

## Background Paper – Expert Advisory Group on Institution Specific Data

This paper provides background information relating to a number of matters that will be considered by the Libraries Australia Expert Advisory Group on Institution Specific Data. The information is provided for background only and is not intended to be in anyway prescriptive of the outcome of the EAG.

### 1. Required ISD elements

The National Library’s Catalogue access Review identified support of the following data elements as a requirement to enable Libraries Australia to be used as the Library’s public catalogue:

- Topical subject headings (NLA suggest using 650\_4)
- Geographic Subject headings
- Series headings
- Parent-child links (MARC field 773)

### 2. Current ISD support in Libraries Australia

Libraries Australia current policy is that, except for the data elements listed below, ISD should not be included in records supplied to the Australian National Bibliographic Database (ANBD).

MARC field 653 (Index Term – Uncontrolled) is used for ISD by some Libraries Australia contributors. Some Libraries Australia users have asked to have this field excluded from records supplied to them via the Libraries Australia Record Export Service (RES) or Products because they do not wish to receive ISD contributed by other libraries.

Summary holdings and local system numbers are supported for online input and editing in field 850 and for exchange in fields 850 or 984. Field 984 was used for exchange of holdings in the former ABN system and has been retained as an option for data exchange (RIS, RES, Z39.50 and Products) to minimise changes required in library management systems. 850\$b is output as 035\$a in RES, Products and Z39.50 (Modified Output). Only one 984/850 can be recorded for each NUC symbol. If a library has multiple call numbers associated with a NUC symbol, then these must be reported in repeats of the \$c subfield.

Tag	Subfields	Meanings
<b>850</b>	<b>a</b>	Holding institution (NUC symbol)
	<b>b</b>	Local system number
	<b>c</b>	Call number information
	<b>e</b>	Serials volume numbering
	<b>g</b>	Serial dates
	<b>h</b>	Serials completeness note
	<b>k</b>	Serials referral note
	<b>x</b>	Serials retention & guaranteed subscription note
	<b>5</b>	This is a Libraries Australia Cataloguing system generated data element that records the date (and time) a holding was added to the database or last updated

Institution specific Electronic Location and Access data supported for data exchange in the shareable bibliographic field 856 and flagged with “\$xISD5:NUC”. This data is input online in field 956.

The Libraries Australia Cataloguing Manual currently states:

Institution or copy specific notes are not valid data for the ANBD. Changes to bibliographic records should not place institution specific data in shared data fields and should retain all valid data in the record.

The Libraries Australia Cataloguing Client Manual currently says:

Remove all institution specific data (ISD). ISD is usually defined as data that is applicable only to the institution that created it or to a specific copy of a work within that library and because of this it is not be shared with other libraries. Fields that fall into this category usually begin with or contain a 9, e.g. 9XX, 099, 59X, 790. There is one standard MARC21 exception - field 490 (Series untraced or traced differently). General note fields containing copy specific information should also be removed, e.g. 500 \$a"No. 345 of a limited edition of 500".

### **3. MARC 21 support for institution specific bibliographic data**

The following data elements are defined in MARC21 for ISD.

#### **Subfield \$5**

The MARC 21 specification describes subfield \$5 thus:

“Subfield \$5 contains the MARC code of the institution or organization that holds the copy to which the data in the field applies. Data in the field may not apply to the universal description of the item, or may apply universally to the item but be of interest to the location cited.”

The specification lists the following fields for which subfield \$5 is supported:

246 – VARYING FORM OF TITLE  
500 – GENERAL NOTE  
501 – WITH NOTE  
506 – RESTRICTIONS ON ACCESS NOTE  
526 – STUDY PROGRAM INFORMATION NOTE  
540 – TERMS GOVERNING USE AND REPRODUCTION NOTE  
541 – IMMEDIATE SOURCE OF ACQUISITION NOTE  
561 – OWNERSHIP AND CUSTODIAL HISTORY NOTE  
562 – COPY AND VERSION IDENTIFICATION NOTE  
563 – BINDING INFORMATION  
583 – ACTION NOTE  
584 – ACCUMULATION AND FREQUENCY OF USE NOTE  
585 – EXHIBITIONS NOTE  
655 – INDEX TERM – GENRE/FORM  
700 – ADDED ENTRY--PERSONAL NAME  
710 – ADDED ENTRY--CORPORATE NAME  
711 – ADDED ENTRY--MEETING NAME  
730 – ADDED ENTRY--UNIFORM TITLE  
740 – ADDED ENTRY--UNIFORM TITLE

#### **6XX IND2=4**

The MARC 21 specification defines IND2 = 4 as “Source not specified”.

The subject added entry conforms to a controlled list that cannot be identified by another defined value or by a code in subfield \$2.

The specification lists the following fields for which IND 2 = 4 is supported:

- 600 – SUBJECT ADDED ENTRY--PERSONAL NAME
- 610 – SUBJECT ADDED ENTRY--CORPORATE NAME
- 611 – SUBJECT ADDED ENTRY--MEETING NAME
- 630 – SUBJECT ADDED ENTRY--UNIFORM TITLE
- 648 – SUBJECT ADDED ENTRY--CHRONOLOGICAL TERM
- 650 – SUBJECT ADDED ENTRY--TOPICAL TERM
- 651 – SUBJECT ADDED ENTRY--GEOGRAPHIC NAME
- 655 – INDEX TERM--GENRE/Form

#### **09X, 59X, 69X, 9XX**

The following blocks of fields are reserved for local use and local definition. The MARC 21 specification does not limit the use of indicators or subfield codes that may be used.

- 09X – Local Call Numbers
- 59X – Local Notes
- 69X – Local Subject Access Fields

#### **4. MARC 21 holdings format**

The MARC 21 Concise Format for Holdings Data is at:  
<http://www.loc.gov/marc/holdings/echdhome.html>

If adopted, the MARC 21 holdings format will need to be supported in:

- Online data creation and editing through the LACC and WebCat
- Record Import Service
- Record Export Service
- Z39.50
- Bibliographic Products

It is recommended that support for input and editing of holding data within Libraries Australia online systems is migrated to linked MARC 21 format holdings records. Given the extensive use of holdings embedded in field 850/984 of bibliographic records the EAG should consider whether continued support for exchange of data in this way will be required in the future. If so, business rules for matching/merging of holdings supplied in differing formats would need to be devised. Business rules to support the conversion of data between the MARC 21 holdings format and the embedded 850/984 format would also be required.

Implementation of the MARC 21 Holdings Format would provide better support for institution specific Electronic Location and Access data which is currently supported in the shareable bibliographic field 856 and flagged with "\$xISD5:NUC". This data could be migrated to the MARC 21 Holdings Format but as noted in the previous paragraph ongoing support for the exchange of data in the current format may be required, as would business rules to support conversion to/from the MARC 21 Holdings Format.

#### **5. Libraries Australia system enhancements needed to support non-shareable and optionally shareable data.**

Enhancement and/or reconfiguration will be required in the following modules:

- Online data creation and editing through the LACC and WebCat.
- Record Import Service
- Record Export Service

- Bibliographic Products
- Libraries Australia Search Service
- The implications for Z39.50 need to be considered, i.e. will only shareable fields be supplied via Z39.50 or will we attempt to support ISD “views” as well. This is related to the “views” support proposed for the BIT.
- Administration Service to support user parameterisation of the new functionality

Users must be able to code data elements in a way which identifies them as non-shareable. The user that contributed this data should be able to display, edit and export the data. This data should not be available for display, editing or products by any other users.

Users must be able to code data elements in a way which identifies them as optionally shareable and this data should not be available for editing by any other users. The user that contributed this data should be able to display, edit and export the data. This data should not be included in “standard” system displays or products however it is desirable for other users to have the option of including one or more of these fields = in their displays and/or bibliographic products.

## **6. Suggested Principles for an ISD model**

Ensure that the model chosen provides sufficient specificity in tagging and functionality comparable to that supported in standard MARC 21 fields for the corresponding shareable instance of the data element.

Ensure that the chosen model supports identification of the contributing organisation.

The impact of ISD on the Authority File should be considered. Do we need to support institution specific data in Authority records and /or support Institution Specific Authorities?

## **7. Model for discussion**

### Optionally shareable data

Libraries Australia will support the use of most MARC 21 bibliographic fields as optionally shareable data elements. Optionally shareable fields will be flagged by the inclusion of subfield \$5NUC.

### Non-shareable data

Libraries Australia will support the use of most MARC 21 bibliographic fields as non-shareable data elements. Non-shareable data elements will be flagged by the use of IND2=9 and the inclusion of subfield \$5NUC.

### Record standards considerations

Consider whether or not the following fields (and/or other fields) should be supported as non-shareable and/or optionally shareable data elements:

000 to 04X

1XX

245

260

300

All records contributed to the ANBD must contain shareable data elements which meet the Libraries Australia Minimum Record Standard.

The minimum level record standard is:

1. AACR2 level 1 description
2. The following Leader codes:
  - a. Type of record
  - b. Bibliographic level
  - c. Encoding level
3. The following 008 character positions:
  - a. Date of publication code
  - b. Date 1. The minimum data required in this position is two digits followed by XX, e.g. 20XX
  - c. Country of publication code
4. For the first level of description include the following:
  - a. A minimum of one name or uniform title heading if applicable
  - b. Title proper
  - c. Statement of responsibility
  - d. Publication details
  - e. Extent of item
5. The only mandatory field for non-Roman script data is the 245 field (Title)

#### MARC 21 format holdings

Libraries Australia will support MARC 21 formatted holdings. The shareability of the data will be the same as for the current holdings, i.e. only the contributing library can edit or delete its holdings; all holdings can be viewed in online displays; as a default bibliographic products and RES only include the holdings of the user but users have the option of including all holdings that are attached to a record. NB. This development will probably require the introduction of the concepts of “summary holdings” and “detailed holdings displays” – currently there are only summary holdings displays.

#### **8. Comments/Questions**

If ISD is indexed in shareable indexes it is likely that users will retrieve records based on the presence of ISD supplied by another library. They may not be able to view this data. Does Libraries Australia need to support institution specific indexes? For optionally shareable and/or non-shareable data? What form should such indexes take?

Optionally shareable and non-shareable data should be excluded from validation in CBS. Can CBS support this?

Data migration – We will need to migrate existing holdings (field 850) and ISD Electronic Location and Access data (field 856 and flagged with “\$xISD5:NUC) to the new MARC Formatted Holdings records. Can this be done by reconfiguration or will it require physical migration of data?

We will need an enhancement to CBS and the Search Service (TeraText/Lucene) including Products to provide an “administrator override” to allow Libraries Australia staff to view and edit all ISD and to produce Products containing the ISD of any specified library.

CBS output to Lucene/TeraText will need to include all ISD including all ISD flags (i.e. Subfield \$5 and/or IND2=9)

Lucene/TeraText (RES and Products) output to users will include only non-shareable data supplied by the requesting library and optionally shareable data requested by the library. Do we need to include/exclude the ISD flags in this output or give users the option to include/exclude the flags?

CBS supports mirroring of all Level 0 fields in Level 1 records but they can only be tagged at the ILN level.

CBS will require a flag such as \$5NUC to enable use of Level 1 record support. RIS processing rules could be configured to automatically add \$5NUC when a field includes IND2=9 (or if X9X or 9XX tags are used).

CBS will be easier to configure if the use of \$5NUC is required for all ISD fields.

Subfield \$5 is already used in some records supplied by Library of Congress. It is used to flag items that are part of special collections or to flag ISD Notes.

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