Serials MARC Holdings Records - Editing Guidelines

> ⊘ **Suspension of MARC Holding Record Edits/Creation**
>
> Prior to late 2018 / early 2019, NC State University Libraries maintained MARC holdings for all print serials, or attempted to at least. After it became clear that we no longer have the staff time needed to accurately maintain holdings for such a large collection, the decision was made to eliminate MARC holdings in favor of creating an automated summary statement using information from the item records. **Staff should no longer create or edit MARC holdings.** As of 6/26/2019, MARC holdings are still present in the catalog, but they are not being maintained or used in the public display. A project is planned to migrate retention notes from the MARC holdings to the serial controls, after which MARC holdings will be removed from the catalog.

This page outlines specific steps for creating new MARC holdings records, and for editing existing MARC holdings records. Consult [MARC 21 Format for Holdings Data](#) for more detail.

The term "MFHD" is a widely accepted acronym for "MARC Format for Holdings Data", even though it's not in standard usage at the NCSU Libraries. The Library of Congress curates the holdings/MFHD format and they refer to it as "MARC 21 Format for Holdings Data." More experienced catalogers may sometimes refer to a MARC holdings record as the MFHD record for short.

Note: Only retain, edit, and/or add MARC holdings records for physical items. (There should be no MARC holdings records for online resources at NCSU.)

Fixed field data visual examples

- For new MARC Holdings records, the default values will be automatically filled in. For printed serials, these are:

Rec_Type	y	Enc_Lvl	3	Entrd	AUTO	Acq_Stat	4
Acq_Meth	p	Can_Date		Gen_Retn	8	Sp_Retn	
Complete	1	Copies	001	Lending	u	Repr	u
Lang	eng	Composit	0	Updated	AUTO		

- The fixed field data for a currently received print serial that the library purchases should look like this:

Rec_Type	y	Enc_Lvl	3	Entrd	060411	Acq_Stat	4
Acq_Meth	p	Can_Date		Gen_Retn	8	Sp_Retn	
Complete	1	Copies	001	Lending	u	Repr	u
Lang	eng	Composit	0	Updated	090313		

- A detailed description of each of the fixed field elements and their values can be found on the MARC Holdings website http://www.loc.gov/marc/holdings/hd008.html.

- **Note: In the fixed field Acq_Stat**
  "2" means ceased title.
  "4" means currently received.
  "5" means cancelled.

Variable fields data

001 field

- This field is auto-generated in SIRSI when the MARC holdings record is created.

007 field

- Add field 007 to code for the physical characteristics of an item, most importantly, the material format. For material codes see [Serials MARC holdings - 007 material codes](#).

- For more detailed information on the 007 field, see MARC 21 Bibliographic, 007, Physical Description.

- *Examples of Codes that may be used in the 007 field:*

Material Format	Notes
007	This field contains special information about the physical characteristics. The information may represent the whole item or parts of an item such as accompanying material.
Text (including photocopy reproductions)	ta
Electronic Resource (CD-ROM)	co|cgu|||||||| (CD-ROM with color illustrations)
Microfiche (black with white letters)	he|bmb|||baca (negative, 4x6 in., normal reduction, black and white, silver halide emulsion, service copy, safety base)
Microfiche (white with black letters)	he|amb|||buca (positive, 4x6 in., normal reduction, black and white, emulsion on film is unknown, service coy, safety base)
Microfilm	hd|afb|||buca (positive, 35 mm, normal reduction, black and white, emulsion on film is unknown, service copy, safety base)

852 field

Note: In the 852 field in this visual, the first indicator should be "0" and the second is blank.

1. **Indicators:**
   The first indicator will usually be "0" for Library of Congress classification, exceptions include "3" for Superintendent of Documents classification, and "8" for Other scheme (Microforms are often in this group). See MARC 21 Holdings - 852 - Location.
   The second indicator will be blank.
2. **Remove any links to Serials controls** by deleting the |= information and related |x. Also remove the copy number |x.
3. **852 |cshould reflect the "Home location"** of the item record (in all caps).
4. **852 |h and 852 |iAll call numbers with two cutters** should look like this:

   Example:
   |hBV630.A1|iJ6

   Not this: |hBV630|i.A1J6

   The main part of the classification number should be in |h, while the 2nd cutter should be in |i.
5. **852 |xAdd your initials** in this non-public note.

An updated 852 visual for a currently received periodical might look like this:

	Tag	Ind.	Contents
▾	001		741758
▾	3		SIRSI
▾	007		ta
▾	004		AAX-2015
▾	852	0	|cSTACKS|hNA4|i.C3|zNewest issues located in the current periodicals shelving area.|zEarlier issues in DH Hill bookstacks.|xlam|xbw
▾	853	2	|88|a|bn|u12|vc|i(year)|j(month)
▾	853	2	|89|a|bno.|u12|vc|i(year)|j(month)
▾	866	1	|81|ano.739 (2005)-|zIssues missing.
▾	901		a286813
▾	901		a286813

852 subfield z (public) notes

- Add notes in separate |z notes. Do not combine in a single |z note.

|zCurrently received.
|zNot currently received.
|zLibrary has current issues only.
|zLibrary keeps current issues until microform arrives.
|zLibrary keeps current issues for *time*.
|zCurrent issues kept until bound for *branch*.
|zNewspaper Section. |zLibrary keeps current issues for *time*.
|zNewest issues located in the current periodicals shelving area.
|zNewest issues located in the Design Library *(substitute branch, etc.)* current periodicals shelving area.|zOldest issues in *Hill bookstacks* or *bookBot*.
|zNewest issues located in the current periodicals shelving area until bound for bookBot.
|zIncludes new title, *Title*.|zNot currently received.
|zIncludes former title, *Title*.|zNewest issues located in the current periodicals shelving area.
|zIncludes index for, *Title*.|zNewest issues located in the current periodicals shelving area.
|zFilmed with *title*.|zNewest issues located in the current periodicals shelving area.
|zShelved with *title*. |zNewest issues located in the current periodicals shelving area.
|zNewest issues located in Reference.
|zLatest volume only in Reference.
|zLatest year only in Reference *(substitute branch, etc.)* earlier years in Hill *(substitute branch, etc.)* bookstacks.
|zBeginning with v.*XX* (*yyyy*), each volume in series cataloged separately.
|zBeginning with *yyyy*, volumes are cataloged as separate books under author or title.

- For **Microform** MARC holdings (Microfiche and Microfilm) use only following notes:

|zCurrently received.
|zNot currently received.

- For the **Design Library** MARC holdings, use only the following notes as appropriate:

|zNewest issues located in the current periodicals shelving area.
|zNewest issues located in the current periodicals shelving area.|zOldest issues in *Hill bookstacks* or *bookBot*.
|zNewest issues located in the current periodicals shelving area until bound for *DH Hill* or *bookBot*.
|zCurrently received.
|zNot currently received.

- For the **VetMed Library** MARC holdings, use only the following notes as appropriate:

|zNewest issues located in the current periodicals shelving area.
|zNewest issues located in the current periodicals shelving area until bound for bookBot.
|zOlder issues shelved in the bound periodicals area.
|zCurrent issues kept until bound for *Hill_bookstacks* or *bookBot*.
|zCurrently received.
|zNot currently received.

- For the **NRL Library** MARC holdings, use only the following notes as appropriate:

|zNewest issues located in the bound periodicals area.
|zNewest issues located at NRL until bound for bookBot.
|zCurrent issues kept in the bound periodicals area until bound for *Hill_bookstacks* or *bookBot*.
|zCurrently received.
|zNot currently received.

853 field

- Leave the 853 tags as they are, but do not copy or add them to any new MARC holdings records.

863 field

- Delete all 863 fields.

866 field (Summary Statement)

1. **Check the Call number/Item records in SIRSI** to determine which volumes have been received and barcoded. Remember that item records do not always display in the correct order.

2. **Indicators:** the first indicator is blank, the second is "1." SIRSI will automatically add this when you create an 866 field.

3. **Subfield 8:** Note that in the absence of an 853 patterns tag, |81 becomes |80 in the 866 of a newly created holdings record.

4. **The formatting of the 866 summary statement in the MARC holdings records follows the formatting of the 362 field in the bib record,** which may differ from the format shown in the SIRSI Call number/Item records. For example, the Call number/Item records may indicate we own no.1 (2003)- while the 362 note may say, Issue 01 (Dec. '03)-
   Example:
   866 1 |80|aiss.1 (2003)-

   Not this: 866 1 |80|ano.1 (2003)-

5. **For an issue with an enumeration/chronology of "1/2007-" in the 362 field of the bib record**
   Example:
   866 1 |80|a2007:1-

6. **Convert all numeric information, such as Roman numerals, to Arabic numerals** in the MARC holdings statement.
   If the 362 field in the bib record states: Began with Volume XVII (2012), and the Item/Call number records confirm that the first issue we have is v. 17 (2012), and the title is currently received,
   The MARC holdings summary statement will begin this way:
   Example:
   866 1 |80|av.17 (2012)-

7. **NCSU uses open-ended holdings statements** rather than detailed issue listings. Use only the highest level of enumeration necessary for easily understood holdings. The last character for all currently received titles should be a hyphen.
   Example:
   866 1 |80|av.1 (1933)-

8. **Record more than one level of enumeration** when a title adds a level, for example by adding a series number:
   Examples:
   866 1 |80|av.1 (1947)-v.5 (1952); ser.2:v.1 (1953)-
   866 1 |80|aser.1:v.1 (1884)-ser.1:v.12 (1899); ser.2:v.1 (1899)-ser.2:v.162 (2005)

9. **GAPS:** NCSU no longer includes gaps; instead, include the available starting and ending ranges (or the start date with a hyphen for a currently received title) followed by "|zIssues missing." in the 866 note.
   Examples:
   866 1 |80|av.1 (1942)-v.68 (1990)|zIssues missing.
   866 1 |80|av.1 (1942)-|zIssues missing.

10. **NEW TITLE WITH ONLY UNBOUND ISSUES:** For newer titles where no issues have yet been bound and barcoded, begin the holdings statement with the first issue we have received.
    Example:
    866 1 |80|av.1:no.1 (2005)-

11. **MICROFORMS:** We will continue to have closed holdings for microforms.
    Example:
    866 1 |80|av.1 (1980)-v.25 (2004)

12. **ON ADDING SPACES IN THE 866 FIELD:**
    Catalogers should add spaces after commas and semicolons and before parentheses. No spaces before or after a colon, hyphen, or period.
    Note:
    NCSU practice for punctuation diverges slightly from the spacing policy established by ANSI/NISO Z39.71. See Punctuation and Abbreviations for use in Holding Statements for more on NCSU local punctuation policy.

13. **Update holdings** for all locations and copies, including Branch copies, when applicable.

867 field (Supplements)

- Supplement information is no longer included in MARC holdings records.

868 field (Indexes)

- **CUMULATIVE INDEXES:** We will continue to have closed holdings for indexes.
  Example:
  868 1 |80|av.72/81 (1980/1984)-v.82/91 (1985/1989)

- Leave the 901 tags as they are, but do not copy or add them to any new MARC holdings records.

Completed MARC holdings visual example

- **The MARC Holdings record for a currently received print serial that the library purchases should look something like this:** Please note that for currently received, bound volumes, we are eliminating secondary levels of enumeration (i.e. no.1) in order to simplify the display.

- **Note: In the 852 field in this visual, the first indicator should be "0" and the second is blank.**

- **Note: This example is also missing an 007 field.** For a print serial the 007 should be "ta."

Rec_Type	y	Enc_Lvl	3	Entrd	060411	Acq_Stat	4
Acq_Meth	p	Can_Date		Gen_Retn	8	Sp_Retn	
Complete	1	Copies	001	Lending	u	Repr	u
Lang	eng	Composit	0	Updated	090313		

..	Tag	Ind.	Contents
▼	001		685547
▼	852		|cSTACKS|hRS1|i.J68|xsea|zCurrently received.|xcm
▼	853	30	|81|av.|i(yr)|j(mo.)|tc.
▼	866	1	|81|av.10 (1958)-|zIssues missing.
▼	868	1	|80|av.49 (1997)
▼	901		a315304

Label, Punctuation and Abbreviations Questions

- For discrepancies in the way that labels such as "ed.", "vol.", etc. have been applied, REMEMBER that the formatting of the 866 summary statement in the MARC holdings record follows the formatting of the 362 field in the bib record.

- Catalogers should add spaces after commas and semicolons and before parentheses. No spaces before or after a colon, hyphen, or period. **Note: NCSU local practice for punctuation diverges slightly** from the spacing policy established by ANSI/NISO Z39.71. For more on NCSU punctuation for MARC holdings statements see Punctuation and Abbreviations for use in Holding Statements.

Fixed Field Holdings Codes Information

Fixed Field}	Notes
Rec_Type = Record TypeMARC21 character position: LDR/06	By default, the record type in newly created records is **y**. It should be changed for non-serial item holdings.
v = Multipart item holdings	Multivolume monograph (not used at NCSU)
x = Single-part item holdings	Currently this is used for preservation photocopies.
y = Serial item holdings	

Fixed Field	Notes
Enc_Lvl = Encoding Level MARC21 character position: LDR /17	By default, the Encoding Level will be 3.
2 = Holdings level 2	Besides system-supplied data (item ID, location), includes fixed fields for Acq status, General retention policy, Completeness, Date of report, Category of material, SMD. Used locally with public note (866|z) for incomplete and limited retention holdings.

3 = Holdings level 3 (Default)	Provides a summary statement of holdings which is always compressed at the highest level possible. If enumeration and/or chronology are applicable, only the highest levels (e.g. vol. (year), but not vol.: no.(month/year)) are included.
4 = Holdings level 4	Provides a detailed statement of holdings. If enumeration and/or chronology are applicable, the most specific levels must be included.(e.g.: If vol.:no.:pt (year) are used in the publication, all must be recorded in the MFHD.) The holdings statement may be compressed to the highest-level designator.
m = Mixed levels	Use when basic holdings are recorded at level 3 and indexes and/or supplements are at level 4; also used in cases of recon holdings at level 3 and current holdings at level 4
z = Other level	Do Not Use

Fixed Field	Notes
Entrd = Date Entered on File MARC21 character position: 008/26-31	System-supplied. Do not edit
yymmdd = Six numeric characters specifying the date the holdings report was first entered	

Fixed Field	Notes
Acq_Stat = Receipt or Acquisition Status MARC21 character position: 008/06	By default, the acquisitions status for serial titles will be 4 (currently received)
0 = Information not available; or retention is limited	
2 = Received and complete; or ceased	All parts have been published and received or the publication is no longer issued.
4 = Currently received (Default)	Newly published pieces routinely being received
5 = Not currently received/Cancelled	Newly published pieces are not being received. This is not the same as "received and complete or ceased."

Fixed Field	Notes
Acq_Meth = Method of Acquisition MARC21 character position: 008/07	By default, the acquisition method is p (purchase)
d = Deposit	Goverent documents received on deposit.
e = Exchange	
f = Free	Received without cost, directly from the publisher, vendor, or distributor.
g = Gift	Someone gives the Libraries the publication; he/she is not the publisher, vendor, or distributor.
p = Purchase (Default)	Includes receipts on memberships and subscription packages.
u = Unknown	
z = Other method of acquisition	

Fixed Field	Notes
Can_Date = Expected Acquisition End Date MARC21 character position: 008 /08-11	We do not record any intention to cancel. This field should be left blank.
#### (four blanks) = No intent to cancel; or not applicable (Default)	
yymm = Date cancellation is to take effect; or the date of the last expected part	
uuuu = Intent to cancel, with effective date unknown	

Fixed Field	Notes
Gen_Retn = General Retention Policy MARC21 character position: 008/12	By default, the retention policy is 8 (permanently retained), do not change unless specifically instructed to do so. If using 6, also edit the following field, Specific Retention policy appropriately.
0 = Information not available	
2 = Retained except as replaced by updates	
4 = Retained until replaced by microform or other preservation format	

5 = Retained until replaced by cumulation, replacement volume, or revision	
6 = Limited retention	If used, also fill in Specific Retention Policy field (below).
8 = Permanent retention (default)	We keep and bind issues.

Fixed Field	Notes
Sp_Retn = Specific Retention Policy MARC21 character position: 008/13-15	Blank unless Gen_Retn (above) is 6. ex.: l1y = latest year retained, l1i = latest issue retained*
1st position:	
l = Latest	
p = Previous	
2nd position:	
1 - 9 = Number of units retained	
3rd position:	
m = Month(s)	
w = Week(s)	
y = Year(s)	
e = Edition(s)	
i = Issue(s)	
s = Supplements(s)	

Fixed Field	Notes
Complete = Completeness MARC21 character position: 008/19	For new titles, use 1 (complete), this is the default. When editing older MFHDs, use whichever is most appropriate.
0 = Information not available; or retention is limited	
1 = Complete (95%-100% held) (default)	Apply percentages to serial holdings only. For non-serial holdings, use 1 if we own all published pieces.
2 = Incomplete (50%-94% held)	Apply percentages to serial holdings only. For non-serial holdings, use 2 if we do not own all published pieces.
3 = Very incomplete or scattered (less than 50% held)	Do not use 3 for non-serial holdings.

Fixed Field	Notes
Copies = Number of Copies Reported MARC21 character position: 008/17-19	001 is default.
001 = One copy of the bibliographic item reported	Number of copies will be 001 when there is one copy per holding location (852|c), but will generally reflect the actual number of copies per holding location (002, 003, etc.)

Fixed Field	Notes: ILL Lending Policy
Lending = Lending Policy MARC21 character position: 008/20	u (unknown) is default, and will not be changed.
a = Will lend	
b = Will not lend	
c = Will lend hardcopy only	
l = Limited lending policy	
u = Unknown	

Fixed Field	Notes: ILL Reproduction Policy

Repr = Reproduction Policy MARC21 character position: 008/21	u (unknown) is default, and will not be changed.
a = Will reproduce	
b = Will not reproduce	
u = Unknown	

Fixed Field	Notes
Lang = Language MARC21 character position: 008/22-24	eng is the Unicorn default for new MARC holdings records.
Three-character MARC code indicating the language of coded data in the 863-865 fields	Input the MARC language codeused in the bibliographic record.

Fixed Field	Notes
Composit = Separate or Composite Copy Report MARC21 character position: 008/25	The default for this field is 0 (Separate MFHD for each copy, regardless of holding location) Use 1 when more than one copy of any issues is held one library (i.e.: 2 copies of v.12 are in Hill)
0 = Separate copy report	Indicates that the holdings is for one copy of the bibliographic item.
1 = Composite copy report	Indicates that the holdings statement consolidates information about more than one copy of the bibliographic item.

Fixed Field	Notes
Updated = Date of Report MARC21 character position: 008/26-31	System-supplied when changes are made to holdings information. Do not edit this field
yymmdd = Six numeric characters specifying the currency of the holdings information	