

NASIGuide: Serial Holdings Control Fields

Only those codes that are usually editable are examined here. For a complete list of control fields, see the Concise MFHD on the MARC web site at <http://www.loc.gov/marc/holdings/>.

Each code is discussed from one or more of three possible aspects, as applicable: conversion/migration, current coding, and/or retrospective coding.

004 - CONTROL NUMBER FOR RELATED BIBLIOGRAPHIC RECORD [Non-repeatable]

All coding

Typically, this number is system-assigned at the time of migration when the holdings records are generated. However, the field is often editable, and holdings records can be deliberately or accidentally re-linked or unlinked. This number may be any code that identifies the bibliographic record, and may be identified, if necessary, by means of a 003 field.

007 - PHYSICAL DESCRIPTION FIXED FIELD [Non-repeatable]

All coding

This field describes the physical characteristics of the serial item; it is often identical to the same field within the bibliographic record. In many systems it is generated automatically when not input, often carrying only the first two of the possible values. It may be used when adding a holdings record for a different version from the one recorded in the bibliographic record (e.g., microform vs. print). In this example it is only in the holdings record for that particular version. For the most complete list of possible values that may be entered, see the bibliographic rather than the holdings format on the MARC web site: <http://lcweb.loc.gov/marc/bibliographic/ecbd007s.html>.

008 - RECEIPT OR ACQUISITION STATUS [Non-repeatable]

Values

- 0 Unknown
- 1 Other
- 2 Ceased or completed
- 3 On order
- 4 Currently received
- 5 Not currently received

Conversion/migration

Currently received titles may be coded "4." Dead titles, identifiable from the bibliographic record, may be coded "2." Perhaps some of the other codes can be assigned automatically if there is order data available to the system.

Does your new system give a note to help library users understand these receipt statuses? If not, and you add the notes manually, you may have double notes when you migrate to a system - or version - that offers them. Conversely, if you rely on a system note, be careful to demand the same provision for the new system.

Current coding

These codes are fairly straightforward, except for "1," which may be locally determined. Union listing with OCLC LDRs from your MARC data will determine status based on this code.

Caution: Do not code as 1 any title that you will wish to union list, now or in the future, as a currently received title.

Retrospective coding

The coding of 2 and 5 was recently clarified. Previously, many libraries had been coding ceased titles "5" unless they were held in their entirety. For this and other reasons, many ceased titles will continue to show status "Not currently received." Fortunately, this is not an erroneous message to display in the catalog about a ceased serial!

008/07 - METHOD OF ACQUISITION

Values

d Deposit
e Exchange
f Free
g Gift
p Purchase
u Unknown
z Other method of acquisition

All coding

Again, some of these codes may be able to be assigned on migration. A glance at technical services web sites shows that libraries like to invent new codes in order to make finer distinctions, e.g., between federal and state document depository items, between blanket orders, standing orders, and subscriptions. If finer distinctions are needed the vendor can add them as a proprietary service. However, remember to have your policy documented and ready for migration. In addition, decide whether they are universal enough to suggest that the MARBI committee consider them for addition to the Format.

008/08-11 - INTENT TO CANCEL DATE

Values Date of cancellation or last expected part
uuuu Unknown effective date of cancellation
<4 blanks> No intent to cancel, or not applicable

All coding

The required coding is a date (e.g. 0109 for September 2001) or u's for an unknown cancellation date. Coding this element for titles you intend to cancel may benefit your consortium or interlibrary loan partners.

008/12 - GENERAL RETENTION POLICY

Values

0 Unknown
1 Other policy
2 Retained until replaced by updates
3 Sample retained
4 Retained until replaced by microform
5 Retained until replaced by revised material/accumulation
6 Retained for limited period
7 Not retained
8 Permanently retained

Conversion issues

Default coding for most library items is 8; if the vendor can assign others as needed for your data that will be helpful. The caution expressed in 008/06 about system-supplied user notes applies here.

Rosenberg, F. (2003?). NASIGuide: Serial Holdings.

http://www.nasig.org/site_page.cfm?pk_association_webpage_menu=311&pk_association_webpage=4195

Current coding

Be aware that value 6 is ordinarily complemented by explanatory codes in 008/13-15. And value 6 also accords with 0 in 008/16 (Completeness).

008/13-15 - SPECIFIC RETENTION POLICY

Values

No policy

Position 13

l Latest
p Previous

Position 14

1-9 number of units

Position 15

m Months
w Weeks
y Years
e Editions
i Issues
s Supplements

Examples

l3i [Latest three issues retained]

p1y [Next-to-latest year retained]
l2s [Latest two supplements retained]
p1e [Previous edition retained]

All coding

If the unit of time retained exceeds 9 (e.g., 10 years), or if the limited retention needs further explanation, use a public note (subfield \$z) in 852 instead of 008/13-15.

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008/16 - COMPLETENESS

Values

- 0 Other
- 1 95%
- 2 50-95%
- 3 Less than 50%
- 4 Not applicable

All coding

This is a useful code (e.g., for sorting a Z39.50 search) that is often neglected, because it is difficult to assign through any kind of automated process.

The Format altered the prescribed content in the last decade, and now asks for an estimate of percentage of published parts held. Such a code represents something dynamic, which is unlikely to be updated as the percentage held changes, or the title ceases or is cancelled. Furthermore, there is no sense in coding this subfield for a single copy; the only code that makes sense is an institutional one.

Assigning "2" to all titles currently received was fine under the previous definition, but "1" is now more appropriate when the subscription starts with the first issue. "0" means either a limited retention period or that no estimate of completeness is made.

008/17-19 - NUMBER OF COPIES REPORTED

Values

- 001 One copy
- 002 Two copies
- [etc.]

All coding

A code that is difficult to apply to serials. Two copies of a serial may share no volumes between them. Another title may have two copies of a single volume, but only one of all the rest. The rational way to code this subfield is at the institutional level, using a figure greater than 1 only where a substantial part of the title is duplicated in one or more locations within the library system or organization.

008/20 - LENDING POLICY

Values

- a Will lend
- b Will not lend
- u Unknown

All coding

It makes sense to have policies determined before migration on the basis of location information and type of material. These policies will then be carried on thereafter by default, so that library policy can be conveyed without manual input.

008/21 - REPRODUCTION POLICY

Values

- a Will reproduce
- b Will not reproduce
- u Unknown

All coding

It makes sense to have policies determined before migration on the basis of location information and type of material. These policies will then be carried on thereafter by default, so that library policy can be conveyed without manual input.

008/22-24 - LANGUAGE

Values

For codes see MARC Code List for Languages

- <3 blanks> No translation needed
- und Language undetermined

Conversion issues

In order to mesh with the mathematical algorithm that governs prediction, holdings record chronology is usually, though not necessarily, recorded in numeric form - months and seasons as well as years. The

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Language code is needed only when either this level of chronology, or ordinal numeration, will need to be displayed using a table of natural language equivalents to the numeric data in a piece holding field.

Though it is needed only for serials that have chronological elements below the level of year, and/or ordinal numeration, having the bibliographic language code duplicated by default in the holdings record during migration is reasonable (and reasonably safe, since captions ordinarily match the main language of the item). Examples show possible display programming.

Example 1 - 008/22-24=eng

853 \$a +congress \$i (year) \$j (month) \$k (day)

863 \$a 2 \$i 2001 \$j 01 \$k 04-07

Displays as: 2nd congress(2001:Jan.4-7)

Example 2 - 008/22-24=fre

853 \$a +congrès \$i (year) \$j (month) \$k (day)

863 \$a 2 \$i 2001 \$j 01 \$k 04-07

Displays as: 2. congrès(2001:4-7 janv.)

008/25 - SEPARATE OR COMPOSITE COPY REPORT

Values

0 Separate copy

1 Composite copy

All coding

In most cases, serials are not held in duplicate within the same location, and thus have separate copy reports, one for each location. A composite copy report about a serial title, however, may be made for a specific purpose, for example, to a union list. If such a report is deliberately made for a title held in more than one copy, this value may be coded 1. Do not code this 1 if an extra copy of one or a few volumes exists at the location.