English  Serial Publication : Periodical : Quarterly (every 3 months)  Internet Resource v. ill. 25 cm.
[Pittsburgh, University of Pittsburgh]

GET THIS ITEM

Access:  <http://www.jstor.org/journals/00141828.html>

Availability: FirstSearch indicates your institution subscribes to this publication.


- [Libraries worldwide that own item](#): 918  UNIV OF COLORADO AT BOULDER
-  [Search the catalog at the library of the University of Colorado at Boulder.](#)

- External Resources:
-  [Find it at CU](#)
 - [Request from ILLiad](#)
 -  [Cite This Item](#)

Libraries worldwide that own item

(example from OCLC FirstSearch)

All Libraries that Own Item: "Ethnology." ([Record for Item](#) | [Get This Item](#))

Location	Library	Local Holdings	Code
US,CO	 UNIV OF COLORADO AT BOULDER	<u>v.1-(1962-)</u>	COD
US,CO	ADAMS STATE COL LIBR	<u>5-23(1966-1984)</u>	CLZ
US,CO	COLORADO COL		COC
US,CO	COLORADO MESA UNIV	<u>16-26,38-(1977-1987,1...</u>	COM
US,CO	COLORADO SPRINGS FINE ARTS CTR		FUV
US,CO	DENVER ART MUS	<u>24-(1985-)</u>	DNA
US,CO	DENVER PUB LIBR		DPL

Local Holdings Information

(example from OCLC FirstSearch)

UNIV OF COLORADO AT BOULDER (COD)

Summary: v.1-(1962-)

OCLC Number: 1568323

Date of Report: 20120312

Location: CODA

Call Number: GN1 .E85

Format: Text

Holdings: v.1:no.1(1962:Jan.)-v.31:no.4(1992:Oct.);
v.32:no.1(1993:Winter)-

Local Holdings Record (LHR)

(in OCLC, option 1)

- Leader cy a4n
- 007 ta
- 008 0810154p 8 0001laeng0120312
- 852 COD \$b CODA \$h GN1 \$i .E85
- 853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month)
\$w q \$x 01
- 853 20 \$8 2 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j
(season) \$w q \$x 24
- 863 40 \$8 1.1 \$a 1-31 \$b 1-4 \$i 1962-1992 \$j 01-10
\$w n
- 863 40 \$8 2.1 \$a 32- \$b 1- \$i 1993- \$j 24-

Local Holdings Record (LHR)

(option 2)

- Leader cy a4n
- 007 ta
- 008 0810154p 8 0001laeng0120312
- 852 COD \$b CODA \$h GN1 \$i .E85
- 866 40 \$8 0 \$a v.1:no.1(1962:Jan.)-v.31:no.4(1992:Oct.);
v.32:no.1(1993:winter)-

(Note: Designation changes from monthly to seasonal.)

Local Holdings Record

(other options)

- Leader cy a4n
- 007 ta
- 008 0810154p 8 0001laeng0120312
- 852 COD \$b CODA \$h GN1 \$i .E85
- 866 40 \$8 1 \$a v.1:no.1(1962:Jan.)-v.31:no.4(1992:Oct.);
- 866 40 \$8 2 \$a v.32:no.1(1993:winter)-

OR ...

- 866 40 \$8 1 \$a v.1-31(1962-1992);
- 866 40 \$8 2 \$a v.32:no.1(1993:winter)-

OR ...

- 866 40 \$8 0 \$a v.1(1962)-

Emerging Trends & Questions

- Checking in and claiming missing serial issues (or not) vs. accountability to government or funding agencies
- Rise in use of offsite storage and/or weeding projects
- Rise of unmediated ILL/resource sharing
- Increasing use of OpenURL link resolvers

All rely on standardized holdings information to generate accurate displays & make workflows efficient.

Emerging Trends & Questions

- How will the implementation of RDA and the shift to FRBR-aware models affect holdings standards?

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- How will the implementation of RDA and the shift to FRBR-aware models affect holdings standards?
- How will the Library of Congress' Bibliographic Framework Initiative, intended to eventually move libraries beyond the MARC record syntax, affect MARC holdings?

Helpful Resources

- MARC 21 Format for Holdings Data
<http://www.loc.gov/marc/holdings/echdhome.html>
- Holdings Statements for Bibliographic Items
(i.e., ANSI/NISO Z39.71-2006) <http://www.niso.org>
- Understanding MARC Holdings Records
<http://www.loc.gov/marc/umh/index.html>
- MARC 21 Holdings: Examples
http://hul.harvard.edu/cmtes/haac/ssssc/MARC_21_Holdings_Examples.pdf

Helpful Resources

- CONSER Publication Pattern Initiative Web page:
<http://www.loc.gov/acq/conser/patthold.html>
- SCCTP Serials Holdings Workshop. Manual at:
<http://www.loc.gov/acq/conser/holdppt/HoldingsSlides.html>

Thank You!

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