

**National Library of Medicine
Preservation and Collection Management Section**

**INVENTORY OF NLM'S SERIALS COLLECTION
STATEMENT OF WORK**

**Purchase Order 467-MZ-501757
Base Year (9/30/05 – 9/29/06) plus 4 Option Years**

Statement of Work

I.	Background	4
II.	Scope of Work	4
III.	Description of Work	6
IV.	Procedures	
	A. Review and Correct Order and Format of Item Records In Voyager	7
	B. Create Inventory Packets.....	7
	C. Examine Records	8
	1. Bibliographic records	8
	2. Holdings records	9
	D. Put Items in Shelflist Order at the Shelf	9
	E. Duplicate Issues/Volumes	9
	F. Missed Title Changes	10
	G. Inventory Items on the Shelf	11
	H. Create, Edit or Delete Item Records Online	11
	I. Create, Edit or Delete Missing Item Records Online	12
	J. Review Items Online with Status of Charged, Overdue, Renewed Or Lost	13
	K. Review Lost and Missing Item Records for Unbound Issues after the Last Bound Volume	13
	L. Cumulative Indexes and Independent Supplements	14
	M. Resolve or Refer Problems	14
	N. Create, Edit or Reformat Holdings Statements Online.....	17
	O. Inventory Analyzed Titles	18
	P. Enter Inventory Note in Holdings Record	20

V.	Access to the Serials Collection	20
VI.	Reporting Requirements and Deliverables	21
VII.	Standards of Performance	23
VIII.	Appendixes	
	A. Glossary	
	B. Problem Form	
	C. Item Record Guidelines	
	D. Holdings Records Guidelines	
	E. Analyzed titles	
	F. Floor Plans	
	G. Special Handling Instructions for Collection Materials	

I. Background

The mission of the National Library of Medicine (NLM) is to collect, preserve and disseminate biomedical information. In support of this mission the Library has assembled one of the largest collections of biomedical literature in the world and continues to collect in some forty biomedical areas and to a lesser degree in related areas. In total the Library's collections contain approximately 7.5 million print and non-print items. The Library's print collections are housed in the General Collection, the History of Medicine Division (HMD), and the Main and HMD Reading Rooms.

The Library's General Collection contains serials published from 1871 to the present and monographs published from 1914 to the present, number an estimated 2.5 million bound volumes, plus thousands of unbound items, mostly individual serial pieces. For the most part, this collection is housed in closed stack areas on the B-1, B-2 and B-3 levels. The B-1 and B-3 levels are reserved for core biomedical serials, classed as "W1" in the NLM classification scheme. The B-2 level contains a variety of bibliographic materials including serials, monographs, congresses, audiovisuals (video cassettes, slide/tapes, 16 mm films, audio cassettes, CD-ROM programs, etc.), microforms, and government documents. HMD holds serials printed before 1871, monographs printed before 1914, and journal article reprints, pamphlets, dissertations and audiovisuals. These HMD collections are housed on the B-1 and B-3 stack floors but in an area separate from the General Collection.

The National Library of Medicine (NLM) has an integrated library system (ILS) which uses applications software known as Voyager. The system was developed and is supported by Endeavor Information Systems Inc. The Voyager ILS supports acquisitions, bibliographic control, inventory control, serials management, circulation, and public and staff searching. There are several different modules in Voyager that perform basic library functions, such as the Cataloging and Circulation modules. The Cataloging Module contains bibliographic, holdings and item records for all serial and monograph titles in the NLM collections. The Cataloging Module also contains item records for monographs and serials that contain the call number, shelving location, MRI (barcode) and the specific volume numbering information for each serial item.

By providing online capabilities for identifying and tracking materials from the point of receipt and for sharing bibliographic and inventory information throughout the Library, the ILS has improved the security of materials in the Library's collections, the efficiency and accuracy of operations, and the quality of access to the Library's resources. In order for the ILS to improve NLM's ability to manage its collections, a baseline inventory of the Library's serial holdings is needed.

II. Scope of Work

NLM's serial collection contains approximately 92,000 serial titles (some with more than one holdings location). Of that number 13,524 are titles that have been indexed by NLM (noted hereafter as IM titles). Of the total number of IM titles, 4,850 titles currently are being indexed. The baseline inventory will be an item by item review of bound and unbound serial items that number approximately 1,280,000 bound serial volumes and 8,000-11,000 unbound

serial issues. The work to be accomplished will consist of comparing physical volumes at the shelf with the online records, creating, correcting or deleting item records, adding barcodes and security labels, creating or correcting existing holdings records, and identifying and resolving or referring problems as instructed by NLM.

The serial titles to be inventoried are housed in the General Collection and HMD collections on the B1, B2 and B3 floor levels. With the exception of titles in HMD and General Collection oversized volumes, the contractor staff shall complete the inventory of each title regardless of the shelving location(s), making sure that every title in the General Collection shelved on the B1 and B3 floor level is treated as a unit. Serials shelved in a special area on B3 designated for oversized items (GENCOLLOV3) and HMD titles will be batched and inventoried separately by the contractor. The inventory of each title shall begin with the first item on the shelf for the title through the last bound volume. The unbound journal issues for open titles that were published beyond the last bound volume on the shelf will not be included in the inventory, although missing and lost item records shall be verified or corrected.

The B1 level contains General Collection serial titles that were published from 1995 to the present and in a separate room within HMD serials published before 1801. There are approximately 264,000 bound volumes on B-1 in the General Collection and approximately 3,000-5,000 unbound serial issues to be inventoried. In the HMD B1 stacks there are approximately 2,400 bound volumes to be inventoried.

The B2 level holds government document serials (W2's) and classed serials which are interfiled with the Library's monograph collection; approximately 5,000 bound volumes and 3,500 unbound issues.

The B3 level contains the serial titles published in 1871 through 1994 in the General Collection area, and in the HMD area serials published in 1800 through 1870. There are approximately 1,000,000 bound volumes and 5,000-8,000 unbound serial issues in the General Collection on B3; and 8,400 bound volumes in HMD B3 level. Appendix F contains floor plans of the B1, B2 and B3 floor levels.

Approximately 95%-99% of all items shelved in the General Collection on the B1 level have barcodes – i.e. have item records, and approximately 12%-15% of items shelved in the General Collection on the B3 level are barcoded. It is estimated that a very small percent of the serials in HMD are barcoded and most do not have item records.

The following phases of the inventory are in priority order and shall be done in that order by the contractor:

- Phase One: All W1, non-W1, and classed serials that have been indexed by NLM (IM titles), excluding indexed analyzed titles. (Estimated 13,525 titles. in 13,720 shelving locations)
- Phase Two: Non-Indexed W1 serials (Estimated 51,029 in 51,992 shelving locations)

- Phase Three: Non-Indexed classed collection and W2 serials (Estimated 500 titles.
in 503 shelving locations)
- Phase Four: Analyzed titles¹ (Estimated 26,960 titles)

NLM will provide the NLM record number from the bibliographic record for each title to be inventoried, workstations with computer terminals, carts equipped with computers and monitors, barcode scanners and printers for printing call number labels, lockers, barcodes and security labels. The computers will be capable of accessing Voyager from the stacks via wireless technology. The Project Officer and other NLM staff will provide the appropriate hours of training to the Project Manager and contractor staff.

Most of the serial titles in HMD and many in the General Collection were published in foreign languages. The contractor shall refer to *Manual of European Languages for Librarians* to decipher titles and volume information whenever necessary. A copy of this reference tool will be provided to the contractor by the Project Officer along with other reference materials.

III. Description of Work

The Contractor shall ensure that correct item records exist for every item on the shelf, except for unbound issues published after the last bound volume on the shelf for each title, all lost issues are identified as appropriate, and NLM's holdings information for each serial title is accurate and properly formatted. For IM titles, missing item records shall be created up to the last bound volume. For all titles, missing and lost item records for unbound issues published after the last bound volume will be verified or corrected. The holdings information for each title shall be created or corrected by the contractor after the item records for each title are complete and accurate.

The serials inventory will consist of the following tasks:

1. Review and correct order of item records in Voyager
2. Create inventory packets
3. Examine bibliographic and holdings records
4. At shelf make sure all bound volumes and unbound issues are in shelflist order
5. Remove duplicate issues/volumes
6. Check for missed title changes for titles cataloged after 1980
7. Inventory items on the shelf
8. Create, edit or delete item records in Voyager
9. Create, edit or delete records for missing items in Voyager
10. Review items with charged, overdue, renewed or lost status in Voyager
11. Verify missing and lost status for unbound issues published beyond the last bound volume
12. Verify cumulative indexes and supplements
13. Resolve or refer problems
14. Create, edit and/or reformat holdings statements
15. Enter inventory note in holdings records

¹ Due to the complexity of the work, the inventory of analyzed titles will be conducted as the final phase of the project by higher level staff. Separate training will be provided. See Appendix E for details.

IV. Procedures

A. Review and Correct Order and Format of Item Records in Voyager

The contractor shall do the following:

1. Examine the online list of existing item records by using the Hierarchy function in the Voyager Cataloging Module and reformat any and all incorrect captions in the *Enum* field. The following are the only acceptable captions to be used in the *Enum* field of the Voyager item record:

ed.	=	edition
new ser.	=	new series
no.	=	number
pt.	=	part
rev. ser.	=	revised series
ser.	=	series
spec. no.	=	special number or special issue
suppl.	=	supplement or supplement number (suppl.no. is not valid)
v.	=	volume

For example, if the Bd. 3 appears in the *Enum* field, reformat it to read v. 3. Refer to Appendix C for complete information on formatting item records.

2. After all incorrect captions have been reformatted, put all items in correct order – i.e. descending order by volume and date, with the newest item at the top of the list and the oldest item at the bottom of the list.
3. After the item records are in correct order, print the entire list of item records.

B. Create Inventory Packets

Under the direction of the Project Officer, the contractor shall create a packet for each title to be inventoried. It will consist of the printed bibliographic and holdings record, including holdings for GENCOLL, GENCOLLOV3, HMD, and HMDB1, and a list of the item records, including those with a status of *Missing*, *Lost-Library Applied*, *Lost-System Applied*, *Charged*, *Renewed* and *Overdue*.. The packets shall be produced not earlier than 48 hours before a title is to be inventoried. If a title has more than one holdings for shelving locations to be inventoried, e.g. HMD and GENCOLL, or GENCOLL and GENCOLLOV3, the contractor shall prepare an inventory packet for each location.

PubMed Central (PMC) is NLM's free digital archive of biomedical and life sciences journal literature and provides full text retrieval of the included articles. Each month the Project Officer will give the contractor a revised list of PMC titles that will be, or have been, scanned for inclusion in PMC. Because scanned titles in PMC are considered part of NLM's collection, the contractor shall not create missing item records for any print issues for titles on the list.

C. Examine Records

1. Bibliographic Records

The contractor shall print out and carefully examine the bibliographic record, noting in particular the following fields:

- 008** Publication status (c currently published, d ceased, or u unknown, and date1 and date2 (if date2 = 9999, serial is currently published))
- 060** Call number
- 245** Title
- 246** Variant titles for the serial
- 247** Former titles for serial if cataloged prior to 1980
- 310** Frequency of publication
- 362** Publication dates
- 500** General Notes including title variations
- 510** Subfield 9 Indexing Information
- 515** Numbering peculiarities
- 525** Supplement information
- 555** Cumulative Indexes
- 580** Title mergers and splits
- 598** Title change notes
- 780** Preceding titles
- 785** Succeeding title
- 995\$b** Date title was cataloged
- 999** Date bibliographic record was authorized

The publication dates of a serial issue determine where it will be shelved. NLM shelving locations are as follows:

1. B1 Level – W1 serials published 1995 to the present²
2. B2 Level – classed serials and W2s published 1914 to the present.
3. B3 Level – W1's published 1871 through 1994
4. GENCOLLOV3 – Oversized W1's published before 1995; shelved in a separate area on B3
5. HMD B1 – W1's published pre-1801; other serials published before 1801
6. HMD B3 – W1's published 1801 – 1870; other serials published 1801-1913

The contractor shall highlight the first and last publication date information in the 362 field of the bibliographic record and, based on the publication dates, write the shelving location(s) for the title on the upper right hand corner of the bibliographic record. For example, if a title began being published in 1936 and is open, the contractor shall write “B3” and “B1” on the bibliographic record. When the inventory for the portion of the title shelved on B3 is completed, the contractor shall cross through “B3” to indicate that it is

² In January 2005 a shift of all W1's serials published in 1990 through 1994 began, moving them from the B1 level to the B3 level. It is expected that the shift will be completed by the end of 2005, but will occur simultaneously with the serials inventory throughout the remainder of 2005.

complete, and then cross through “B1” when the inventory for the portion shelved on the B1 level is completed.

2. Holdings Records

Holdings records in Voyager represent what the library owns or does not own for a particular bibliographic title. The holdings record shows the location and call number and may also contain summary information of what volumes of a serial are owned by the library. It is also used for recording information needed for local processing, maintenance, and preservation. Voyager refers to a holdings record as MFHD – MARC Format for Holdings Data (pronounced as Muffhead). Appendix D contains detailed information about Voyager holdings records.

The contractor shall carefully examine the holdings record, noting in particular the following fields:

- Leader** Coded information about the type of holdings record and level of holdings being reported (e.g. summary or detailed).
- 852** Location and call number
- 866** Holdings statement and holdings notes

It is important to note that the HMD holdings may have a different call number from the GENCOLL holdings for the same title. The contractor shall make sure that the HMD holdings record contains the HMD call number and not the GENCOLL call number. When a holdings statement is closed, the contractor shall complete the inventory of the range of volumes and dates given in the 866 \$a.

D. Put Items in Shelflist Order at the Shelf

The contractor shall check volumes and unbound issues on the shelf for each title to be inventoried and make sure they are in correct shelflist order before beginning the inventory of the title.

E. Duplicate Issues/Volumes

The contractor shall remove duplicate issues and duplicate volumes from the shelf in the General Collection only. To ensure that, as appropriate, duplicate issues and volumes do not remain in the General Collection the contractor shall:

1. For IM titles:

If the publication date is more than three years ago, pull any duplicate unbound issues from the General Collection if correctly shelved before the last bound volume and delete the corresponding item records. Do not remove duplicate bound serials on the B1 level, but do remove duplicate bound volumes on the B3 level. Place duplicates on the designated booktruck on the B1 and B3 levels.

2. For non-IM titles:

Pull all duplicate unbound issues if found within the unbound issues to be inventoried and duplicate bound volumes and delete the corresponding item records. Place duplicates on the designated booktruck on the B1 and B3 level.

3. In the HMD collection areas on the B1 and B3 levels, do not remove duplicates.

NOTE: If there are several unbound issues shelved together before the last bound volume, note this on the Problem Form.

F. Missed Title Changes

It is important to note that more than one title can be listed under the same call number indicating that the title has changed during its publication history. The contractor shall inventory titles with the same call number together to ensure accuracy and continuity of the corresponding records.

For both General Collection and HMD B3 titles, the contractor shall identify missed title changes only for serials cataloged after 1980. The contractor can determine when a title was cataloged by looking at the date in the 995\$b of the bibliographic records. If a serial was cataloged prior to 1980 (e.g., the date in the 995\$b is 19771116) the contractor shall not report missed title changes.

For serial titles in the General Collection and HMD B3 titles that were cataloged after 1980 the contractor shall open the first and last volume of the title for each holdings record. If the titles listed on the title pages differ, the contractor shall work backwards from the last volume to the volume or issue number and year in which the title changed, and shall keep checking all volumes to make sure all possible title changes are identified. The contractor shall look at the 246, 247, 362, 580, 780, and 785 fields in the bibliographic record to see whether the title changes have been noted correctly. If every title change has not been noted correctly in the bibliographic record, the contractor shall record on the Problem Form the new titles and the volumes or issue numbers and years in which the title changed.

For HMD B1 serial titles, regardless of the date of cataloging, the contractor shall open every volume to determine that the title matches the bibliographic record because the spines on many of HMD's serials do not accurately reflect the title of the piece. The Contractor shall record missed title changes for HMD B1 serials on the Problem Form.

During Phase Two, the contractor shall inventory titles in shelflist order in their assigned areas of the stacks, excluding the IM titles that were inventoried during Phase One.

G. Inventory Items on the Shelf

1. The contractor shall:

- a. In the General Collection, B3 level, remove volumes if published before 1871 and refer them to the Project Manager.

- b. In the HMD collection, remove any post-1870 items that do not have an HMD sticker on the spine. Refer them to the Project Manager to be shelved in the General Collection.
- c. Review the volumes on the shelf and compare with the printed list of item records.
- d. Make sure that one item record exists for each bound volume and unbound issue on the shelf, except the unbound issues that follow the last bound volume on the shelf.
- e. Except for HMD items, place the NLM security label on the inside of the front cover of bound volumes and on the outside of the front cover for unbound issues, making sure that important information, such as the title and volume numbering , remain visible.
- f. Except for HMD items, replace missing, incorrect, and illegible call number labels on bound volumes.
- g. In the General Collection, if the title is incorrectly printed/spelled on the spine of bound volumes, note on the Problem Form.
- h. If it is difficult to determine if a volume is complete or if an issue(s) is missing, look for the publisher's statement of frequency that normally appears within the first few pages of the issue to determine the number of issues that were published for the volume. Note that frequency patterns often change throughout the publication life of a serial, e.g. a title can change the publication frequency from quarterly to monthly. There are many publication frequency patterns that publishers use, and they often change these patterns. If completeness of the volume cannot be determined, note on the Problem Form and refer the inventory packet to the Project Manager.
- i. If the language and or volume numbering of the title is indecipherable, note on the Problem Form and refer to the inventory packet to the Project Manager.

H. Create, Edit or Delete Item Records Online

1. To ensure that a correct item record in Voyager exists for each volume and unbound issue of a title, the contractor shall:

- a. Edit inaccurate data in item records, making sure that the *Enum*, *Chron*, and *Year* fields as well as the *Location*, *Copy Number*, *FreeText* and *Pieces* fields are each correctly formatted as specified in Appendix C: NLM Guidelines for Interpreting, Creating, and Maintaining Item Records. If the information in the *Enum*, *Chron*, and *Year* fields is correct, but not formatted correctly, leave the item record as is (i.e. no reformatting is required).

- b. Clean up overlapping records – Overlapping records are item records for unbound issues that were not deleted when the issues were bound. For example, there is an item record for vol. 4, no. 2, 2004 but the issue is now inside vol. 4, 2004 which is bound. The contractor shall delete the item record for vol. 4, no. 2, 2004 if the barcode on the item matches the barcode in the item record. If the barcode does not match the barcode of the issue inside the bound volume, and the issue is not on the shelf, delete the item record.
- c. Examine item records without barcodes. If there is a matching item on the shelf, affix a barcode to the item, and add the barcode to the existing item record rather than creating a new item record.
- d. Delete item records with no barcodes for issue(s) or volumes that are not on the shelf.
- e. Create item records for and affix barcodes to any volumes or issues on the shelf that do not have item records as specified in Appendix C. Barcodes shall be affixed to the upper right hand corner on the outside of the back cover for all volumes and unbound issues.
 - i. For HMD items, affix a barcode to the item only if bindings are modern buckram. If binding is not modern buckram, write the call number on the front and affix the barcode to the back of a slip of paper (an acid-free paper strip provided by the Library) and insert it carefully into the volume making sure the barcode is visible on the back of the slip of paper and the call number is clear, legible and visible on the front.

I. Create, Edit or Delete Missing Item Records Online

1. To determine if items are missing, the contractor shall:
 - a. Verify whether the serial title is available via PMC (i.e. check the latest list of titles being scanned for PMC that will be given to the contractor each month). If the title is on the list do not create missing item records for any missing issues.
 - b. Open all volumes with INC or “Incomplete” on the spine and those with page numbers on the spine that are not consecutive with the adjacent volume on the shelf. Examine the contents of these volumes to determine which issue(s) is missing. Make sure the item record for the bound volume reflects what is missing in the *Enum* and/or *Chron* fields.
 - c. If it is difficult to determine which issues are missing for a volume, check the frequency statement in one the issues of the volume. Publishers normally print the frequency information on the verso of the title page. If after checking the frequency statement it cannot be determined if an issue is missing, make a note on the Problem Form.

- c. If the issue is on the shelf and there is an item record with a *Missing* status, edit the record by deleting the *Missing* status.
- d. For IM titles only:
 - i. If no missing item record exists for the missing issue(s) or missing volume(s), create a missing item record for each missing issue and each missing volume.
- e. For non-IM titles:
 - i. Delete all item records with a *Missing* status.

J. Review Items Online with Status of Charged, Overdue, Renewed or Lost

1. To determine if items are lost, the contractor shall:
 - a. Review the printed list of item records for each title to see which items are charged out, i.e. have item status *Charged, Renewed or Overdue*.
 - b. If item status is *Charged, Renewed, or Overdue* but the item is on the shelf, examine the barcode to verify that the item on the shelf is the same item. If the barcode matches the item with the *Charged, Renewed or Overdue* status, discharge the item using the Voyager Circulation Module.
 - c. If the item status is *Charged, Renewed or Overdue* and the matching item is not on the shelf, consider the item to be present for inventory purposes.
2. Review the printed list of lost item records for each title. If items on the lists are found on the shelf, update the lost item records by removing the item status of *Lost-System Applied, or Lost-Library Applied*.
3. If an item record with a barcode exists but the item is not on the shelf and the item record does not have a *Charged, Overdue, Renewed, Lost-System Applied* item status, update the item record by applying the item status *Lost-Library Applied*. For items on the B1 level, the shelf must be checked twice, once a week for two weeks, before applying the item status *Lost-Library Applied*.

K. Review Lost and Missing Item Records for Unbound Issues Published after the Last Bound Volume

1. Unbound issues published after the last bound volume are not to be inventoried. However, in order to determine if the item records for them are correct the contractor shall review the printed list of item records with the status *Missing or Lost*, and do the following:
 - a. For IM titles:

- i. If the issue is not on the shelf and has an item record with no barcode, make sure the status is *Missing*.
 - ii. If an issue with the status *Lost* is not on the shelf and has an item record with no barcode, change the status to *Missing*.
 - iii. If the issue is on the shelf and there is an item record with a *Missing* or *Lost* status, edit the item record by deleting the *Missing* or *Lost* status.
- b. For Non-IM titles:
 - i. If the issue is not on the shelf and has an item record with a barcode and a *Missing* status, edit the item record and change the status to *Lost-Library Applied*.
 - ii. If the issue is not on the shelf and has an item record with no barcode and a *Missing* status, delete the item record.
 - iii. If the issue is on the shelf and has an item record with a *Missing* or *Lost* status, edit the item record by deleting the *Missing* or *Lost* status.

L. Cumulative Indexes and Independent Supplements

1. Bound volumes that contain a Cumulative Indexes (indexes for more than one volume) will have wording on the spine – i.e. *Cum Index*.

a. Cumulative Index

To determine that the *Enum* information in the corresponding item records is accurate for bound volumes that contain a Cumulative Index, the contractor shall:

- i. Open all bound volumes with spine wording that indicates the volume contains a Cumulative Index.
- ii. Verify or edit the item record.

b. Independent Supplements

NLM catalogs independent supplements as individual titles. If the title being inventoried is a supplement and issues are missing from the shelf, check the volumes of the main serial title to determine if issues were incorrectly bound with the main serial title. If found, write this information on the Problem Form. The main serial title is normally shelved just before the supplement title.

M. Resolve or Refer Problems

The following table represents a variety of problems that may be encountered during the physical inventory of serials. Unless noted otherwise in the resolution column, the contractor shall return the volume to the shelf and note the problem on the Problem Form. The contractor

shall fill out a separate Problem Form for each problem encountered for every title inventoried. See Appendix B for an example of the Problem Form.

Problem	Evidence of Problem	Resolution
A. Title	1. Nothing on shelf for bibliographic record with holdings record. Nothing in 598 field indicating a title change, or in a holdings record indicating that title was withdrawn	1. Update holdings statement by adding "No longer available at NLM" in the 866. Refer to Project Officer
	2. Title on shelf but no bibliographic record	2. Refer to Project Officer
	3. Title on the issue or volume does not match the 130 \$a, n, p or the 245 \$a, n, p of the bibliographic record	3. Refer to Project Manager
	4. Missed title changes for General Collection and HMD B3 serials cataloged after 1980	4. Note volume and year in which title changes occurred and refer to Project Officer
	5. Missed title changes for HMD B1 serials regardless of when it was cataloged	5. Note volume and year in which title changes occurred and refer to Project Officer
B. Call Number	1. 060 in bibliographic record and 852 \$h in holdings record do not match call number on the volume(s)	1. Refer to Project Manager
	2. 060 in bibliographic record does not match 852 \$h in holdings record	2. Refer to Project Manager
C. Publication date(s)	1. Publication dates of items on the shelf are not within the range of the publication dates in the 362 of the bibliographic record	1. Refer to Project Officer
	2. HMD serials that are post-1870 publications with no HMD sticker on the spine	2. Remove items from the shelf and refer them to Project Manager
D. Holdings	1. Holdings record open but nothing on shelf for past ten years	1. Inventory the volumes on the shelf and close the holdings statement with the last volume. Note the last volume and year received and refer to Project Officer
	2. Holdings statement is open and the last volume on the shelf is more than three (3) years old, but less than ten (10) years old	2. Inventory the volumes on the shelf, note the last volume and year received and refer to the Project Officer
	3. Issues on shelf beyond the holdings statement	3. Correct the holdings unless publication date is beyond the 362 in the bibliographic record – in that case refer to Project Officer
	4. Holdings are completely incorrect	4. Correct the holdings

	5. Holdings location is incorrect; year of publication on the item indicates that the volume belongs in another shelving location.	5. Place item on a designated bookcart. Project Manager will correct items and holdings statements as needed.
	6. Holdings has “No holdings at NLM in 866 \$a and no items on the shelf	6. Change text to “No longer available at NLM” in the 866 \$a, and add inventory note and date of inventory to the 852 \$x and refer to the Project Manager
	7. Holdings statement says “No information available” and nothing on the shelf for the title	7. Change holdings statement to “No longer available at NLM” in the 866 \$a, and add inventory note and date of inventory to the 852 \$x and refer to the Project Manager
	8. Holdings statement says “No information available” and there are items on the shelf.	8. Correct the holdings statement to reflect what NLM owns.
E. Holdings Location	1. HMD items published post-1870 with no HMD sticker on the spine	1. Remove from shelf and refer to Project Manager
F. Issue	1. Cannot determine the correct volume, issue and/or year information for the item on the shelf	1. Refer to Project Manager
	2. Issue appears to have been incorrectly numbered by the publisher	2. Formulate the text of a note that explains the numbering problem. Refer to Project Manager.
	3. Unbound issues of Non-IM titles published beyond the last bound volume are not on the shelf, and item records have status <i>Missing</i>	3. Delete the item record. Refer to Project Officer
	4. Many unbound issues shelved before the last bound volume	4. Refer to Project Officer
G. Frequency	1. Cannot determine if a volume is complete – frequency information is not available in the issue	1. Refer to Project Manager
H. Language	1. Cannot decipher frequency or numbering	1. Refer to Project Manager
I. Supplements	1. Supplement bound with volume that has a separate bibliographic record	1. Refer to Project Officer
J. Shelving	1. Holdings location is correct but volume(s) shelved with wrong title or in wrong location	1. Flag and place them on a designated bookcart to be reshelved every day
K. Call Number Label	1. Call number label is incorrect, missing, or is not legible	1. Replace the call number label at the shelf. For HMD items lacking call number labels, prepare a call number label and place on the spine if binding is modern buckram otherwise affix call number label to a slip of paper and insert it into the volume with call number visible.
L. Binding	1. Issue(s) inside a bound volume belong to another title	1. Note volume number and dates and refer to Project Manager

2. Bound volume is not complete and spine information does not reflect volume is incomplete 2. Refer to Project Manager

3. Issue is not bound but should be part of a bound volume 3. Refer to Project Manager

M. Spine information 1. Title misspelled or vol/issue/year information incorrect 1. Refer to Project Manager

N. Create, Edit or Reformat Holdings Statements Online

After the inventory has been completed at the shelf, all item records have been created or edited and are in correct order, and problems have been resolved or referred, the contractor shall print a new list of item records.

NLM reports holdings at Level 3 (summary level) and Level 4 (detailed level). Level 3 is used when a serial title has only one level of enumeration – i.e. *Enum* in the item record(s) for the title shows ownership of entire volumes, or a gap(s) of a complete volume(s) with no missing issues for each volume on the shelf. For example, if NLM owns v. 20-56 of a serial, Level 3 holdings is used because the *Enum* in the item record(s) is reported at the first level of enumeration, i.e. the volume level. If NLM owns v. 20-54, v. 55-56, Level 3 holdings is used because an entire volume is missing and there are no missing issues.

Level 4 holdings is used when the *Enum* in the item records for the serial uses first and second levels of enumeration, i.e. volume and issue number. For example, an item record that displays an *Enum* of v. 5, no. 1-3, no. 5-6 indicates a missing issue; therefore holdings shall be reported at Level 4.

Appendix D gives detailed information about the levels of reporting holdings in Voyager. The contractor shall determine whether to report holdings at level 3 or level 4 and do the following:

1. Examine the Leader in the holdings record to determine if editing is required. Edit the data elements to conform to the following:

Leader:

Record status: c : Corrected or revised

n: New

Type of record: y: **Serial item holdings** - Must be y in all cases. Edit the record to assign code y if another value appears in this element.

Encoding level: 3: **Holdings level 3** - Assign this value if reporting at the first level of enumeration, or

4: **Holdings level 4** - Assign this value if reporting gaps or other holdings at the first and second levels of enumeration, or when the level of holdings reported will be a mix of summary and detailed holdings data

z: **Other level** - Assign value z if not editing the 866 field

2. Format the 866
 - a. Review the newly created or updated item records, missing and lost items in Voyager, and any notes on the Problem Form.
 - b. Examine the 866 field. The first indicator value should be coded as value 3 (summary or holdings level 3) if holdings will be reported at the first level of enumeration. The first indicator should be coded as value 4 (detailed or holdings level 4) if holdings will be reported at the first and second levels of enumeration, or will be a mix of summary and detailed holdings data. The value used as the first indicator value in the 866 field should match the value used in the Encoding Level element of the Leader. The second indicator value should be coded as 1 (one) in all cases when editing records for this inventory project. If not editing the 866 field, accept the existing indicator values.
 - c. Create a holdings statement or edit the textual holdings data in the \$a of the 866 field to reflect NLM's holdings, assign correct captions, indicate gaps for missing issues or volumes, and follow the prescribed punctuation conventions as outlined in Appendix D: NLM Guidelines for Interpreting, Creating and Maintaining Holdings Data.
 - d. Reformat the 866 \$a holdings statement to conform to the guidelines outlined in Appendix D: NLM Guidelines for Interpreting, Creating and Maintaining Holdings Data. Do not reformat the holdings statement in the 866 \$a if it is correct and formatted correctly.
 - e. Examine the notes in the \$z of the 866 field. If there is a note stating "Some issues missing", delete this note after transcribing or editing an accurate holdings statement in the 866 \$a. All other notes should remain in the 866 field.
 - f. For HMD holdings, the contractor shall delete the statements "Volumes for 1870 and earlier in HMD" and "Volumes for 1913 and earlier in HMD" when they appear in the 866\$a of the holdings record.
 - g. If the holdings record contains a note that reads "No information available", remove the note after updating the holdings record.
 - h. If the holdings record contains a note in the 866 field stating "No Holdings at NLM", remove the note if there are volumes found on the shelf and create the appropriate 866 \$a holdings statement. If no volumes are found on the shelf, change the note to "No longer available at NLM" in the 866 \$a, and note on the Problem Form.

NOTE: Missing indexes shall not be noted in holdings statements.

O. Inventory Analyzed Titles

For an explanation of analyzed titles, see Appendix E.

In addition to the steps described above, the contractor shall perform the following to determine if the series title contains analyzed titles:

1. Search the Authority File for the series title using Title Headings Search in the Cataloging Module.
 - a. Check the 644 field:
 - i. f = fully analyzed (every issue is analyzed and should have a separate bibliographic record)
 - ii. p = partially analyzed (some issues are analyzed and they should have a separate bibliographic record)
 - iii. n = not analyzed (no issues are analyzed)
 - b. Check the 690 field for further information:
 - i. “Not analyzed, classed together” means that none of the issues is analyzed and the item records for each issue and the holdings record should be linked to the main series title.
 - ii. “Brief bibliographic record” means that there is a bibliographic record for the analytic (see BRF in the 999 field of the bibliographic record). These items should be bound separately. If not bound separately, indicate on the Problem Form
2. At the shelf open each volume to make sure that analytics titles are bound separately. If an analytic is bound with another analytic, or with other issues of the series that are not analyzed, put this information on the Problem Form.
3. Create item records or relink item records for analyzed volumes to the holdings record for the analytic (i.e. the monographic bibliographic record).
4. Create item records or relink item records for unanalyzed volumes to the holdings record for the serial.
5. Create or edit item records with the status Lost-Library Applied, linked to the holdings record for the analytic, for items with bar codes that are not on the shelf.
6. Create or edit the holdings statement for the main serial title to reflect all the published issues in that title owned by the Library.
7. Create a holdings statement for each analyzed title to reflect the analytic.

8. In addition to addressing the problems listed under Section M, the contractor shall follow the instructions listed under the resolution column below:

Problem Holdings	Evidence of problem	Resolution
	1. No bibliographic record or holdings record exists for the analytic	1. Refer to Project Officer
	2. Holdings record says "No Information Available" for analyzed serial within a main series	2. Correct holdings
	3. Holdings for serial title does not reflect all titles, analyzed or not analyzed	3. Correct holdings
Binding	1. Bibliographic record exists for the analytic but the analytic is bound with other analytics or other unanalyzed issues.	1. Refer to Project Manager

P. Enter Inventory Note in Holdings Record

After reviewing the updated items and holdings records and the list of all problems resolved or referred for each title, the Project Manager shall use a macro to add a note and the date of inventory to the 852\$x field in the holdings record for each location inventoried to show that the title has been inventoried.

V. Access to the Serials Collection

NLM is a closed stack library that provides document delivery services to other libraries all over the world in response to approximately 300,000 requests each year. Serials stored on the B-1 and B-2 stack levels are housed in conventional shelving that is available to the contractor during the prescribed working hours below. However, serials stored on the B-3 level are kept in compact shelves that operate electronically. There are usually ten ranges of moveable shelves and one stationary range of shelves that make up a bay. There are 27 bays of moveable shelves on the B-3 level with General Collection serials and each bay operates independently from the others. When one aisle of a bay is opened the rest of the aisles in that bay cannot be accessed. All during the contract period NLM staff will need access to the collection in support of the Library's document delivery program. It is extremely important that no more than four (4) bays be occupied by the contractor at all times ensuring that at least 85% of the B3 stacks are available for retrieval by NLM staff. The contractor may assign one to two persons per bay to conduct the inventory for a maximum of six persons on the B-3 level. Sometimes two persons will be in one aisle conducting the inventory on each adjacent range.

On normal working days, the contractor shall work 7:00am thru 3:00pm each day.

To allow for retrieval of items from the General Collection in the B3 stacks by NLM staff in the Collection Access Section (CAS), the contractor will be required to exit some of the B3 aisles three times a day, for the following times, and for up to 30 minutes each time. The CAS contractor and government staff will batch requests for the shelving areas being inventoried and notify the inventory contractor as soon as retrieval has been completed. During the times that contractor staff is out of the aisles they could perform other related tasks, such as creating and maintaining item records.

9:00-9:30 am

10:30-10:45 am

12:30-1:00 pm

NLM receives clinical emergency requests each day that must be filled by CAS within two hours of receipt. Most clinical emergency requests are filled from serials shelved on the B-1 level, but occasionally some are filled from the serials shelved on the B-3 level. The contractor shall always immediately exit an aisle on the B3 level, or move aside in a B1 aisle, whenever CAS has a clinical emergency request.

Requests for HMD materials do not occur as frequently as those for General Collection materials. It is expected that there may be no retrievals for HMD materials at least two days each week. For document retrievals by HMD staff from the HMD collection on the B3 level the contractor shall exit the aisle at the following times if requested by HMD and for not more than 30 minutes each time.

9:00-9:30 am

11:00-11:30 am

1:00-1:30 pm

VI. Reporting Requirements and Deliverables

It is anticipated that the entire serials inventory project, including Phase I through Phase IV, will take three (3) years for the contractor to complete.

A. Weekly Deliverables

On a weekly basis, the contractor shall submit to the Project Officer all completed inventory packets including the lists of problems resolved or referred, and indicate that the contractor's work has been reviewed for quality assurance before submission to the Project Officer. NLM will check a random sample of these packets each week to ensure compliance with the Library's requirements. The following number of serial titles are expected to be completely inventoried by the contractor each week:

Phase I – 800 titles

Phase II – 600 titles

Phase III – 600 titles

Phase IV – 600 titles

B. Monthly Deliverables

Every month, except for March, June, September and December the contractor shall deliver a report to the Project Officer by the 3rd working day of the following month. For

the months of March, June, September, and December the contractor shall deliver the following to the Project Officer by the 2nd working day of the following month. The report shall include the following numerical summaries and narrative information, including any and all problems encountered:

1. Number of titles inventoried, including the title, call number and bibliographic ID number in the 035 \$9 field.
2. Number of volumes and unbound loose serial issues inventoried, including:
 - a. number of item records created
 - b. number of item records edited.
 - c. number of item records deleted.
3. Number of holdings statement reviewed and not changed
4. Number of holdings statements created or edited – Level 3
5. Number of holdings statements created or edited – Level 4
6. Number of problems resolved by the contractor staff
7. Number of problems resolved by the Serials Librarian or Project Manager
8. Number of problems referred to the Project Officer

C. Invoices

At the end of each month the contractor shall mail or deliver invoices to the Project Officer at the following address:

National Library of Medicine
Preservation and Collection Management Section
Bldg. 38, Room B1E-21
Bethesda, Maryland 20894
Attn: Mary Kate Dugan

Phone: 301-435-7113

Fax: 301-480-1698

VII. Standards of Performance

The Contractor shall maintain quality control of all work performed that will assure the highest possible standard of performance. The Project Officer or designated Library staff will inspect samples of completed work and where it is not satisfactory, the Contractor shall perform correction or rework at the Contractor's expense. After initial training, the Contractor shall work independently with minimal guidance from the Project Officer, but may need to meet daily during the beginning phase of the work to discuss problems and their resolution. At a minimum the Project Manager will meet weekly with the Project Officer to discuss questions and problems concerning policies and procedures, quality assurance and performance. After training from the Project Officer and other NLM staff throughout the first week of the contract and as determined by the Project Officer, the following requirements shall be met:

- A. All specifications and requirements in the Statement of Work are met.
- B. All serial items are inventoried according to the requirements in the Statement of Work.
 - 1. All work on item records must have an error rate of less than 2%.
 - 2. All holdings records must have an error rate that does not exceed 5%.
 - 3. Missed title changes are correctly identified and less than 3% of missed title changes are not noted on the Problem Form.
 - 4. Routine problems and/or questions are resolved without assistance from the Project Officer.
- C. Project Officer is always to be kept informed of problems
 - 1. The Contractor identifies problems with current procedures or workflow and reports them promptly.
 - 2. The Contractor makes thoughtful, well-informed suggestions for solving workflow and procedural problems.
 - 3. The Contractor makes every reasonable effort to resolve problems promptly so as to minimize the negative impact on NLM and NLM's other contractors.
- D. All NLM materials are handled carefully and properly according to the training provided by the Project Officer and the instructions provided in Appendix G.

SOW Appendix A: Glossary of NLM Bibliographic Terms and Acronyms

Analytix (also called analyzed titles) - separate serial titles that are published under a series name, and are similar to monographs – i.e. they have separate bibliographic records and should be bound separately. There will also be a bibliographic record for the main series title. Some series titles are fully analyzed and some are partially analyzed.

Authority File – a record which gives the form selected for a heading in the bibliographic record.

B1 – stack floor where serials published 1995 to the present are shelved. Throughout 2005 serials published in 1990 through 1994 are being moved from the B1 level to the B3 level.

B2 – stack floor where classified serials published from 1914 to the present are shelved. Monographs, government documents and audiovisuals are also shelved on this floor.

B3 – stack floor where serials published 1914 to 1994 are shelved. Throughout 2005 serials published in 1990 through 1994 are being moved from the B1 level to the B3 level.

Bibliographic record – contains a description of a published work, giving particulars of authorship, title place of publication, format, series etc. Below is an example of a bibliographic record in the MARC format.

```
000 01478cas 22004814a 45e
001 1090048
005 20041120185323.0
008 001205c20009999nyuqr p 0 0eng d
022 __ |a 1471-0153
035 __ |a (OCoLC)45475288
035 __ |9 101090048
040 __ |a IAI |c IAI |d DLC
041 09 |a eng
042 __ |a lc |a nlmcopyc
044 __ |9 United States
049 __ |a NLMM
060 00 |a W1 |b EA869J
090 __ |a RC552.E18 |b E27
210 10 |a Eat Behav |2 DNLM
245 00 |a Eating behaviors.
260 __ |a New York, NY : |b Pergamon : |b Elsevier Science, |c c2000-
269 __ |a [New York, NY] : |b Pergamon,
300 __ |a v. ; |c 26 cm.
310 __ |a Quarterly, 2001-
321 __ |a Semiannual, 2000
```

362 0_ |a Vol. 1, no. 1 (Sept. 2000)-
510 1_ |9 1 |a Index medicus |x 0019-3879 |b v5n1, Jan. 2004-
510 1_ |9 1 |a MEDLINE |b v5n1, Jan. 2004-
510 1_ |9 1 |a PubMed |b v5n1, Jan. 2004-
583 __ |3 v.1, no. 1 (Sept. 2000) |c 20040331 |f Notice published |l Printed on acid-free paper that meets the full ANSI standard for Permanent Paper
596 __ |a Index medicus ceased as a print publication December 2004.
650 12 |a Eating Disorders
650 22 |a Feeding Behavior
650 22 |a Obesity
655 _7 |a Periodicals |2 mesh
698 __ |a Behavior
698 __ |a Nutrition
936 __ |a Vol. 2, no. 1 (spring 2001) LIC
992 __ |p P2 |e E4 |a 20010720
993 __ |a SYM |b 20010726
994 __ |a CDN |b 20010726
995 __ |a AUTH |b 20010726 |c REV |d 20041119
999 __ |a AUTH

Call Number – the classification number that is marked on the spine of a volume or on the front cover of an unbound issue. It determines the order in which volumes are shelved.

CAS – Collection Access Section which is responsible for the Library’s document delivery program.

Chronology (CHRON) – Field in item record that displays the date of publication, includes seasons or months, for example Jan-Feb 2005.

Cumulative index - An index in which several previously published indexes are combined into one index. Cumulative indexes usually cover more than one volume.

Dependent Supplement - A supplement that has the numbering of the main serial, or is linked to a serial issue in a volume, or has no numbering but would not be cataloged as a separate serial or need to be bound separately.

Enumeration (ENUM) – Field in item record that displays the volume or issue numbering, for example v. 1, no. 1. NLM uses the following captions in the Enumeration field of the item record:

v.	= volume
no.	= number
pt.	= part
ed.	= edition
suppl.	= supplement or supplement number (suppl.no. is not valid)

special no. = special number or special issue
rev. ser. = revised series
new ser. = new series.

Frequency – the number of issues in a bibliographic volume, for example if a published volume is comprised of four (4) issues during a year, the frequency is quarterly.

Gap – missing serial issue(s) within a bibliographic volume.

GENCOLL – holdings location for W1 serials in the General Collection that are shelved on the B-1 and B-3 stack floors, and W2 serials and classed serials that are shelved on the B-2 floor level.

GENCOLLOV3 – holdings location for oversized serials in the General Collection that are shelved in a designated area on the B3 level.

General Collection – the portion of the NLM collection that contains serials published from 1871 to the present and monographs published 1914 to the present.

Heading – the word, name or phrase at the beginning of an entry to indicate the title, author, series, etc.

Hierarchy – a function in the Voyager Cataloging Module that lists the item records that must be kept in correct order, i.e. all item records in correct descending order with the latest published serial issues at the top of the list.

History of Medicine Division (HMD) – the division of the Library that is responsible for serials published before 1871. Serials published in 1871 to 1994 are shelved with the General Collection serials.

Holdings – the volumes or parts of serial publications owned by the Library.

Holdings Level 3 – Summary holdings – used when there are complete volumes in the serials collection and complete missing volumes.

Example: 866 31 \$a v.1(1920)-17(1940);19(1942) [v.18 missing; a comma is used to indicate the gap and the caption is not repeated]

Holdings Level 4 – Detailed holdings; used when there are gaps at the second level of enumeration and/or chronology as well as when holdings contain supplements or cumulative indexes.

Example: 866 41 \$a v.1(1970)-v.10(1979),v.12:no.3(1981:July)-v.20:no.4(1989:Oct.) [NLM is missing v.11(1980) thru v.12:no.2(1981) and the holdings end with v.20 no.4 in year 1989 with the month of Oct.]

Holdings Locations – Shelving areas in the General Collection and History of Medicine Division where titles, or portions of titles, are housed.

Holdings Record – the Voyager record in the Cataloging Module that contains information about a specific title, namely the call number and shelving location, and may also contain summary information of what volumes of a serial set are owned by the Library. The holdings record indicates the shelving location, such as GENCOLL, HMD, GENCOLLOV3. Most W1 serial titles will be linked to only the GENCOLL holdings statement. However, titles may have more than one holdings record attached to them, such as GENCOLL, HMD, and/or GENCOLLOV3. Holdings records are also used for recording information needed for local processing, maintenance, and preservation. NLM summarizes holdings in a compressed format, usually at level 3, summary level. See Appendix D, NLM Guidelines for Interpreting, Creating and Maintaining Holdings Records for holdings record information.

The following is an example of a typical holdings record NOT formatted to current NLM policy.

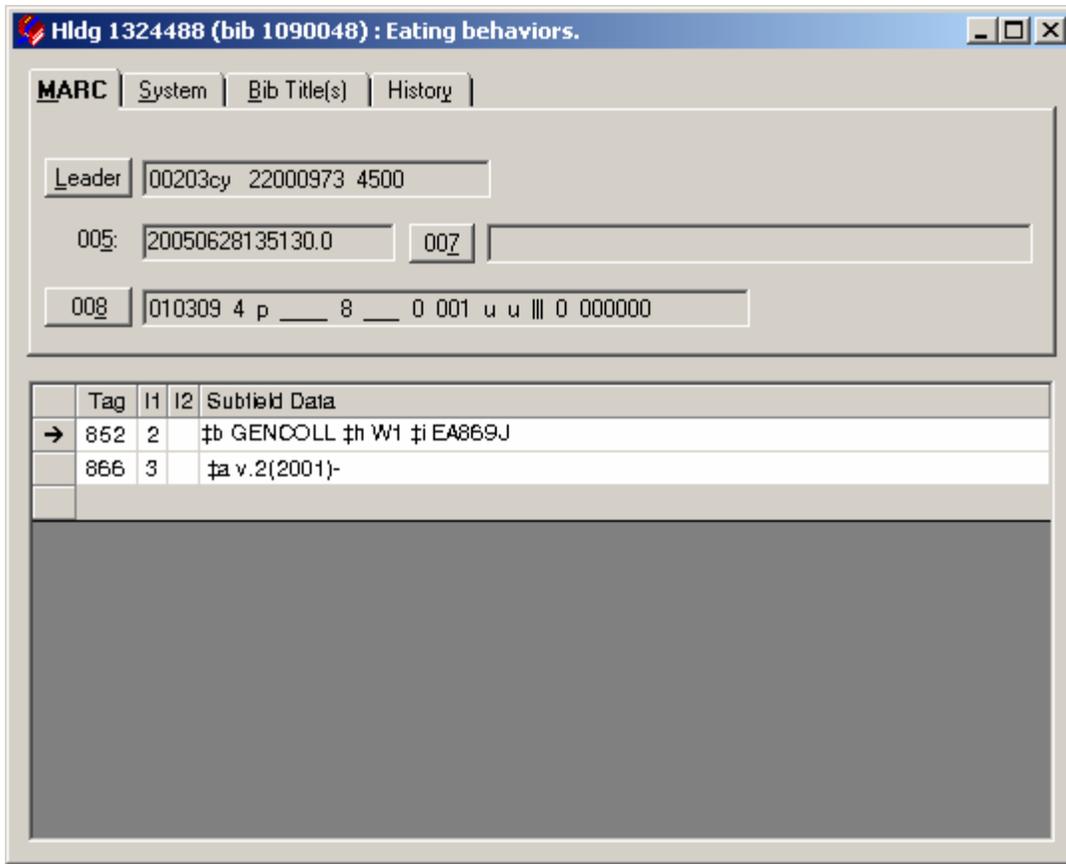
The screenshot shows a window titled "Hldg 1324488 (bib 1090048) : Eating behaviors." with tabs for "MARC", "System", "Bib Title(s)", and "History". The "MARC" tab is active, displaying the following fields:

- Leader:** 00227cy 22000973 4500
- 005:** 20010716155403.0 007
- 008:** 010309 4 p ____ 8 ____ 0 001 u u ||| 0 000000

Below the fields is a table with the following data:

Tag	I1	I2	Subfield Data
→ 852	2		‡b GENCOLL ‡h W1 ‡i EA869J
866	3		‡a v. 2, no. 1 (spring 2001)-

The following is an example of the same holdings record formatted according to the current NLM policy.



ILS – integrated library system. Voyager is NLM’s integrated library system.

IM Titles – serial titles indexed for MEDLINE, NLM’s database of indexed journal citations and abstracts that are selected by NLM’s Literature Selection Technical Review Committee (LSTRC).

Independent Supplement - A supplement that has its own numbering (not the numbering of the main serial) and is cataloged as a separate serial.

Indicator –

Issue – a single copy of a serial.

Item – an individual serial issue or a bound volume containing several serial issues

Item Record - Item records contain information about each serial item in the collection, including the call number, barcode, permanent location, item type, enumeration, chronology, year, copy number, pieces, and freetext. Please see Appendix C for a thorough explanation of item records, including how to format item records. Following is an example of a typical item record in Voyager:

Item 2399164 for holding 1324488

Title: Eating behaviors.

Location: General Collection Call #: W1 EA869J

Barcode: NLM025121041 Temp. Loc.: [dropdown]

Perm. Loc.: General Collection Temp. Type: [dropdown]

Item Type: Journal Media Type: [dropdown]

Enym: v. 6, no. 2

Chron: Feb. 2005

Year: 2005

Caption:

Free text:

Spine:

Copy: 1 Pieces: 1 Price: \$0.00

Leader –

Lost – Item that is not on shelf but was received.

Lost Item Records - Item records for lost items must contain a barcode and shall be given the status Lost-Library Applied. There are two different kinds of lost item records:

- (1) Lost-Library Applied – this item status is applied to item records when the item cannot be found and the item record exists with a barcode; and
- (2) Lost-System Applied – this status is applied through the Circulation Module for items that are overdue.

MARC – *Machine-Readable Cataloging* developed by the Library of Congress that provides standardized bibliographic data.

MFHD – a holdings record; MARC format for holdings data, pronounced as Muffhead.

Missing Item – serial issue that was never received and checked-in at the Library. Item records for missing items should never contain a barcode.

Monograph – a publication that is not a serial; a separate published work on a single subject or class of subjects.

Non-IM titles – all serial titles collected by NLM that are not indexed for MEDLINE.

PMC – PubMed Central is NLM’s free digital archive of biomedical and life sciences journal literature and provides full text retrieval of the included articles.

Serial – publication issued in successive parts and bearing numerical or chronological designations, usually published at regular intervals and usually intended to be continued indefinitely. Currently NLM subscribes to approximately 20,500 serial titles.

Series – volumes usually related to each other in subject matter, issued successively, and generally by the same publisher, and usually bearing a collective “series title” on the cover or at the head of the title page.

Series note – the name of the series to which the individual title belongs

Supplement – an addendum, or additional material, usually issued separately, to a published serial.

Title Location – holdings location of the serial title, e.g. GENCOLL, GENCOLLOV3, or HMD.

Voyager – NLM’s integrated library system that contains bibliographic, holdings and item information for every cataloged serial title.

SOW Appendix B – Problem Form

Date: _____

Initials: _____

Title:

Call Number:

Refer to the Problem List in the Statement of Work under Section J: Resolve or Refer Problems. Place a check mark to the left of the problem identified and a coded description to the right to describe the problem. For example, if a holdings record is open but nothing on the shelf published within the past three years, write the corresponding code, D-2, as the description of the problem with the holdings record and note the latest published issue found on the shelf. Always include the volume number(s) and years affected in the description whenever applicable.

Type of Problem	Problem Code (include the affected vol/issues/year and description)
Title	
Call Number	
Publication dates	
Holdings	
Holdings Location	
Issue	
Frequency	
Language	
Supplements	
Binding	
Spine information	

Other	
--------------	--

Problem Resolved: _____ **Date:** _____ **Initials:** _____

Problem Referred: _____ **Date:** _____ **Initials:** _____

SOW Appendix C:

NLM Guidelines for Interpreting, Creating and Maintaining Item Records

(Revision Number 20050531-01)

Change History

Document Version	Date	Description
20041122-01	November 22, 2004	Initial version.
20041201-01	December 1, 2004	Added for HMD new location.
20041217-01	December 17, 2004	Edited phrase in Table 5 for Statistical Category 'Need for Indexing'.
20050216-01	February 16, 2005	Edited HMD location definition; added Map drawer # example to Appendix A
20050321-01	March 21, 2005	Added OFFSITEPM to MICROFILM2 and MFCT2 in Table 3
20050525-01	May 25, 2005	In Enumeration edited Enum example of gap/no gap to show correct spacing; provided templates clarification in Appx D for items.
20050531-01	May 31, 2005	Changed format for season from Fall to Autumn in Chron.

Table of Contents

- Introductionpage 3
- Fields in Item Recordspage 4
 - Titlepage 4
 - Locationpage 4-7
 - Call #.....page 7
 - Barcodepage 7
 - Perm.Locpage 7
 - Item Typepage 7-9
 - Temp.Locpage 9
 - Temp.Typepage 9
 - Media Typepage 9
 - Enumpage 9-11
 - Chron.....page 12-13
 - Year.....page 13
 - Caption.....page 13
 - Free textpage 13
 - Spinepage 13
 - Copypage 13
 - Piecespage 13
 - Pricepage 14
 - Note.....page 14
 - Item Statuspage 14-15
 - Item Statistical Categorypage 15-18
- Supplement: Item Records for Materials with Accompanying Computer
Disks, Audiovisuals, etc.....page 19
- Appendix A: ENUM Field Phrases.....page 20-21
- Appendix B: FREE Text Field Phrasespage 22-23
- Appendix C: Definitions of AV Freetext Phrases and Division Use.....page 24-25
- Appendix D: Differences between Holding and Item Recordspage 26
- Tables
 - Table 1 (Locations With Items)page 4-6
 - Table 2 (Locations With No Items)page 6-7
 - Table 3 (Item Types).....page 7-9
 - Table 4 (Item Statuses)page 14-15
 - Table 5 (Item Statistical Categories).....page 15-18

NLM Guidelines for Interpreting, Creating, and Maintaining Item Records

Introduction

Applicability:

These guidelines should be followed when interpreting, creating or maintaining an item record as of November 2004. NLM staff is not required to edit the record to conform to these guidelines if they are only viewing records.

The item record is only created for what the library owns and contains information on circulation statuses. NLM uses the item feature of Voyager to provide explicit details on each item, including information needed for local processing, maintenance, and preservation. Item records are created in a manner consistent with those automatically created in Voyager Checkin.

Use of the ANSI Standard Z39.71 1999:

NLM follows the ANSI/National Information Standards Organization (NISO) Holdings Standard Z39.71-1999 and uses some of its options in item records.

NLM does not use all punctuation and spacing values of the ANSI standard in item records. Spacing and punctuation that is used between captions and numbering follows what is created by Voyager Checkin.

Gaps are indicated by a comma in the enumeration and chronology fields.

All of the chronology data in converted item records for serials have parentheses around the date. New items for serials created in Voyager Checkin do not have parentheses around the date.

NLM does not supply captions in the vernacular in the enumeration. The values that NLM uses from Voyager Checkin are:

ed.	=	edition
new ser.	=	new series
no.	=	number
pt.	=	part
rev. ser.	=	revised series
ser.	=	series
spec. no.	=	special number or special issue
suppl.	=	supplement or supplement number (suppl.no. is not valid)
v.	=	volume

NLM converts numbering to Arabic or ordinal numbers.

Fields in an item record:

Title: Taken from the Bibliographic record, cannot be modified.

Location: Taken from the Holdings record, can be changed if item is relinked to different holding. The Permanent Location in the item record must always match the location taken from the Holdings location.

These Locations can have items associated with them:

TABLE 1 (LOCATIONS WITH ITEMS)

LocCode	Location Name (Staff Display)	Location Name (OPAC Display)	When Used
GENCOLLAV	General Coll. AV	General Collection	Used with all Audiovisuals and accompanying Guides in General Collection.
GENCOLLOV2	General Coll. OV B2	General Collection	B2 Oversized collection—non W1's
GENCOLLOV3	General Coll. OV B3	General Collection	B3 Oversized collection—Pre 1990 W1's located at beginning of compact shelving
GENCOLL	General Collection	General Collection	Main NLM stacks
HMD	HMD	HMD Collection	Main HMD stacks. For W1's pre-1871, for others pre-1914; all W4 and W6P3 items; and selected post-1913 items (primarily secondary materials and bibliographies.)
HMDAV	HMD AV	HMD Collection	HMD audiovisuals in HMD stacks
HMDARCH	HMD Archives	HMD Collection	NLM archives in the HMD stacks
HMDBATH	HMD Bathtub Collection	HMD Collection	HMD collection of loose leaves removed from bindings. Call number is always Bathtub coll. Box...
HMDB1	HMD B1	HMD Collection	HMD B1 Stacks

LocCode	Location Name (Staff Display)	Location Name (OPAC Display)	When Used
HMDEXHIBIT	HMD Exhibition	HMD Collection	Established for items in NLM main exhibits. However, code not actively in use. Items controlled via Circ System using specific exhibition codes.
HMDINCUN	HMD Incunabula	HMD Collection	HMD Incunabula Room within HMD Reading Room.
HMDMAN	HMD Manuscripts	HMD Collection	HMD manuscripts and collections in HMD manuscript stacks.
HMDMANOV	HMD Manuscripts Oversized	HMD Collection	Oversized HMD manuscript items in HMD manuscript stacks.
HMDMONMED	HMD Monuments in Medicine	HMD Collection	Special collection within HMD in HMD main stacks.
HMDOFFSITE	HMD Offsite	HMD Collection-Offsite	Offsite storage facilities for HMD archives and manuscripts.
HMDOV1	HMD Oversized 1	HMD Collection	Books in HMD collection above 28 cm in height; HMD stacks.
HMDOV2	HMD Oversized 2	HMD Collection	Books in HMD collection above 56 cm in height; HMD stacks.
HMDPP	HMD Prints & Photos	HMD Collection	Prints and photographs in HMD collection; P&P area.
HMDREF	HMD Reference	HMD Reading Room	HMD Reading Room
MICROFORM	Microform Collection	Microform Collection	User copies of microfilm or microfiche, located on B2
NUSAV	Iron Mountain (AV)	(Suppressed in OPAC)	Audiovisual storage vault at Iron Mountain (formerly National Underground Storage)
NUSMF	Iron Mountain (MF)	(Suppressed in OPAC)	Microfilm storage vault at Iron Mountain (formerly National Underground Storage)
OFFSITEPM	Offsite PM Microfilm	(Suppressed in OPAC)	Microfilm storage vault for print master monographs in Bethlehem, PA
PCM	Preserv.&Coll.Mgmt.Sect.	(Suppressed in OPAC)	PCM Office Copy Collection

LocCode	Location Name (Staff Display)	Location Name (OPAC Display)	When Used
REFCOLL	Reference Collection	Reference Collection- Available in Reading Rm- Self-Serve Only	Main Reading Room
REFDESK	Reference Desk	Reference Desk	Behind the Desk in Main Reading Room
STAFFLIB	Staff Library	Staff Library (Staff Use Only)	Staff Library in Bldg. 38A, staff use only
TELEREF	Telephone Reference	Telephone Reference (Staff Use Only)	In the Reference Section Offices for use of Telephone Reference Staff
VAULTAV1	VaultAV1	HMD Collection-Copy may not be available for immediate use	In the Audiovisual Vault on B3, but no other copy for patron use exists
VAULTAV	Vault AV	(Suppressed in OPAC)	In the Audiovisual Vault on B3 of Bldg. 38
VAULTMF1	Vault Microfilm1	(Suppressed in OPAC)	In the Microfilm Vault on B3 of Bldg. 38—only used for 1 st generation microfilm
VAULTMF2	Vault Microfilm2	(Suppressed in OPAC)	In the Microfilm Vault on B3 of Bldg. 38—only used for 2 nd generation microfilm

These locations never have items associated with them:

TABLE 2 (LOCATIONS WITH NO ITEMS)

LocCode	Location Name (Staff Display)	Location Name (OPAC Display)	When Used
ALTCALLNO	Alternate Call Number	(Suppressed in OPAC)	Assigned when an alternative call number is required (e.g., for CIP titles, items assigned an accession number, or materials classed in form numbers, etc.)
FRCALLNO	Former Call Number	(Suppressed in OPAC)	Call number assigned to serial titles at one time.
INTERNET INVALIDINTER	Internet Invalid Internet	Internet Invalid Internet	Assigned to Electronic Resources Used when electronic resource can no longer be found – “Dead URL”
NOTNLM	Not at NLM	Not at NLM	Used for Regional Holdings, CIP’s not acquired, etc. and Withdrawn titles.
LocCode	Location Name (Staff Display)	Location Name (OPAC Display)	When Used
WDCALLNO	Withdrawn Call Number	(Suppressed in OPAC)	Call number assigned to a bibliographic item that has been withdrawn from the collection
WITHDRAWN	Withdrawn	Not at NLM	Used for converted serial Withdrawn Titles.
ADLO, ADOPTSCHL, AP, BSD, CAS,		(Suppressed in OPAC)	These are all office locations

CAT,
 EMP,
 HMDOFFICE,
 HPCCC,
 INDEXING,
 INDEXINGOFFI
 CE, LHC,
 LRCOFFICE,
 MESH, MMS,
 NCBI, NICHSR,
 NNO,
 OAM, OAMS,
 OA,
 OCCS, OD,
 ODD,
 OFM, OHIPD,
 OPI, OPM, PCM,
 PSD,
 REFOFFICE,
 SA, SIS, SR,
 TSD,
 UR/M2.11

Call #: Taken from the Holdings record, can be changed if item is relinked to different holding. The holdings record ID for the location and title you wish to link to is needed to relink items.

Barcode: Matches barcode on back of bound volume, for books and journals always begins NLM followed by 9 digits. For NUSMF location, a 5 – 7 digit number may appear in the barcode field. Barcode may also be blank. In order to delete a bad barcode, you must create a new barcode, change the current one to inactive and delete it. If you do not have a new barcode to replace a bad barcode, use the text NONE in the barcode field.

Perm. Loc.: Taken from pull down menu. **Should always match Location (above).**

Item Type: Taken from pull down menu.

Item Types are:

TABLE 3 (ITEM TYPES)

Item Type Code	Item Type Name	When Used	Locations
AV	Audiovisual	AV's in Main Stacks and HMD, excluding computer files	GENCOLLAV, HMDAV

Item Type Code	Item Type Name	When Used	Locations
BOOK	Book	Monographs in Main Stacks and HMD, includes AV guides and Staff Library	All GENCOLL, All HMD, STAFFLIB
COMPUFILE	Computer File	Computer files in Main Stacks	GENCOLL, GENCOLLAV
JOURNAL	Journal	W1 Journals in Main Stacks and HMD	GENCOLL, GENCOLLOV2, GENCOLLOV3, HMD, HMDB1, HMDOV1, HMDOV2
MICROFICHE	Microfiche	Microfiche in MICROFORM collection	MICROFORM
MICROFILM 1	Microfilm 1 st Gen	1 st generation microfilm (aka Archival or Camera Master Negative) – may only be shelved in NUSMF or VAULTMF1	NUSMF, VAULTMF1
MFCOL1	Microfilm 1 st Gen Color	1 st generation color microfilm	NUSMF, VAULTMF1
MFCT1	Microfilm 1 st Gen CT	1 st generation continuous tone microfilm	NUSMF, VAULTMF1
MICROFILM 2	Microfilm 2 nd Gen	2 nd generation microfilm (aka Print Master)—may only be shelved in VAULTMF2	OFFSITEPM, VAULTMF2
MFCT2	Microfilm 2 nd Gen CT	2 nd generation continuous tone microfilm	OFFSITEPM, VAULTMF2
MICROFILM 3	Microfilm 3 rd Gen	3 rd generation microfilm (aka Service Copy or User Copy)—may only be shelved in MICROFORM or HMD	MICROFORM, HMD
MFCOL3	Microfilm 3 rd Gen Color	Service copy color microfilm (not really 3 rd generation, but being used as if it were)	MICROFORM
MFCT3	Microfilm 3 rd Gen CT	3 rd generation continuous tone microfilm	MICROFORM
MFCNEGSUR	Microfilm Cneg Surrogate	Microfilm duplicated from a deteriorating camera negative. Will only be made when there is no possibility of refilming. To be kept as the archival.	NUSMF, VAULTMF1
MODMANU	Modern Manuscript	Items shelved in HMDMAN or HMDMANOV	HMDMAN, HMDMANOV
OFFICE	Office	Items in office locations that have item records for circulation control. Circulate to Staff Processing Patrons.	All office copies.
Item Type Code	Item Type Name	When Used	Locations
REFAV	Reference Audiovisual	Audiovisuals shelved in the Reading Room	REFCOLL
REFBOOK	Reference Book	Monographs Shelved in the Reading Room	REFCOLL, REFDESK, TELEREF
REFCOMP	Reference Computer File	Computer files shelved in the Reading Room	REFCOLL
REFJOURNAL	Reference Journal	W1 Journals shelved in the Reading Room	REFCOLL, REFDESK, TELEREF
REFMICRO	Reference Microform	Microforms shelved in the Reading Room	REFCOLL, REFDESK, TELEREF
REFSERIAL	Reference Serial	Non W1 Serials shelved in the Reading Room	REFCOLL, REFDESK, TELEREF
SERIAL	Serial	Non W1 serial publications	GENCOLL, GENCOLLOV2, GENCOLLOV3, HMD, HMDB1, HMDOV1, HMDOV2

Temp Loc.: Should be blank, not used at NLM.

Temp Type: Should be blank, not used at NLM.

Media Type: Should be blank, not used at NLM.

Enum: (80 characters maximum – if longer than 80 characters omit the smallest level of enumeration)

For volume numbering, convert captions from vernacular to the standards:

ed.
No.
new ser.
Pt.
rev. Ser.
Ser.
Spec. No.
Suppl.
v.

Captions are always lowercase.

The caption ‘suppls.’ may be used to indicate many supplements.

This field may also use guide, atlas and similar descriptive names (see also Appendix A for additional acceptable descriptive phrase examples). Consult: *A Manual of European Languages for Librarians*, 2nd by C.G. Allen for English translations of foreign terms.

Spacing and punctuation that is used between captions and numbering follows what is created by Voyager Checkin. Do NOT copy the data from the 866 field of the holdings record.

The only allowable punctuation in enumeration is: periods, commas, hyphens and the plus sign. Periods, commas always are followed by a space. There is never a space before or after a hyphen. There is always a space before and after a plus sign.

For items created by Voyager Checkin “ed.” Will appear as a caption, i.e. ed. 3. When creating an item manually, it is permissible to use the more commonly accepted 1st ed., 2nd ed., etc. If the piece is labeled with ordinal numbers convert the First, Second to 1st, 2nd, etc.

When parts are designated by a range of letters, as in the case of encyclopedias and dictionaries, the letters may be used alone. The caption “Box” may be used for manuscript collections.

Captions are not repeated when there is no gap – e.g. v. 1-5 (no gap); v. 1, v. 3-5 (gap).

Months are never used in enumeration only in chronology.

When an item has dates but no other caption information, enter the year(s) in Enum and Year fields.

Enum Caption Examples: (see also Appendix A for additional descriptive phrase examples)

v. 1, no. 1 [space after v., space after no.]

v. 1, no. 1, suppl. 1 [space after v., no., suppl.]

v. 59, spec. no. 1 [special issue no.1 to v.52]

microfilm: *Combined Issues and Volumes Examples*, such as bound volumes and

v. 1-2 [Never use a slash, only a hyphen, there is no space after hyphen]

v. 1, no. 1-4

v. 1, no. 1, pt. 2

v. 1, v. 3, no. 1-2, no. 4 [missing v. 2 and v. 3, no. 3]

v. 1, suppl. 1-2 [supplements only]

v. 12, Index v. 1-10 [index only]

after +] v. 1 + suppl. [main volume and supplement, space before and

v. 1-3 + suppls. [many supplements]

v. 12 + Index [main volume and index]

v. 12 + Index + suppl. [main volume and index and supplement]

v. 1-22 + Index v. 1-10 [main volumes and cumulative index to v. 1-10; do not use Cum. Or Cumulative]

v. 1-11 + Index v.11 [main volumes and index to only v.11, no comma is needed]

v.20, Index [v.20 is only an index]

appropriate 2nd ed. Or ed. 2 (if created by Voyager Checkin); also 1st, 3rd or 4th, etc. as

1st ed.-10th ed. [First edition to Tenth edition; Do not use v. 1st, use 1st alone or followed by the caption]

4th rev. ed.

v. 2 + Atlas [volume and atlas together, space between +]

v.3 Covers

Aa-Ce

1999 [used on items that do not have any captions
(e.g. v. no. 1997-98 pt. etc.) only a year.

Note: Year value will not be entered in the Chron only in the Enum and Year fields.]

Series Examples:

new ser. [new series]

ser. 1 [series 1]

1st ser. [1st series or first series]

rev. ser. [revised series]

1st ser., no. 1-35-2nd ser., no.1-20 [Comma is used between series]

Chron: (80 characters maximum) Date of publication, includes seasons

When more than one type of date is present on the item, select the date from the following preferred dates, in this order:

Date of coverage
Date of publication
Date of copyright
Date of printing

Always use the date on the cover or title page.

The following punctuation is allowed in chronology – commas, periods, hyphens, question marks, and slashes. Periods always are followed by a space. There is never a space before or after a hyphen or slash.

Examples:

Jan. 1999 [period after single months such as Jan.][A space is always used between month and year to follow what has been created by Voyager Checkin]

Jan. 198? [It is permissible to use a question mark in the date, e.g. 198? If exact date is unknown.]

Jan-Feb 1999 [no period after combined months such as Jan-Feb]

Jan. 5 1999 [no comma after day of the month]

Jan-Mar 1999 [no period after combined months such as Jan-Mar]

1993/1994 [for volume covering June 1993 to May 1994]
[For one volume published over two calendar years use a slash (/) between years. Always record all four digits of the year – 1993/1994 not 1993/94]

1993-1995 [For multiple volumes published over two or more calendar years use a hyphen (-) between years. Always record all four digits of the year – 1993-1995 not 1993-95]

1920, 1922, 1924 [commas are used to indicate gaps in years]

Abbreviations for Months [Use a period after the abbreviation for a month]:

Jan.	July
Feb.	Aug.
Mar.	Sept.
Apr.	Oct.
May	Nov.
June	Dec.

Abbreviations for Combined Months [There are no periods after the months in combined forms; a hyphen is used not a slash]:

Jan-Feb	Jan-Mar
Mar-Apr	Apr-Jun
May-Jun	Jul-Sept
Jul-Aug	Oct-Dec
Sept-Oct	
Nov-Dec	

Seasons: [Fall is not used; use Autumn]

Winter	Spring	Autumn/Winter
Summer	Autumn	Spring/Summer

Year: All Item Types that are Journal and Serial must have a 4-digit year in this field. For all other item types this field is blank.

If the volume covers a combined year, only the first year is entered.

If the year is not known, estimate the year as close as you can or use the current year for newly received new items. A question mark (?) cannot be substituted for one of the digits, as this field is required for routing requests to the proper location in the Callslip function.

Caption: Additional title information. (not used at NLM)

Free text: Used to identify unique items that have multiple holdings or formats. Text entered in this field will show up in OPAC. **Always place the text in parentheses for a clearer OPAC display.** (see Appendix B for list of phrases used in Free text)

Spine: Text entered in this field will be printed on the spine label. (not used at NLM)

Copy: Should never be 0, should be 1, 2, etc.

Pieces: Usually 1, but could be more for an unbound serial unit or an audiovisual with many pieces.

Price: Should always be \$0.00

Note: Information entered here is for NLM staff use only, displays also in Voyager Circulation.

There are no restrictions on the use or length of this field.

Item Status: Item Status is defined by Voyager. We cannot add to this list. Item status is displayed in the OPAC. Voyager allows an item to have more than one status, but displays only one based on its rank. A status higher on the list below will take precedence over a status lower on this list for display purposes.

TABLE 4 (ITEM STATUSES)

Item Status	When Used
At Bindery	Not used by NLM. Items are charged to Bindery as a patron in Circulation.
Callslip Request	Automatically assigned when a callslip request is charged in the Call Slip Module.
Catalog Review	Assigned to all items created by the system in the Call Slip Module. May also be assigned on an item-by-item basis.
Charged	Charged to patron – automatically assigned.
Circulation Review	May be assigned on an item-by-item basis at the time of circulation.
Claims Returned	Not used by NLM.
Damaged	Used to indicate damaged items.
Discharged	An item has been discharged and is on its way to be shelved. NLM has used a very short period for this status, which is automatically assigned.
Hold Request	Patron has placed a hold request – Not used by NLM.
In Process	Not used by NLM.
In Transit	Not used by NLM.
In Transit (Discharged)	Not used by NLM.
In Transit (On Hold)	Not used by NLM.
Lost-Library Applied	Used by NLM for items that were received but have been identified as lost.
Lost – System Applied	Automatically assigned to materials not returned 30 days after 3 overdue notices are generated.
Missing	Used by NLM to record items that have never been received. Formerly Gaps.
Not Charged	Should be on the shelf and available for use.
On Hold	Automatically assigned when an item is placed on Hold

	–Not used by NLM Circulation Desk, may be used by Staff Processing.
Overdue	Automatically assigned when a charged out item becomes overdue.
Recall Request	Patron has placed a recall request – Not used by NLM.
Item Status	When Used
Renewed	Charged to patron – automatically assigned when item is renewed.
Scheduled	Media Scheduling – Not used by NLM.
Short Loan Request	Automatically assigned with a short loan – Not used by NLM.
Withdrawn	Used when item is discarded or withdrawn and has circulated or has information associated with it that prevents the item from being circulated. Deleting the item record for withdrawn or discarded pieces is preferable to using this Status.

Item Statistical Category: used by NLM staff for statistics/reporting purposes.

TABLE 5 (ITEM STATISTICAL CATEGORIES)

Item Statistical Category	When Used
Acidfree	Item has been tested and found to be acidfree.
Bound	All bound volumes—publisher’s bindings and commercial library binding. Pamphlet binding by PCM will be entered as Staple Bound.
Boxed	Item has been placed in a box by PCM staff.
Channel Bound	Item has been placed in a temporary binder by PCM staff.
Damaged-Repl Request SR (No Longer Used)	No Longer Used.
Deacidified	Item has been treated using a deacidification process.
Defective-Repl Request SR (No Longer Used)	No Longer Used.
Do Not Film	Item has been reviewed and determination has been made not to film it. This designation should be accompanied by a note that explains who made the decision and whether it is subject to further review.
Duplication Copy	Video version used to make copies from, stored in AV vault.
Duplication Print	Motion picture version used to make copies from, stored in AV vault.

Enveloped	Item has been placed in an envelope by PCM staff.
Includes Audiocassette	Used when an Audiocassette is included as part of a book or serial item.
Item Statistical Category	When Used
Includes Computer Disk	Used when a Computer Disk is included as part of a book or serial item
Includes CDROM	Used when CDROM is included as part of a book or serial item
Includes DVD	Used when DVD is included as part of a book or serial item
Microfilm-Polysulfided	Microfilm has been treated with polysulfide protection.
Microfilm-REJ	Item is on microfilm, which is unacceptable by preservation standards, but a replacement cannot be made.
Microfilm-REJ-Density	Microfilm rejected because of density readings.
Microfilm-REJ-Illegible	Microfilm rejected because of illegible text
Microfilm-REJ-Keep	Microfilm rejected, but volumes cannot be refilmed, so it will be kept as the best available
Microfilm-REJ-Missing Pps	Microfilm rejected because of missing pages
Microfilm-REJ-Redox	Microfilm rejected because of redox.
Microfilm-REJ-Vinegar	Microfilm rejected because of Vinegar syndrome.
Mutilated	Item was determined to be mutilated in usage.
Need for Indexing	This note is used for items with a Status of Missing that were never sent for indexing.
Need for TSD Analytic	This note is used for items with a Status of Missing that are analyzed and were never sent to TSD.
Need for TSD Analytic Rev	This note is used for items with a Status of Missing that are needed for analytic review.
Ordered Absolute	This note is used for items with a Status of Missing to indicate it was ordered from Absolute.
Ordered Jaeger	This note is used for items with a Status of Missing to indicate it was ordered from Jaeger.
Ordered Publisher	This note is used for items with a Status of Missing to indicate it was ordered from the publisher.
Ordered USBE	This note is used for items with a Status of Missing to indicate it was ordered from

	USBE.
Item Statistical Category	When Used
Original	Earliest version of an audiovisual owned by NLM stored at Iron Mountain (formerly National Underground Storage).
Original Binding	Earliest version in original binding.
Pamphlet Bound	Item has been bound in a pamphlet binder by PCM staff.
Photocopy Replacement	Item has been replaced by a photocopy because an original was not available.
Retain After Filming	Item has been reviewed and should not be considered for discard after filming.
Replacement Copy	Purchased as a replacement copy.
SR Unable to Acquire	Serial Records was not able to acquire this item; holding record will indicate gaps.
Viewing Copy	Patron use copy of a videocassette.
Viewing Print	Patron use copy of a motion picture.
X00	Used to indicate paper broke after 0 fold when fold test was applied.
X01	Used to indicate paper broke after 1 fold when fold test was applied.
X02	Used to indicate paper broke after 2 folds when fold test was applied.
X03	Used to indicate paper broke after 3 folds when fold test was applied.
X04	Used to indicate paper broke after 4 folds when fold test was applied.
X05	Used to indicate paper broke after 5 folds when fold test was applied.
X06	Used to indicate paper broke after 6 folds when fold test was applied.
X07	Used to indicate paper broke after 7 folds when fold test was applied.
X08	Used to indicate paper broke after 8 folds when fold test was applied.
X09	Used to indicate paper broke after 9 folds when fold test was applied.
X10+	Used to indicate paper broke after 10 or more folds when fold test was applied.
Xbrittle(Don't Use)	No longer used. Meant paper broke at 0-2 folds. Use category X00 thru X10+
Xnot Brittle (Don't Use)	No longer used. Meant paper was folded 10 times and broke at 10 folds or did not break. Use category X00 thru X10+
Xturning Brittle (Don't Use)	No longer used. Meant paper broke at 3-9 folds. Use category X00 thru X10+

ZAD0	Results of Acid Detection Test
Item Statistical Category	When Used
ZAD0+	Results of Acid Detection Test
ZAD1-	Results of Acid Detection Test
ZAD1	Results of Acid Detection Test
ZAD1+	Results of Acid Detection Test
ZAD2-	Results of Acid Detection Test
ZAD2	Results of Acid Detection Test
ZAD2+	Results of Acid Detection Test
ZAD3	Results of Acid Detection Test

SUPPLEMENT

Item Records for Materials with Accompanying Computer Disks, Audiovisuals, etc.

Often CD-ROM's, computer disks or audiovisuals may accompany serial issues on an irregular basis. There is no data in the bibliographic record that indicates the presence of other media. Such materials should be identified so that the completeness of the item can be ascertained after circulation and for long-term preservation purposes.

A single item record will be made for materials packaged or bound as a unit, which contain print and other media. This is consistent with the practice for audiovisuals with several individual pieces within a unit.

Fields in the Voyager record will be coded as follows:

Item Type: The item type will remain that of the primary part: Journal, Serial, Book, etc. A standalone audiovisual or computer file will use the item type for that media.

Free Text Field: The supplemental information will not be entered in the Enum field next to the volume numbering because of requirements of the Indexing System. The text will be entered in the Free Text field as (+ CDROM), (+ Audiocassette), etc. This will display in the OPAC selection list.

Pieces: The item record will indicate how many pieces the unit contains. For instance a bound volume with a CD-ROM in a pocket has 2 pieces. When an item is charged and discharged a pop up screen displays indicating how many pieces are contained in the item.

Item Statistical Category: The statistical category will be used so that particular media can be identified readily by Impromptu searching. The statistical categories begin with the word "Includes" so that it is clear that they are not standalone computer files or audiovisuals. This will also keep the categories together in the picklist.

The categories are (others may be added as needed)

- Includes Audiocassette
- Includes CDROM
- Includes Computer Disk
- Includes DVD

SOW APPENDIX C:

ILS Guidelines for Item Records, Appendix A – ENUM Field Descriptive Phrases

(This is not an exhaustive list but uniformity must be maintained.

New phrases should be approved by the ILS Team.)

The first letter of a descriptive phrase is always capitalized.

Plural forms of these phrases may be used.

Abstract

Ads

Album 2

American ed.

Atlas

Appendices

Appendix

Booklet

Box 3

Bulletin

Certificate

Chapter 3

Cover

Covers & Ads

Exambook

General Register

Guide

Handout

Illus.

Imperfect (used by HMD Staff only)

Index

Indexes

Kit

Leaflet

Lesson

Manual

Map drawer 3

Meeting

Minutes

Pgs.

Post-Test

Proceedings

Program 5

Reel

Report

Section

Self-Test

Session

Special suppl.
Syllabus
Table
Tape 2
Text
Transactions
Workbook

SOW APPENDIX C:

ILS Guidelines for Item Records, Appendix B – FREE TEXT Field Phrases

(This is not an exhaustive list but uniformity must be maintained.

New phrases should be approved by the ILS Team.)

(+ Atlas)
(+ Audiocassette)
(+ CDROM)
(+ Computer disk)
(+ DVD)
(CDROM)
(DVD)
(DVCPPro videocassette)
(MiniDV videocassette)
(Microfilm)
(1/2 in. Betacam SP videocassette)
(1/2 in. VHS videocassette)
(1/4 in. Reel-to-reel audiotape)
(1/8 in. Audiocassette tape)
(8 mm. Answer print)
(16 mm. answer print)
(16 mm. color reversal intermediate)
(16 mm. duplicate magnetic track)
(16 mm. duplicate negative)
(16 mm. duplicate negative track)
(16 mm. duplicate positive track)
(16 mm. internegative)
(16 mm. interpositive)
(16 mm. master positive)
(16 mm. negative track)
(16 mm. original magnetic track)
(16 mm. original negative)
(16 mm. original negative track)
(16 mm. original positive track)
(16 mm. original reversal positive)
(3/4 in. U-Matic videocassette)
(35 mm. answer print)
(35 mm. color reversal intermediate)
(35 mm. duplicate magnetic track)
(35 mm. duplicate negative)
(35 mm. duplicate negative track)
(35 mm. duplicate positive track)
(35 mm. internegative)
(35 mm. interpositive)

(35 mm. master positive)
(35 mm. negative track)
(35 mm. original magnetic track)
(35 mm. original negative)
(35 mm. original negative track)
(35 mm. original positive track)
(35 mm. original reversal positive)
(2 in. Quad videoreel)
(1 in. type C videoreel)
(Pt. of previous binding)
(Pamphlet volume)

SOW APPENDIX C:

ILS Guidelines for Item Records, Appendix C

Definitions of AV Freetext Phrases and Division Use

Free Text Phrase	Definition	HMD Use	PCM Use
½ in. Betacam SP videocassette	A ½ in. analog videocassette using component coding on metal particle tape.	Duplication copy	
½ in. VHS videocassette	A ½ in. videocassette format. VHS stands for Video Home System. The SMPTE standard designation for this format is type H.	Viewing copy	
¾ in. U-Matic videocassette	A ¾ in. analog videocassette. The “U” stands for the u-shape of its threading path. The SMPTE standard designation for this format is type E. This format is obsolete.	Master, Duplication, or Viewing copy	
2 in. Quadruplex videoreel	A 2 in. reel-to-reel videotape format for a system that uses four recording heads. This is an obsolete format.	Master	
1 in type C video reel	The SMPTE standard designation for 1 in. reel-to-reel videotape format. This is an obsolete format	Master	
Answer print	A film delivered by a laboratory for approval of technical aspects, such as timing and synchronization.	Original, Duplication or Viewing print	
Color reversal intermediate	A color duplicate negative made by the reversal process directly from an original color negative.	Duplication print	
Duplicate magnetic track	A magnetic copy of an optical or magnetic sound track.	Duplication print	
Duplicate negative	A film with a negative image and/or negative optical sound track that has been made from a master positive or other positive film or from an original negative by reversal development.	Duplication print	
Duplicate negative track	An optical sound track found on one edge of negative film stock that is generally used to make a positive sound track	Duplication print	
Duplicate positive track	An optical sound track found on one edge of positive film stock.	Duplication print	
Interpositive	A color master positive that is used to make a color internegative.	Duplication print	

Internegative

A color negative made from a color positive, that is, a color duplicate negative.

Duplication print

Free Text Phrase	Definition	HMD Use	PCM Use
Master positive	A print made on special film from a negative. For black and white film, the reprint is on fine grain stock. For color film, interpositive stock is used.	Original or Duplication print	
Negative track	A optical sound track recorded on one edge of negative film stock that is paired with a negative picture.	Duplication print	
Original magnetic track	A original sound track with a brown ferromagnetic coating usually recorded at the time of filming.	Duplication print	
Original negative	A negative film usually exposed in the camera. It contains a negative image and/or negative sound track.	Duplication print	
Original negative track	An optical sound track recorded in a camera on negative film. It is found on the edge of a film and will usually include fogged areas due to camera stops.	Duplication print	
Original positive track	An optical sound track recorded in a camera, usually found on 16 mm. reversal films.	Duplication print	
Original reversal positive	A type of positive film that has been exposed in a camera and is used to make a positive copy.	Original or Duplication print	
Reel-to-reel audiotape	Sound recorded on reel-to-reel magnetic tape for playback. Analog format.	Master, Duplication or Listening copy.	

Except for reel-to-reel audiotape, definitions were found in the glossary of the Association of Moving Images (AMIM2) Cataloging Manual, 2nd ed. Reel-to-reel definition found online. SMPTE=Society of Motion Picture and Television Engineers

SOW APPENDIX C:

ILS Guidelines for Holdings Records: Appendix D

Differences Between Holding and Item Records

	Holdings record	Item record
Follows ANSI/NISO Z39.71-1999 Standard	Yes	No - follows Voyager Checkin creation rules
Punctuation in Enumeration	Can use colon, comma, forward slash, hyphen, period, plus sign, semi-colon, square brackets	Limited punctuation – can only use comma, hyphen, period, and the plus sign
Spacing	Blank spaces can only be used - before or after a plus sign; and after a caption that is not abbreviated (e.g. index 24).	Blank spaces can only be used - before or after a plus sign; and between captions (e.g. v. 1, no. 2, pt. 3).
Templates Used	Yes	No – preferences can be set for item defaults in each Voyager module.

SOW Appendix D:

**NLM Guidelines for Interpreting, Creating and Maintaining
Holdings Records**

(Revision Number 20050531-01)

Change History

Document Version	Date	Description
20041122-01	November 22, 2004	Initial version
20041201-01	December 1, 2004	Added for HMD new location, new 852\$x and 866\$z values.
20041206-01	December 6, 2004	Added additional 866\$z phrases.
20041216-01	December 16, 2004	Added 19 th Century schedule to Table 3.
20050107-01	January 7, 2005	Amended call number value for Bookshelf in Table 3.
20050121-01	January 21, 2005	Added phrase for 856 \$x.
20050215-01	February 15, 2005	Added additional 852 \$x phrases.
20050216-01	February 16, 2005	Edited 852 HMD location definition; added 856 indicator 2 values; removed integrating resources use of 866.
20050325-01	March 25, 2005	Changed order of 852 \$x date string
20050325-02	March 25, 2005	Changed format of 852 \$x date string and added clarifying text for dates/text associated with collection development.
20050525-01	May 25, 2005	Added additional use of 866 for Internet holdings records; edited final hyphen example in Appendix D; added to and edited Appendix G; provided templates clarification in Appendix H for items.
20050531-01	May 31, 2005	Changed format for season from Fall to Autumn in Appendix E.

Table of Contents

- Introduction..... page 3
- Fields in Holdings Record page 4
 - Leader, 005, 008, 007 page 4
 - 004: Control Number for Voyager Bibliographic Record page 4
 - 014: Linkage Number page 4
 - 842: Textual Physical Form Designator (Format) page 4
 - 843: Reproduction Note.....page 4-5
 - 852: Locationpage 5-13
 - 856: Electronic Location and Access..... page 13
 - 866: Textual Holdings – Basic Unit.....page 13-19
 - 867: Textual Holdings – Supplementary Material.....page 19-21
 - 868: Textual Holdings – Indexespage 21-22
- Appendix A: Enumeration and Chronologypage 23-24
- Appendix B: Gaps in Holdings page 25
- Appendix C: Enumeration page 26
- Appendix D: Chronology..... page 27
- Appendix E: Format for Years, Months, Seasons.....page 28-29
- Appendix F: 867 Supplement Use Chart page 30
- Appendix G: Holdings Templates page 31
- Appendix H: Differences between Holdings and Item Records page 32
- Appendix I: Punctuation Styles Used in 866page 33-34
- Tables
 - Table 1 (Locations).....page 6-9
 - Table 2 (Locations No Longer Used) page 10
 - Table 3 (852 Indicator 1 Use).....page 10-11
 - Table 4 (Punctuation Used)page 15-16

NLM Guidelines for Interpreting, Creating and Maintaining Holdings Records

Introduction

Applicability:

These guidelines should be followed when interpreting, creating or maintaining a holdings record as of December 2004. NLM staff is not required to edit the record to conform to these guidelines if they are only viewing records.

NLM creates holdings records in Voyager to represent what the library owns or does not own for a particular bibliographic title. The holdings record shows the location and call number and may also contain summary information of what volumes of a serial or multi-volume set are owned by the library. It is also used for recording information needed for local processing, maintenance, and preservation.

Use of the ANSI Standard Z39.71 1999:

NLM follows the ANSI/National Information Standards Organization (NISO) Holdings Standard Z39.71-1999 and uses some of its options in holdings records. These guidelines are in compliance with the standard.

NLM does not use all punctuation values of the ANSI standard in holdings records. (See Table 4 for a list of punctuation used)

NLM does not supply captions in the vernacular in the enumeration. (See Appendix A for a list of captions)

Use of Voyager and MARC 21:

NLM does not use all the indicator values and subfield codes that are provided in the *MARC 21 Format for Holdings Data* manual. Only those that are used by NLM are listed in this document.

Templates have been established with correct leader and control fields, indicators, and location information for many types of materials. (See Appendix G for a list of templates)

Every bibliographic record that is not suppressed is immediately available to OPAC users.

Voyager refers to a holdings record as MFHD – MARC Format for Holdings Data, pronounced as Muffhead.

The title that displays across the top of the Holdings window is from the Bibliographic record and cannot be modified.

Fields in a Holdings Record:

Leader, 005, 008, 007 – NLM uses templates that provide these values. For further explanation of these values see the *MARC 21 Format for Holdings Data* manual.

Note: 005 (system supplied)

007 is not usually coded for holdings, but may be for certain archival formats.

004: Control Number for Voyager Bibliographic Record – (system supplied)

This number appears only when printing a holdings record.

014: Linkage Number – (system supplied)

The linkage numbers occur whenever several titles are linked to a single item and holdings record. Voyager adds the appropriate linkage numbers.

Indicator 1: 0=Holdings record number

1=Bibliographic record number

Indicator 2: undefined, contains a blank

842: Textual Physical Form Designator (Format)

Indicators: Both indicators are undefined; each contains a blank.

Subfield:

\$a Textual physical form designator

This subfield is used for multimedia titles held at NLM in multiple formats in the same location. Each holdings record will indicate the format of the item.

Example:

Holdings record #1

842 \$a DVD

852 \$b General Collection AV

Holdings record #2

842 \$a VHS

852 \$b General Collection AV

843: Reproduction Note

The 843 Reproduction note is used in these two cases only – a) for a service copy in video format of an NLM owned motion picture and b) for a purchased microfilm where NLM owns the print title. The data entry format is similar to the 533 field in the bibliographic record.

Indicators: Both indicators are undefined; each contains a blank.

Subfields:

\$a Type of reproduction

\$b Place of reproduction

\$c Agency responsible for reproduction

\$d Date of reproduction

\$e Physical description of reproduction

\$f Series statement for reproduction

\$m Dates of publication and/or sequential designation of issues reproduced.

\$n Note about reproduction

\$3 Materials specified

Example:

843 \$a Microfilm. \$b [London]: \$c Chadwyck-Healey in association with the British Library and with Averro Publications, Ltd., \$d 1989. \$e 1 microfilm reel: positive ; 35 mm.

Field 843 ends with a period unless another mark of punctuation is present.

852 : Location

Holdings records must have a valid Location (subfield \$b) and a Call Number (subfields \$h and \$i). With the exception of Office copies and Staff Library Serial/AV copies which need a valid *Location*, but not a *Call Number*.

Indicator 1: blank=Used for Office copies and Staff Library Serial/AV copies

2=NLM classification number

8=Other classification scheme. Used for accession numbers or film numbers and all narrative phrases used as call numbers.

Indicator 2: blank

See TABLE 3 on page 7 for correct indicator to use.

Subfields:
\$b Location

There is generally only one holdings record per location. If multiple copies exist, the items are all linked to a single holdings record. However, if audiovisuals with copies in varying formats are all shelved in the same location several holdings records may be created to differentiate the format of the copies.

When the location is Alternate Call Number there is another holding record created for the actual intended location of the item. The locations Former Call Number and Withdrawn were only used in conversion and there is another holdings record on that bibliographic title. In these cases one holdings record is/was used to record information needed for internal processing and is suppressed in the OPAC and the other holdings record displays information for OPAC users.

Locations used are:

TABLE 1 (LOCATIONS)

LocCode	Location Name (Staff Display)	Location Name (OPAC Display)	When Used
ALTCALLNO	Alternate Call Number	(Suppressed in OPAC)	Assigned when an alternative call number is required (e.g., for CIP titles, items assigned an accession number, or materials classed in form numbers, etc.)
GENCOLLAV	General Coll. AV	General Collection	Used with all Audiovisuals and accompanying Guides in General Collection.
GENCOLLOV2	General Coll. OV B2	General Collection	B2 Oversized collection—non W1's
GENCOLLOV3	General Coll. OV B3	General Collection	B3 Oversized collection—Pre 1990 W1's located at beginning of compact shelving
GENCOLL	General Collection	General Collection	Main NLM stacks
LocCode	Location Name (Staff Display)	Location Name (OPAC Display)	When Used
HMD	HMD	HMD Collection	Main HMD stacks. For W1's pre-1871, for others pre-1914; all W4 and W6P3 items; and selected post-1913 items (primarily secondary materials and bibliographies.)
HMDAV	HMD AV	HMD Collection	HMD audiovisuals in HMD stacks
HMDARCH	HMD Archives	HMD Collection	NLM archives in the HMD stacks
HMDBATH	HMD Bathtub Collection	HMD Collection	HMD collection of loose leaves removed from bindings. Call number is always Bathtub coll. Box...
HMDB1	HMD B1	HMD Collection	HMD B1 Stacks

HMD EXHIBIT	HMD Exhibition	HMD Collection	Established for items in NLM main exhibits. However, code not actively in use. Items controlled via Circ System using specific exhibition codes.
HMD INCUN	HMD Incunabula	HMD Collection	HMD Incunabula Room within HMD Reading Room.
HMD MAN	HMD Manuscripts	HMD Collection	HMD manuscripts and collections in HMD manuscript stacks.
HMD MANOV	HMD Manuscripts Oversized	HMD Collection	Oversized HMD manuscript items in HMD manuscript stacks.
HMD MONMED	HMD Monuments in Medicine	HMD Collection	Special collection within HMD in HMD main stacks.
HMD OFFSITE	HMD Offsite	HMD Collection-Offsite	Offsite storage facilities for HMD archives and manuscripts.
LocCode	Location Name (Staff Display)	Location Name (OPAC Display)	When Used
HMD OV1	HMD Oversized 1	HMD Collection	Books in HMD collection above 28 cm in height; HMD stacks.
HMD OV2	HMD Oversized 2	HMD Collection	Books in HMD collection above 56 cm in height; HMD stacks.
HMD PP	HMD Prints & Photos	HMD Collection	Prints and photographs in HMD collection; P&P area.
HMD REF INTERNET	HMD Reference Internet	HMD Reading Room Internet	HMD Reading Room Assigned to Electronic Resources
INVALID INTERNET	Invalid Internet	Invalid Internet	Used when the electronic resource can no longer be found – “Dead URL”
MICROFORM	Microform Collection	Microform Collection	User copies of microfilm or microfiche, located on B2
NOT NLM	Not at NLM	Not at NLM	Used for Regional Holdings, CIP’s not acquired, etc. and Withdrawn titles.
NUSAV	Iron Mountain (AV)	(Suppressed in OPAC)	Audiovisual storage vault at Iron Mountain (formerly National Underground Storage)
NUSMF	Iron Mountain (MF)	(Suppressed in OPAC)	Microfilm storage vault at Iron Mountain (formerly National Underground Storage)
OFFSITE PM	Offsite PM Microfilm	(Suppressed in OPAC)	Microfilm storage vault for print master monographs in Bethlehem, PA
PCM	Preserv.&Coll.Mgmt. Sect.	(Suppressed in OPAC)	PCM Office Copy Collection

REFCOLL	Reference Collection	Reference Collection- Available in Reading Rm- Self-Serve Only	Main Reading Room
REFDESK	Reference Desk	Reference Desk	Behind the Desk in Main Reading Room
LocCode	Location Name (Staff Display)	Location Name (OPAC Display)	When Used
STAFFLIB	Staff Library	Staff Library (Staff Use Only)	Staff Library in Bldg. 38A, staff use only
TELEREF	Telephone Reference	Telephone Reference (Staff Use Only)	In the Reference Section Offices for use of Telephone Reference Staff
VAULTAV1	VaultAV1	HMD Collection-Copy may not be available for immediate use	In the Audiovisual Vault on B3, but no other copy for patron use exists
VAULTAV	Vault AV	(Suppressed in OPAC)	In the Audiovisual Vault on B3 of Bldg. 38
VAULTMF1	Vault Microfilm1	(Suppressed in OPAC)	In the Microfilm Vault on B3 of Bldg. 38—only used for 1 st generation microfilm
VAULTMF2	Vault Microfilm2	(Suppressed in OPAC)	In the Microfilm Vault on B3 of Bldg. 38—only used for 2 nd generation microfilm
WDCALLNO	Withdrawn Call Number	(Suppressed in OPAC)	Call number assigned to a bibliographic item that has been withdrawn from the collection.
ADLO, ADOPTSCHL, AP, BSD, CAS, CAT, EMP, HMDOFFICE, HPCCC, INDEXING, INDEXINGOFFI CE, LHC, LRCOFFICE, MESH, MMS, NCBI, NICHSR, NO,OAM, OAMS, OA,OCCS, OD, ODD,OFM, OHIPD,OPI, OPM, PCM,PSD, REFOFFICE, SA, SIS, SR, TSD, UR/M2.11		(Suppressed in OPAC)	These are all office locations

TABLE 2 (LOCATIONS NO LONGER USED)

LocCode	Location Name (Staff Display)	Location Name (OPAC Display)	When Used
FRCALLNO	Former Call Number	(Suppressed in OPAC)	Call number assigned to serial titles at one time.
WITHDRAWN	Withdrawn	Not at NLM	Used for converted serial Withdrawn Titles.

\$h Call number

\$i Shelflisting

When inputting the call numbers shown in TABLE 3 with the locations listed, use the following indicator values.

TABLE 3 (852 INDICATOR 1 USE)

Call Number (correct case to be used) 852 \$h i	Location 852 \$b	852 Indicator 1
NLM Classification Number	ALTCALLNO, all GENCOLL, all HMD, REFCOLL, REFDESK, TELEREF, all VAULTAV, WDCALLNO	2
NLM Accession Number	all GENCOLL	8
NLM Classification 19 th Century Schedule (those listed as alpha only) Bathtub Coll. HMD Med ##### HMD OR #####	all HMD	8
Chapter Classed separately Membership Subscription package	all GENCOLL, all HMD	8
HF#####	HMDAV, NUSAV, NUSMF, all VAULTAV	8
In Process MFHD required for PO Not yet available On Order On Order-Titlechange	all GENCOLL, all HMD, REFCOLL, REFDESK, TELEREF	8

Call Number (correct case to be used) 852 \$h i	Location 852 \$b	852 Indicator 1
Electronic link: forthcoming in PubMed Central Electronic link: free at producer site Electronic link: free at producer site (selected content only) Electronic link: free at producer site (registration required) Electronic link: free in PubMed Central Electronic link: see Bookshelf via NCBI Electronic link: see producer site NLM staff access NLM Reading Room access NLM Reading Room/General Collection access	INTERNET	8
Electronic link: no longer valid	INVALIDINTER	8
Film	MICROFORM, NUSMF, REFCOLL, all VAULTMF	8
MFHD required for PO Not held at NLM Not Selected Regional Holdings Unable to Acquire Withdrawn	NOTNLM	8

\$x Nonpublic note – it is acceptable to use multiple \$x.
(Appropriate phrasing for new non-public notes need to be approved by the ILS Team.)

1. Phrases listed in the format below are only used for the location NOTNLM with the call numbers values Not Selected, Unable to Acquire, or Withdrawn

=

Abridgement
Audience
Condition
Coverage
Dissertation
Duplicate content
Format
Never published
Not available commercially
Out of print
Reprint
Scope
Subject
Superseded
Technical quality
Thesis
Translation
76 Inventory

2. The phrase listed in the format below is only used for the location NOTNLM with the call number Withdrawn –

Approved ADLO YYYYMMDD

3. The phrase listed in the format below is only used for the locations GENCOLL and STAFFLIB –

Accepted ADLO YYYYMMDD

4. The following phrases listed in the format below are only used on locations that represent a physical location –

Collection development decision: Retain [enter *Date of retention decision in YYYYMMDD format*]
Referred to collection development review, [enter *Date in YYYYMMDD format and Name*]

5. The phrases listed in the format below are only used for the location INTERNET –

Access not provided: Format YYYYMMDD
Access not provided: License terms YYYYMMDD
Access not provided: Password YYYYMMDD
Print format not acquired

6. The phrase listed in the format below is only used for the location HMDOFFSITE –

BAL-01 – format is: (3 letter city abbreviation)dash (2 digit sequential number) for multiple locations in the same city

7. The following phrases were used on converted records but are not to be used currently.

This information is now entered in the item record.

Do not film
Missing
Retain after filming

\$z Public Note – it is acceptable to use multiple \$z
(Appropriate phrasing for new public notes need to be approved by the ILS

Team.)

1. Used to record NLM permanence ratings. See the following web site for a list of permanence ratings –

<http://www.nlm.nih.gov/psd/pcm/devpermanence.html>

2. Used to indicate bound-with materials.

Approved phrase: Includes multiple titles

856: Electronic Location and Access

Indicator 1: 4=HTTP

7=Source specified in subfield 2
for other values see the *MARC 21 Format for Holdings Data* manual.

Indicator 2: blank

0=Resource
1=Version of resource
2=Related resource

Subfields:

\$u URL link

\$x Non-public note (Note: this note does display in LocatorPlus)
(Appropriate phrasing for new nonpublic notes need to be approved by the ILS Team.)

Approved phrases:

Finding aid

866: Textual Holdings – Basic Unit –

This field is required as it indicates what NLM holds. It is added or revised when creating new or editing holdings for all non-electronic serials (see next paragraph for additional clarification) and multipart monographs (whether print or non-print) in the physical collection and Staff Library.

Internet Holdings records for PubMed Central titles and multipart monographs must have an 866 field. Other Internet Holdings records do not have an 866 field.

866 fields are created at holdings level 3 (Summary) with the following exceptions: Holdings level 4 (Detailed) 866 fields should be created only when there are gaps at the second level of enumeration and/or chronology as well as when holdings contain supplements or indexes.

Example: 866 31 v.1(2000),v.3(2002) This is appropriate when all of volume 2 of the year 2001 is missing

866 41 v.1:no.1(2000)-v.2:no.2(2001),v.2:no.4(2001)-v.3:no.4(2002)

This is appropriate when volume 2 number 3 of year 2001 is missing

Indicator 1 (Holdings level):

blank=used on converted titles and most holding records created before December 2004

3=Holdings level 3(Summary) – used for one level of enumeration and/or chronology

4=Holdings level 4(Detailed) – used for more than one level of enumeration and/or chronology as well as for any holdings that contain supplements or indexes.

Indicator 2 (Applicable standard):

blank=used on converted titles and most holding records created before December 2004

1=ANSI/NISO Z39.71 or ISO 10324 – NLM currently uses this value

Subfields:

\$a Textual Holdings:

If a supplement or index is numbered separately and differently from the 866 \$a, it is recorded in the 867/868. If there are gaps in the holdings of a supplement or index that is NOT numbered separately or differently, the gap is indicated at the end of the range of holdings in the 866 \$a.

Location Retention phrases: These phrases will always end with a period to allow for readability between the \$a and the \$x or \$z in LocatorPlus.

- Current year in Reading Room.
- Latest 3 years in Reading Room.
- Latest 5 years in Reading Room.
- Latest 10 years in Reading Room.

Limited Retentions phrases: These phrases will always end with a period to allow for readability between the \$a and the \$x or \$z in LocatorPlus.

- Latest 3 years. (volumes, editions, issues may be used instead of years if that makes more sense based on numbering or issuance schedule)
- Latest year (volume, etc.). – If only one year is retained.
- Latest 5 years.
- Latest 10 years.
- Library holds last 5 years. – Used only in Staff Library

Refer to Appendices A-E for information on enumeration, chronology, gaps, and date formatting.

Punctuation used: (See also Appendix I for pre-Sept.2004 and current punctuation styles)

TABLE 4 (PUNCTUATION)

Name	Symbol	Purpose	Examples
Blank space		Indicates separation of data elements within an area. NLM only uses a blank space before and after a plus sign and after a caption that is not abbreviated.	v.1-3 + suppl.1,3 v.20 + index 24
Colon	:	Separates the levels of holdings. Blank spaces are not used before or after the colon.	v.1:pt.1 v.1:no.1(1975:Jan.)-1982:Feb. 1979:Jan.1 1995:June15
Comma	,	Indicates a gap in a range of holdings. Blank spaces are not used before or after the comma.	v.1,3 v.5(1980)-6(1981),10(1986) 1942-1990,1994-
Forward slash (diagonal)	/	Indicates combined numbering (not when bound together after receipt), combined	v.5/6 1969/1970

Name	Symbol	Purpose	Examples
		chronology or non-calendar year chronology data. Blank spaces are not used before or after the diagonal.	

Name	Symbol	Purpose	Examples
Hyphen	-	Indicates an unbroken range of holdings or open holdings. Blank spaces are not used before or after the hyphen.	v.1-3 v.2- Jul-Sept
Parentheses	()	Separates enumeration and chronology when the data are recorded together. Parentheses are neither preceded nor followed by a blank space.	v.1(1983)
Period	.	Indicates the end of an abbreviation.	Feb.1- v.1- no.10- pt.255-
Plus sign	+	Separates a basic bibliographic unit from a subsequent one or from a secondary bibliographic unit. Blanks are used before and after a plus sign.	v.1-10 + index 1-5,9-10 v.1-4 + suppl.1-2,4
Question mark	?	Indicates unknown digits of a date(s) when either the decade and/or year are not known. A blank is not used before or after the question mark.	198? 1950-197? 18??
Semicolon	;	Indicates a non-gap break. Blank spaces are not used before or after the semi-colon.	v.1-4;6 no.1-8;v.3:no.1-
Square brackets	[]	Encloses supplied enumeration and chronology. The opening square bracket is never preceded by a blank space; the closing square bracket is never followed by a blank space.	[1981/1982] [v.1](2000)-v.3(2003)

Examples: Holdings level 3 (Summary)

Enum and chron:

866 31 \$a v.1(2001)	[NLM only holds v.1 in year 2001]
866 31 \$a v.1(1920)-	[NLM holdings begin with v.1 in year 1920 and are open]
866 31 \$a v.1(1920)-17(1940) multiple years]	[years indicated on volume cover
866 31 \$a v.1(1920)-17(1940),19(1942)	[v.18 missing; a comma is used to indicate the gap and the caption is not repeated]
866 31 \$a v.1(1920)-17(1940);19(1942)	[v.18 not published; a semicolon is used to indicate a non-gap break and the caption is not repeated]
866 31 \$a v.1(2001)-3(2003)	[NLM holdings begin with v.1 in year 2001 and end with v.3 in year 2003]

Enum only:

866 31 \$a v.1	[NLM only holds v.1]
866 31 \$a v.3- open]	[NLM holdings begin with v.3 and are
866 31 \$a v.1-17	[date of publication is the same for all vols. In the set]
866 31 \$a v.4-6 with v.6]	[NLM holdings begin with v.4 and end
866 31 \$a v.1-4,6	[v.5 missing; a comma is used to indicate the gap and the caption is not repeated]

Chron only:

866 31 \$a 1998	[NLM only holds year 1998]
-----------------	----------------------------

866 31 \$a 1999-2003 [NLM holdings begin with 1999 and end with 2003]

866 31 \$a 2001,2003 [2002 is missing; a comma is used to indicate the gap]

Examples: Holdings level 4 (Detailed)

Enum and chron:

866 41 \$a v.3:no.1(2001) [NLM only holds v.3 no.1 in year 2001]

866 41 \$a v.1:no.5(2001:May)- [NLM holdings begin with v.1 no.5 in year 2001 with the month of May and are open]

- 866 41 \$a v.9:no.7(1920:July)-v.64:no.12(1975:Dec.)
 [NLM holdings begin with v.9 no.7 in year 1920 with the month of July and the holdings end with v.64 no. 12 in year 1975 with the month of Dec.]
- 866 41 \$a no.1:pt.1(1945:Jan.)-no.12:pt.2(1956:Dec.)
 [NLM holdings begin with no.1 pt.1 in year 1945 with the month of Jan. and the holdings end with no.12 pt.2 in year 1956 with the month of Dec.]
- 866 41 \$a v.1(1970)-v.10(1979),v.12:no.3(1981:July)-v.20:no.4(1989:Oct.)
 [NLM is missing v.11(1980) thru v.12:no.2(1981) and the holdings end with v.20 no.4 in year 1989 with the month of Oct.]
- 866 41 \$a v.1:no.2(1950:Feb.)-v.20:no.10(1970:Oct.) + suppl.1(1950)-
 suppl.15(1965),suppl.18(1968)-suppl.20(1970)
 with v.1 no.1
 [NLM holdings for the basic unit begin in year 1950 and the month of Jan. and the holdings end with v.20 no.12 in year 1970 with the month of Dec. Supplements 16 thru 17 are missing and a comma is used to indicate the gap, the caption is repeated]
- 866 41 v.1(2002)- + v.1:suppl.1(2002)-v.1:suppl.4(2002),v.2:suppl.1(2003),
 v.2:suppl.3(2003)-
 [NLM holdings for the basic unit begin with v.1 in year 2002 and are open. Supplement 2 of v.2 in year 2003 is missing and a comma is used to indicate the gap, the caption is repeated.]
- 866 41 \$a v.1(1930:Jan.)- + index 1930-1960,1965-2000
 [NLM holdings begin with v.1 in year 1930 with the month of Jan. and are open. Indexes 1961-1964 are missing and a comma is used to indicate the gap, the caption is not repeated]

Enum only:

866 41 \$a v.2:pt.2	[NLM only holds v.2 pt.2]
866 41 \$a v.1:pt.2- are open]	[NLM holdings begin with v.1 pt.2 and are open]
866 41 \$a v.1:no.1	[NLM only holds v.1 no.1]
866 41 \$a no.1-8;v.3:no.1-	[NLM holds no.1 thru 8. Caption changed with v.3 no.1 and holdings are open]
Chron only:	
866 41 \$a 2001:May,2002:Jan.	[NLM only holds May 2001 and Jan.2002; a comma is used to indicate the gap]

\$x Nonpublic note – it is acceptable to use multiple \$x
(Appropriate phrasing for new nonpublic notes need to be approved by the
ILS Team.)

Approved phrase:

866 41 \$x Backfile ordered: v.1(2002)	[NLM uses \$x to indicate backfile issues on order.]
--	---

\$z Public note – it is acceptable to use multiple \$z
(Appropriate phrasing for new public notes need to be approved by the ILS
Team.)

Approved phrases:

Contact HMD Reference staff for information regarding access
Free 6 month(s) 14 days after publication
In process: see PubMed Central archive for available issues
Materials stored offsite; 24 hour prior notice required for delivery
NO STACK SERVICE
NO STACK SERVICE FOR LATEST 10 YEARS
(Search under book title following “In:” for call number)
See site for available issues or content
See site for selected content
Some articles available immediately; remainder free 24 month(s)
after publication
Unprocessed collection
Retain after filming – (This phrase was used on converted titles)
Some issues missing – (This phrase was used on converted titles
and some holdings records created before December 2004)

867 Textual Holdings – Supplementary Material

NLM will only use the 867 field to indicate supplements that are numbered separately and differently than the basic unit recorded in the 866. See Appendix F for examples on when to use this field. If there are gaps in the holdings of a supplement that is NOT numbered separately or differently the gap is indicated at the end of the range of holdings in the 866 \$a.

Indicator 1 (Holdings level):

blank=used on converted titles and most holding records created before December 2004

3=Holdings level 3(Summary) – Not used at NLM for suppl.

4=Holdings level 4(Detailed) – used for more than one level of enumeration and/or chronology as well as for any holdings that contain supplements or indexes.

Indicator 2 (Applicable standard):

blank=used on converted titles and most holding records created before December 2004

1=ANSI/NISO Z39.71 or ISO 10324 – NLM currently uses this value

Subfields:

\$a Textual Holdings

Refer to Appendices A-E for information on enumeration, chronology, gaps, and date formatting.

Refer to Appendix A for valid captions.

Examples:

866 31 \$a v.1(1982)-

[NLM holdings for the basic unit begin with v.1 in year 1982 and are open]

867 41 \$a special no.1-3

[NLM only holds the supplements for special issues 1-3; no additional enum or chron indicated on piece]

866 31 \$a v.3(1930)-

[NLM holdings for the basic unit begin with v.3 no.1 in year 1930 with the month of Jan. and are open]

867 41 \$a suppl.1

[NLM only holds supplement 1; no additional enum or chron indicated on piece]

866 31 \$a v.1(1910)-

[NLM holdings for the basic unit begin with v.1 in year 1910 and are open]

867 41 \$a special no.1(1920),special no.3(1920)

[NLM is missing special issue 2 for year 1920; a comma is used

to indicate the gap and the caption is repeated]

\$x Nonpublic note – it is acceptable to use multiple \$x
(Appropriate phrasing for new nonpublic notes need to be approved by the ILS Team.)

\$z Public note – it is acceptable to use multiple \$z
(Appropriate phrasing for new public notes need to be approved by the ILS Team.)

868 Textual Holdings – Indexes

NLM will only use the 868 field to indicate indexes that are numbered separately and differently than the basic unit recorded in the 866. See Appendix F for examples on when to use this field. If there are gaps in the holdings of an index that is NOT numbered separately or differently the gap is indicated at the end of the range of holdings in the 866 \$a.

Indicator 1 (Holdings level):

blank=used on converted titles and most holding records created before December 2004
3=Holdings level 3(Summary) – Not used at NLM for indexes
4=Holdings level 4(Detailed) – used for more than one level of enumeration and/or chronology as well as for any holdings that contain supplements or indexes.

Indicator 2 (Applicable standard):

blank=used on converted titles and most holding records created before December 2004
1=ANSI/NISO Z39.71 or ISO 10324 – NLM currently uses this value

Subfields:

\$a Textual Holdings

As the label displayed in LocatorPlus is ‘Indexes’ it is not necessary to use the caption Index or Indexes in this field.

Refer to Appendices A-E for information on enumeration, chronology, gaps, and date formatting.

Examples:

866 31 \$a v.20(1978)-	[NLM holdings for the basic unit begin with v.20 in year 1978 and are open]
868 41 \$a A-L	[NLM only holds the indexes for A-L; no enum or chron indicated on piece]
866 31 \$a v.2(1980)-	[NLM holdings for the basic unit begin with v.2 in year 1980 and are open]
868 41 \$a 1980-1991	[NLM only holds the indexes for years 1980-1991; no enum indicated on piece]
866 31 \$a v.1(1910)-	[NLM holdings for the basic unit begin with v.1 in year 1910 and are open]
868 41 \$a A(1910)-Z(1920)	[NLM only holds the indexes for A-Z beginning in year 1910 to year 1920]
866 41 \$a v.1:no.3(1989:Mar.)-	[NLM holdings for the basic unit begin with v.1 no.3 in year 1989 with the month of Mar. and are open]
868 41 \$a A-H(1989),M-R(1995),V-Z(2000)	[NLM is missing the indexes I thru L, and S thru U; commas are used to indicate the gaps]

\$x Nonpublic note – it is acceptable to use multiple \$x
(Appropriate phrasing for new nonpublic notes need to be approved by the ILS Team.)

\$z Public note – it is acceptable to use multiple \$z
(Appropriate phrasing for new public notes need to be approved by the ILS Team.)

**SOW Appendix D:
ILS Guidelines for Holdings Records, Appendix A**

Enumeration and Chronology

There is no spacing between the enumeration and chronology. See Table 4 for punctuation used.

NLM will restrict the numbers of captions used. Currently these include:

v.	=	volume
no.	=	number
pt.	=	part
ed.	=	edition
suppl.	=	supplement or supplement number (suppl.no. is not valid)
special no.	=	special number or special issue
ser.	=	series
rev. ser.	=	revised series
new ser.	=	new series

According to the NISO standard, “enumeration and chronology data may be displayed separately, with or without parenthesis. This form of display is called ‘separate’. Enumeration and chronology data may be displayed adjacent to each other, with enumeration recorded first. This form of display is called ‘adjacent.’ The corresponding chronology is enclosed in parentheses.”

NLM has chosen to use the adjacent display even though summary holdings data was converted in many formats. NLM’s current practice for all holding records entered are to use adjacent display.

Record enumeration and chronology data in logical sequence; i.e. lowest enumeration data to highest, earliest date to latest.

v.1(1980)–10(1989)

When the enumeration and chronology data correspond with each other, they must be displayed at the same level and in the same sequence.

v.1:no.11(1983:Nov)–v.5:no.12(1987:Dec.)

When the enumeration and chronology data do not correspond with each other (either because they are at different levels or represent differing sequences), the chronology data recorded in the adjacent form of the display reflects what appears on the publication.

v.1(1902),3(1910),6(1907)-9(1909)

At the summary level (level 3), record only the highest level of enumeration and chronology date for multipart and serial units.

At the detailed level (level 4), the appropriate sublevels are added along with the highest level of enumeration and chronology data.

A mixed holdings statement, which combines summary and detailed enumeration and chronology in one holdings statement, is used whenever necessary and is coded at level 4.

Whenever possible, any one segment of holdings should contain the same level of enumeration and chronology data on both sides of the hyphen.

The range of holdings should be broken only by the recording of gaps.

v.1(1970)-v.10(1979),v.12:no.3(1981:July)-v.20:no.4(1989:Oct.)

**SOW Appendix D:
ILS Guidelines for Holdings Records, Appendix B**

Gaps in Holdings

When there is a gap within a range of units, record the enumeration or chronology and indicate the gap by using a comma. The caption is not repeated if there is only one level of enumeration.

v.5(1980)-6(1981),10(1985)
1942-1990,1994-

A non-gap break is a break in the enumeration, chronology, or multipart units caused by units that were never published, or some other irregularity in the numbering sequence caused by the publisher. Represent a non-gap break by a semicolon. If a non-gap break occurs adjacent to a gap, a semicolon may be placed next to a comma and the caption is repeated.

v.1-9;,v.12-15 (v.10 not published, v.11 missing)

**SOW Appendix D:
ILS Guidelines for Holdings Records, Appendix C**

Enumeration

When the first level is a series, always record the second level enumeration along with the first level.

ser.3:v.1
new ser.:v.1

Captions are supplied from the approved list shown in Appendix A. NLM does not use the vernacular.

Captions are repeated after a hyphen for clarity when there is more than one level of enumeration or a non-gap break occurs adjacent to a gap.

v.1:no.11(1983:Nov.)-v.5:no.12(1987:Dec.)

Convert all numeric information to Arabic numerals. Ordinal numbers may be converted to cardinal numbers.

First becomes 1st
XI becomes 11

When an item is issued with combined number—not when bound together after receipt—separate the numbers by a diagonal.

v.5/6

When a part of an otherwise numbered unit lacks numeric or alphabetic designation, it may be supplied in square brackets.

[v.1]-3

End the statement with a final hyphen if the holdings are open.

v.2-

An unnumbered, named issue may be recorded as part of a holdings string at the uncompressed and detailed level. These examples are not considered captions.

Inaugural issue
Annual directory issue

**SOW Appendix D:
ILS Guidelines for Holdings Records, Appendix D**

Chronology

Chronology is recorded in parallel with enumeration, except when a bibliographic item carries only chronology. When only chronology specifies the holdings, it is not enclosed in parentheses.

1887-

If both enumeration and chronology are present, both may be recorded.

v.12(1975)-

If only enumeration is present, enumeration is recorded; chronology is not supplied.

v.3-
v.1:no.1-
v.2:pt.2-

If only chronology is present; chronology is recorded, enumeration is not supplied.

2001-2004
2001:May,2002:Jan.

Optionally, if an item normally carries chronology data and such data is omitted from some pieces, it may be supplied with square brackets.

v.1(2000)-v.3[2003]

End the statement with a final hyphen if the holdings are open.

2001:Mar.-

When more than one type of date is present on the item, select the date from the following preferred dates, in this order:

Date of coverage
Date of publication
Date of copyright
Date of printing

**SOW Appendix D:
ILS Guidelines for Holdings Records, Appendix E**

Format for Years

Always record all four digits of the year. Use a diagonal as a separator if the chronology data for a single bibliographic unit spans a non-calendar year or more than one year.

1993-1994 not 1993-94
1989/1990-2001/2002

If there is chronology date available, but the exact year cannot be precisely determined, use a question mark to fill the space of the missing digit.

198?
18??

If the chronology date is supplied by NLM enclose the date in brackets.

[1992]

Format for Months

Record months in English as shown.

Abbreviations for Months [Use a period after the abbreviation for a month]:

Jan.	July
Feb.	Aug.
Mar.	Sept.
Apr.	Oct.
May	Nov.
June	Dec.

Abbreviations for Combined Months [There are no periods after the months in combined forms]:

Jan-Feb	Jan-Mar
Mar-Apr	Apr-Jun
May-Jun	Jul-Sept
Jul-Aug	Oct-Dec
Sept-Oct	
Nov-Dec	

When chronology below the first level is recorded, use a colon to separate the year from the month. In recording chronology data that contains day notations, do not treat these as a separate hierarchical level, and do not separate them with a colon.

1982:Feb.

1979:Jan.1

Format for Seasons

Record seasons in English as shown. Fall is not used; use Autumn.

Winter

Summer

Autumn/Winter

Spring

Autumn

Spring/Summer

**SOW Appendix D:
ILS Guidelines for Holdings Records, Appendix F**

867 Supplement Use Chart

Example	Suppl. is dated	Suppl. , Special Issue, etc. noted but not numbered	Suppl. has vol. no.	Suppl. has issue no.	Has unique numbering system (Suppl. No.)	Suppl. numbers start over with new vol. or year	Suppl. numbers are unique across different years or volumes	Use 866 Field if there is a gap?	Use 867 Field?
Biopharm Int: Suppl. (Feb, 2004)	X	X						Yes	No
Int J Circumpolar Health: v.62 Suppl. 1 (2003)	X		X		X	X		Yes	No
J Clin Psychiatry: v.65, suppl. 2 (2004)	X		X		X	X		Yes	No
Appl Cogn Psychol: v.17, no.9, spec.(2003)	X	X	X	X				Yes	No
Clin Orthop: No.415 Suppl.(Oct. 2003)	X	X		X				Yes	No
J Am Soc Nephrol: v.15 no.1 Suppl 1 (Jan. 2004)	X		X	X	X	X		Yes	No
AIDS: v.11, Suppl 1 (Sep 1997) v.11, Supp.2 (Dec 1997)	X		X		X	X		Yes	No
AIDS: v.11 Suppl. A	X		X		X	X			No

(1997) v.11 Suppl. B (1997)								Yes	
Pediatrics: v.113 no.3, pt.1 (Mar 2004) v.113 no.3 pt.2 (Mar 2004)	X		X	X				Yes	No
Phytomedicine: v.7 Suppl. II (2000); v.9 Suppl. III (2002); v.10 Suppl IV (2003)	X		X		X		X	No	Yes

**SOW Appendix D:
ILS Guidelines for Holdings Records, Appendix G**

Holdings Templates – stored on P:\ILS\Templats\Holdings

altcalhol.cat.tem
archcomputerfilehol.pcm.tem
archfilmhol.hmd.tem
archfilmholhf.hmd.tem
archfilrev.cat.tem
AV W1 serials.cat.tem
bookhol.saa.tem
ciphol.cat.tem
comhold.cat.tem
compfilehol.pcm.tem
fiche.cat.tem
hmdavhol.pcm.tem
InternetManushol.hmd.tem
InternetMonohol.cat.tem
INTERNETSERIAL.SR.tem
INTERNETSERIALCALLNUMBER.SR.tem
MFHDrequired.cat.tem
microfilm.pcm.tem
monoNOTSel.cat.tem
newmicrofilm.pcm.tem
NOTHELD.cat.tem
onorderBkEncL1.saa.tem
onorderBkEncL3.saa.tem
onordhol.saa.tem
onordhold1.saa.tem
outsidemicro.cat.tem
pubmedcentral.cat.tem
pubmedforthcoming.cat.tem
serialClassSep.cat.tem
serialGeneric.cat.tem
serialGenericNOTSel.sr.tem
SERIALONORDER.SR.tem
serialRegHol.sr.tem
slidehol.cat.tem
soundhold.cat.tem
stafflibhol.cat.tem
vaultavhol.pcm.tem
vidGenColl.cat.tem
vidRef.cat.tem
withdrawn.pcm.tem

**SOW Appendix D:
ILS Guidelines for Holdings Records, Appendix H**

Differences Between Holdings and Item Records

	Holdings record	Item record
Follows ANSI/NISO Z39.71-1999 Standard	Yes	No - follows Voyager Checkin creation rules
Punctuation in Enumeration	Can use colon, comma, forward slash, hyphen, period, plus sign, semi-colon, square brackets	Limited punctuation – can only use comma, hyphen, period, and the plus sign
Spacing	Blank spaces can only be used - before or after a plus sign; and after a caption that is not abbreviated (e.g. index 24).	Blank spaces can only be used - before or after a plus sign; and between captions (e.g. v. 1, no. 2, pt. 3).
Templates Used	Yes	No – preferences can be set for item defaults in each Voyager module.

**SOW Appendix D:
ILS Guidelines for Holdings Records, Appendix I**

Punctuation Styles Used in 866

Example	Pre-Nov..2004	Current Use
Godisen zbornik na	1,1954--	v.1(1954)-
Reviews in clinical and experimental hematology.	1,1997?--	no.5/6(1997),no.8(1999),;v.4(2000)- (Based on what is on shelf)
Journal of the American Osteopathic Association Contact (Geneva Switzerland)	1N1,Sep 1901-- N1,197?-- \$x some issues missing	v.1:no.1(1901:Sept.)- no.119(1991:Apr.)- 120(1991:June),no.141(1995:Feb-Mar)- 164(1999:Jan-Mar),no.166(1999:Jul- Sept)- (Based on what is on shelf)
Respiratory care	16N1,Jan/feb 1971--	v.16:no.1(1971:Jan-Feb)-
Who's who in medicine	4th-5th ed.	4th ed.(1978)-5 th ed.(1981)
Collected letters	Ser. 1-3; Jan. 1, 1960-Dec. 15, 1962	ser.1(1960:Jan.1)-ser.3(1962:Dec.15)
Advances in protein chemistry	v.1 (1944)--	v.1(1944)-
Quaderni di psichiatria	V. 1-17, N. 9/10; Apr.1914-Sett./Ott. 1930	v.1:no.1(1914:Apr.)- v.17:no9/10(1930:Sept-Oct)
Cogitare enfermagem : revista...	V.1, N.1 (Jan./Jun. 1996)-	v.1:no.1(1996:Jan-Jun)-
Cadernos RH saude	V. 1, N. 1 (Nov. De 1993)-	v.1:no.1(1993:Nov-Dec)-
Psycho- medical and surgical journal	v. 17-19, 20, no. 2 (1849-1851, Feb. 1852)	v.17(1849)- v.19(1851),v.20:no.2(1852:Feb.)
Geneeskundig tijdschrift voor Nederlandsch -Indie	v. 5 (1857)-7 (1859), 10 (1862)-15 (1873), 21 (1880)-49 (1909)	v.5(1857)-7(1859),10(1862)- 15(1873),21(1880)-49(1909)
Aerzteblatt fur Baden- Wuerttemberg	v. 11 (1956)-v. 12, no. 2 (1957), v.12, no. 4 (1957)-v. 16 (1961)	v.11(1956)- v.12:no.2(1957),v.12:no.4(1957)- v.16(1961)
Nuclear medicine communicatio ns	Vol. 1, no. 1 (Jan. 1980)--	v.1:no.1(1980:Jan.)-
Hospital & community psychiatry	Vol. 17, No. 1 (Jan. 1966)-V. 45, No. 12 (Dec. 1994).	v.17:no.1(1966:Jan.)- v.45:no.12(1994:Dec.)
International journal of circumpolar	Vol. 56, 1-2 (Apr. 1997)-	v.56(1997)- + v.56:suppl.1(1997)- v.57:suppl.1(1998),v.60:suppl.2(2001)- (Based on what is on shelf, gaps in

health American Child Health News	NOV. (1927)-JAN. (1932)	suppls.) 1927:Nov.-1932:Jan.
Kansai ikai jiho Hospital indicators	Oct. (1941)-Feb. (1942) Jan/dec 1977-Apr 1987/Mar 1988	1941:Oct.-1942:Feb. 1977:Jan/Dec-1987/1988:Apr-Mar
Report of the general superintenden t to the Executive Committee....	Feb. 1, 1864-Jan. 1, 1866	1864:Feb.1-1866:Jan.1
Berichte List of accredited health facilities at conclusion of...	1887-- 1987-Jan. 1, 1996.	1887- 1987-1996
Report of meeting	Some issues available	1953:May14,1956:May23,1957:Dec.11,1 958:May7 (Based on what is on shelf)
Educational media and technology yearbook	Last 3 years	Latest 3 years.
Science books & film	Last 5 years in the Reading Room	Latest 5 years in Reading Room.
Art of lasik Foundation Grants Index	Current year in the Reading Room Latest ed. in Reading Room	Current year in Reading Room. Latest edition in Reading Room.

SOW Appendix E: Analyzed Serial Titles

When the volumes of a serial (usually a monographic series) have distinctive authors and/or titles for each volume, analytic bibliographic records are often created to provide access to the author, title, or subject content of these volumes. The analytic bibliographic records are created as monographs. The call number for analytic records reflects the call number assigned to the serial title, either a W1, W2, or an NLM subject class number. Some of the analytic bibliographic records will be considered as officially cataloged by NLM (identified by the value AUTH in the \$a of the 999 field), while others will be brief records that will not be officially cataloged by NLM (identified by the value BRF in the \$a of the 999 field.). For the purposes of this inventory project, consider both the monograph records with 999 \$a AUTH and 999 \$a BRF to be analytic records for the serial. In the analytic record, the serial title can be found in \$a of field 440, 490, or 830, with the corresponding numbering for the analyzed volume in the subfield v. The decision as to whether a serial is analyzed is recorded in the series authority record.

In order to retrieve the series authority record, search the serial title using the Title Headings Search in Voyager. This search will also indicate how many analytic records are linked to the series heading. After retrieving the series authority record, examine the following fields:

- 060 NLM call number (If there is no 060 field in the authority record, then the series is classed separately and is not part of the inventory project.)
- 130 Series title (should match the title from field 130 or 245 of the serial bibliographic record)
- 644 \$a f (fully analyzed, i.e. every volume of the serial has an analytic record)
\$a p (partially analyzed, i.e. only some volumes of the serial have an analytic record)
\$a n (not analyzed – however, there are instances where there are analytic records for titles that have an “n” in the 644.
- 646 \$a c (classed together, using call no. in the 060 field)
\$a s (classed separately. If the series is classed separately, it is not part of the inventory project.)

When inventorying the volumes on the shelf, in many cases, the contractor will need to open the volume to find the serial title. The title can either be found on the analytical title page, which is the title page that lists the author(s) or editor(s) for that volume along with the distinctive title for that volume, or on the series title page, which is a page containing the series title (and, sometimes, a list of volumes published in the series) which precedes the analytical title page.

If the serial is fully analyzed, the item records should be linked to the holdings record for each analytic bibliographic record (i.e. the monograph record). If there is no item record for the volume, create an item record and link it to the holdings record for the analytic record. If the item record is linked to the holdings record for the serial, relink the item record from the holdings record for the serial to the holdings record for the analytic.

If the serial is partially analyzed, the item records for the volumes that have analytic records should be linked to the holdings record for the analytic. If there is no item record for the volume, create an item record and link it to the holdings for the analytic record. If the item record is linked to the holdings record for the serial, relink the item record from the holdings record for the serial to the holdings record for the analytic. If a volume of the serial is not analyzed, (i.e. there is no corresponding analytic bibliographic record for that volume), then the item record for that volume should be linked to the holdings record for the serial. If there is no item record for an unanalyzed serial, create an item record and link it to the holdings record for the serial.

Some analytic records reflect multiple parts that comprise the analytic. Examine the 300 \$a of the analytic record to determine if the work consists of multiple parts. If the work is complete, the number of volumes that comprise the work is indicated in the 300 \$a. If the work is not yet complete (i.e. there are still more volumes to be added to this record), there will not be a volume count given in the 300 \$a. For example, if the 300 \$a reads 3 v., there should be at least three items linked to the holdings record for the analytic. (There are cases where a volume of a serial may be published in two or more physical volumes.) If the 300 \$a reads v. (i.e. no number preceding the v.), then the work is not yet complete, and one or more item records will be linked to the holdings record for the analytic.

When creating the holdings statement for the analyzed serial, the 866 field should reflect all NLM holdings of the serial, both analyzed and unanalyzed, in a single holdings statement. For example, NLM has volumes 1-10 of a serial that has ceased publication. Volumes 3,5-6, and 8 are analyzed. The 866 field will indicate that NLM owns v.1-10.

When creating missing item records for an analyzed serial, the missing item record should be linked to the holdings record for the analytic, if the volume of the serial was analyzed. If the volume of the serial was not analyzed, the missing item record should be linked to the holdings record for the serial.

If there is a note in the 866 \$z of the holdings record for the serial, or in the 646 \$d of the authority record that some volumes in the serial have been cataloged separately (i.e. the volumes have been classed separately, each with their own call number rather than with the call number of the serial), do not create missing item records linked to the holdings record for the serial. Volumes that are cataloged separately are not part of this inventory project.

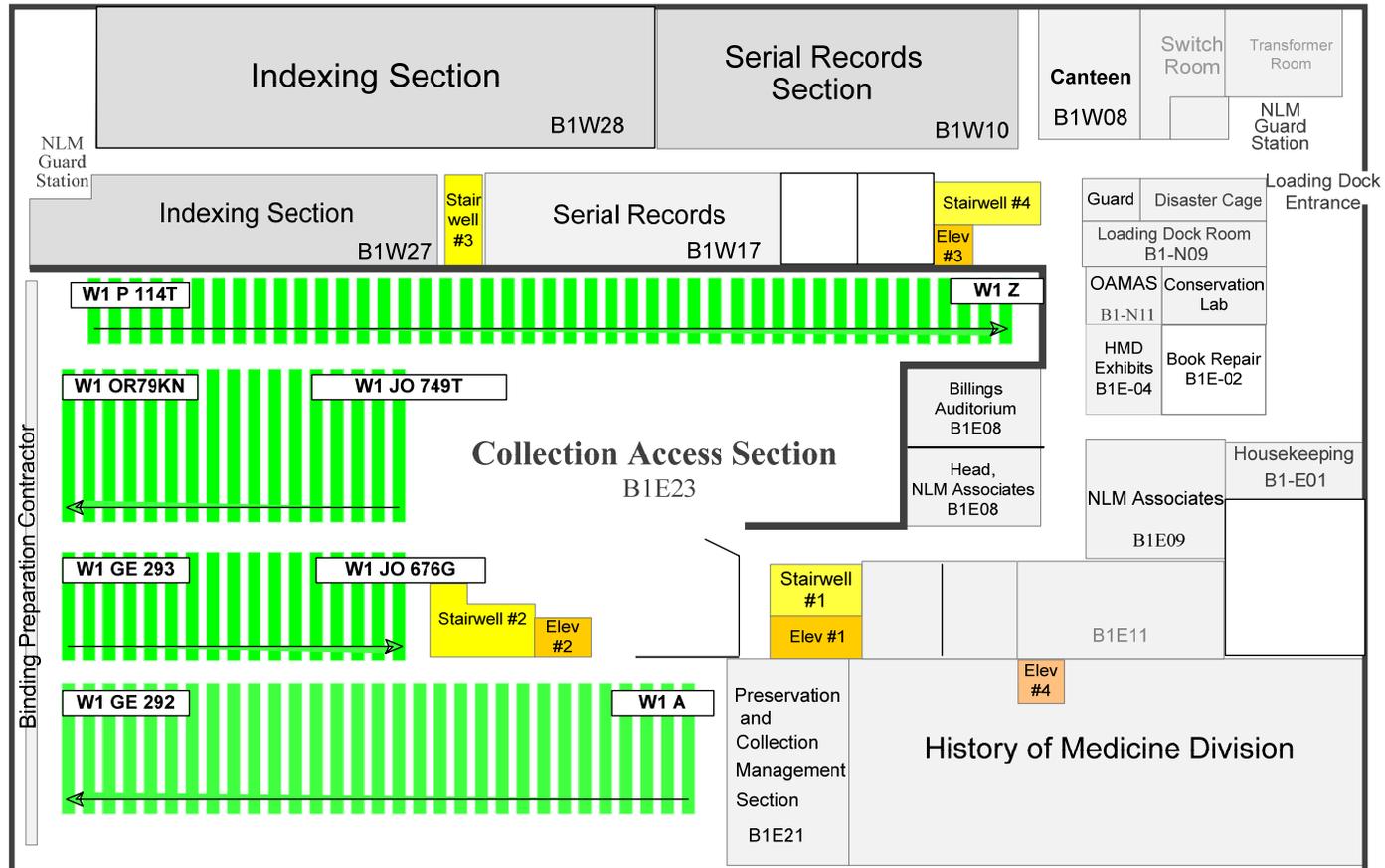
If any volumes of the serial that were analyzed are bound together, refer them to the Project Officer. The Project Officer will determine if these volumes should be bound separately.

SOW Appendix F – Floor Plans



B-1 Level

General Collection: Serials Published 1995* to Present



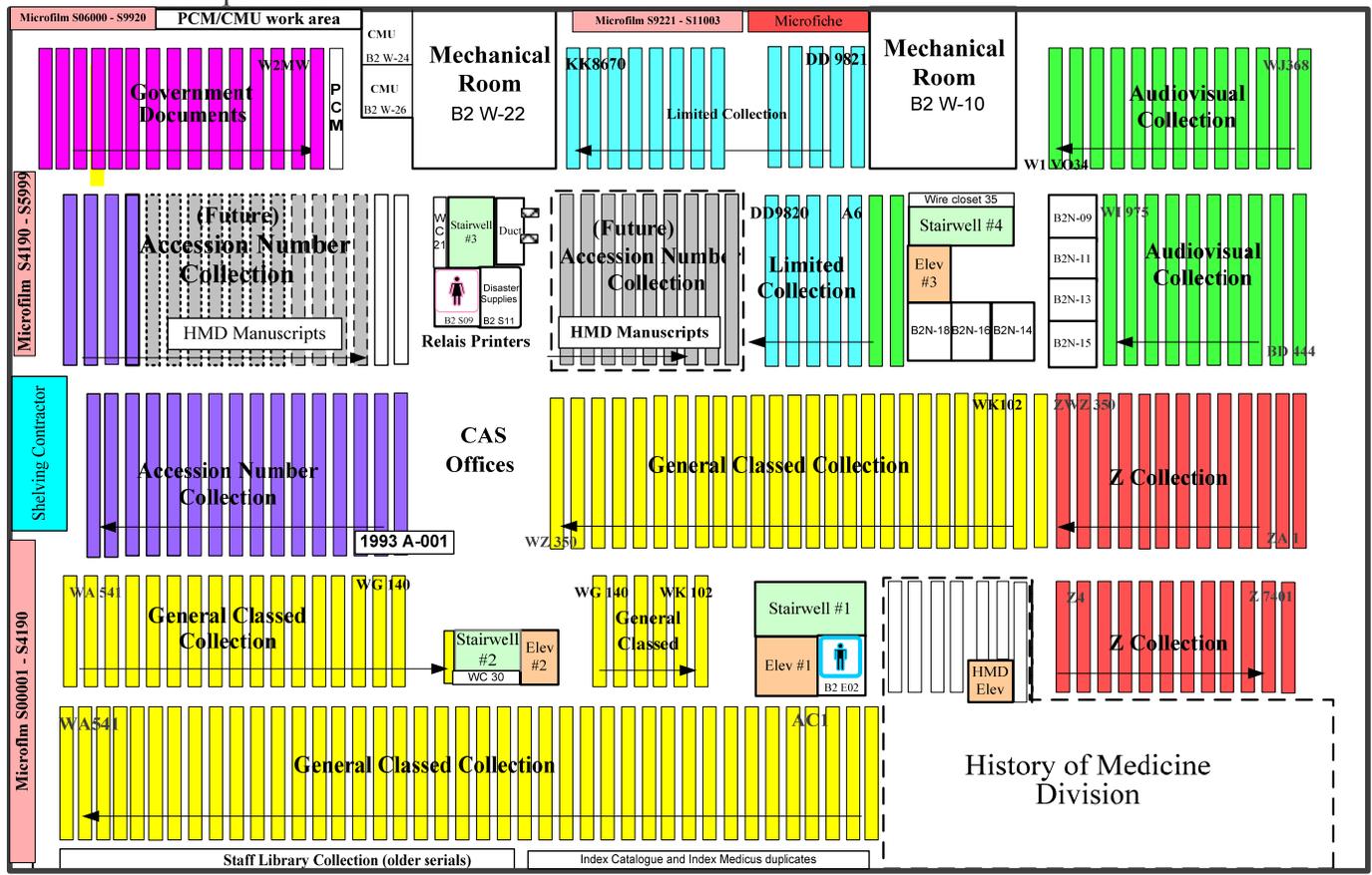
* after shift is completed by end of 2005 which involves moving the serials published 1990 through 1994 to B3 level





General Collection: Monographs, Audiovisuals, Abstracts & Indexes, and
1914 to present
Government Documents

B-2 Level

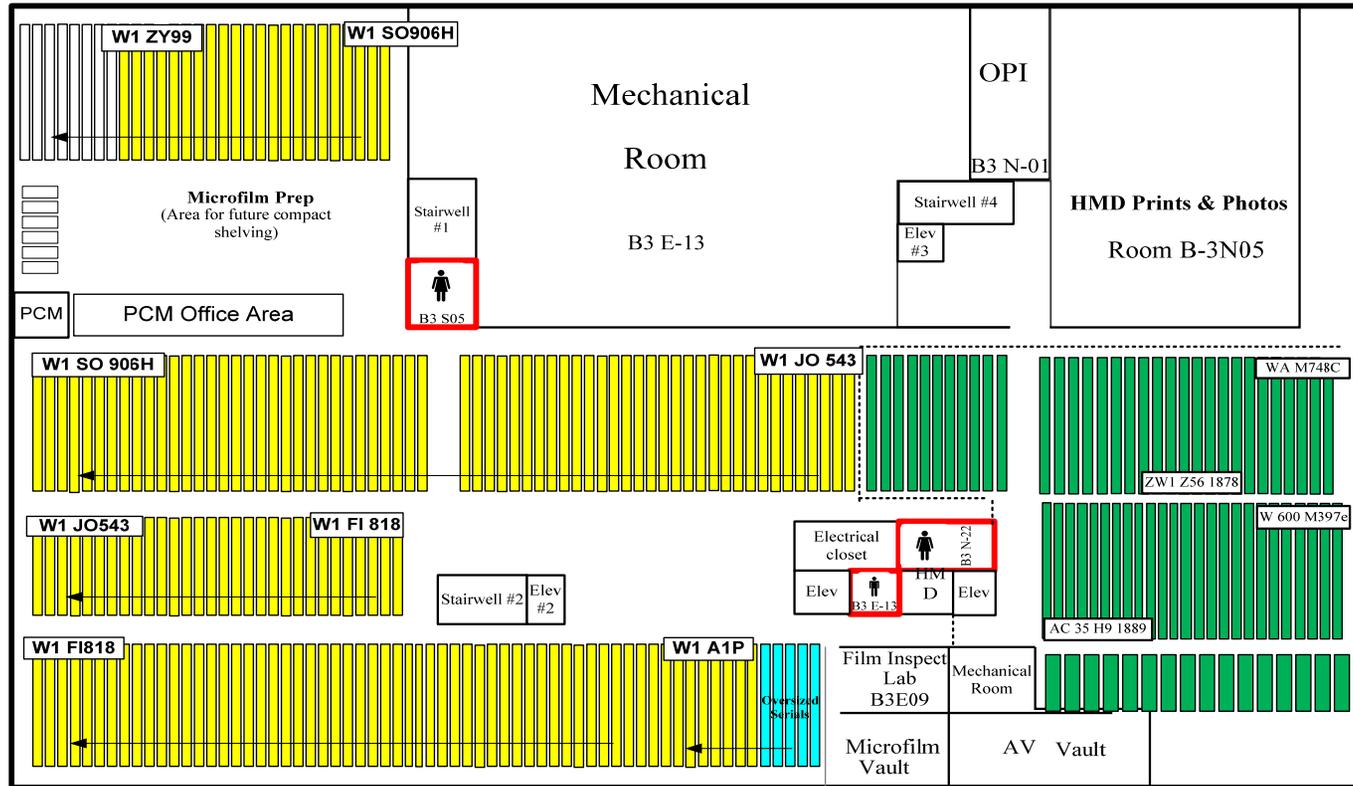


Oversized Monographs



General Collection: Serials Published 1871 to 1994*

B-3 Level



KEY: Yellow = General Collection
 Green = HMD Collection

(* once shift is completed at end of 2005)

SOW Appendix G : Special Handling Instructions for Collection Materials

All General Collection and HMD materials must always be handled with great care to avoid irreparable damage or loss of text. The following instructions should always be followed whenever General Collection and HMD materials are handled.

- X Immediately report to the Project Officer any water leaks in collection areas.
- X Volumes with any evidence of dampness, mold, mildew or insects should be delivered immediately to the Project Officer.
- X All collection materials should be handled with clean hands and in a clean work space.
- X Food or drinks are never allowed in the stacks. Never have food or drink placed anywhere near collection materials.
- X No rubber bands, metal paper clips or adhesives, such as tape or post-it notes, should be placed on or in any collection materials.
- X Except for oversize volumes, volumes should be placed on shelves in an upright position, spines facing out. No volume should ever be shelved on its fore-edge. After volumes have been retrieved or shelved, bookends should be adjusted so that the volumes are properly supported and will not lean. Volumes should not be shelved so tightly that damage to the spine results when they are retrieved from the shelf.
- X When volumes are removed from the shelves, each item should be grasped by the middle of the spine, not pulled by the headcap (the top of the spine) where they are most susceptible to damage.
- X Fragile materials must be handled with extreme care. Fragile volumes that are not boxed or tied and are in danger of falling apart shall be reported to the Project Manager.
- X HMD Volumes with detached covers (boards) shall be tied with cotton tape. If a volume is too brittle to be handled, or cannot be examined without causing additional damage to the volume, shall be referred to the Project Manager.
- X Use bookends on all shelves that are not completely filled. Ask the Project Officer for any additional bookends that are required to keep library materials from falling over while on the shelf. Use bookends on book trucks that are not completely filled with volumes to prevent items from falling over or off the book trucks.
- X Step stools should always be used whenever necessary to retrieve or shelve material on the higher shelves. Never step on or climb on the shelving because serious injury could result, and the shelves could bend or break causing damage to collection

materials.

- X Never take your feet off the floor when in the aisles of the compact shelving. The safety mechanisms for much of the compact shelving only work when feet are firmly on the floor.
- X Bring all broken step stools to the Project Officer.
- X Report all problems with the compact shelving or lighting in all stack areas to the Project Officer.