DALNET ACQUISITIONS AND SERIALS CONTROL STANDARDS COMMITTEE
Minutes - January 20, 1994

Present: B. Heath, H. Ma, M. Thomann, C. Wecker

Absent: J. Gilbert, A. Iveson, K. Zinterhofer

1. LSER Implementation

   C. Wecker reported that Release 5.1.1 is currently in test. It is
   expected that it will move to production by the end of February. At
   that time, Botsford can begin its implementation of LSER for its
   serials check-in.   C. Wecker and B. Heath will be testing LSER
   during the 5.1.1. test period.

   B. Heath referred to the University of Kentucky's excellent and very
   detailed report on LSER which was posted on the NOTIS Serials
   ListServ. She is making copies of it for those who do not subscribe
   to this list. It should prove helpful in our testing and evaluation
   of LSER.

2. May 1994 Acquistions and Serials Control Users Meeting

   After much discussion, the following is the "draft" agenda for
   the meeting to be held at Oakland University on May 5. The agenda
   will be "finalized" at our next meeting (February 10):

9:00- 9:30	Registration/Coffee
9:30-10:00	Welcome (to include remarks by B. Heath re: Committee, this meeting, Acquisitions/Serials overview (if there are participants not using the ·module) and Systems Office remarks by C. Wecker)
10:00-10:30	Receipt of U.S. government documents using NOTIS (reports from a few DALNET institutions)
10:30-11:00	LSER, including online demo of LSER by B.Heath, C. Wecker (and Botsford -- depending on Botsford stage of implementation)
11:00-11:30	Claiming and Binding (to include reports from a few institutions)
11:30-12:00	Standards for MARC Holdings and Enum/Chron fields
12:15-1:30	Lunch
1:30-	Question and Answer period (responding to questions sent in with registration materials, put in box at meeting, or from the audience)

   The Question and Answer period will be followed by a chance for staff
   who are responsible for "paying" on NOTIS to get together and talk
   about problems, concerns, solutions, etc.

   Oakland University staff will provide a tour of its Technical
   Services area, with emphasis on the Acquisitions/Serials portion of
   the operation, if desired by attendees.

2. 1994 Acquistions and Serials Control Users Meeting (continued)

A. Iveson will bring sample menus for the Oakland Room to the
next meeting for a decision regarding lunch (can be "served" or
buffet). Following finalization of this agenda at the February 10th
meeting, A. Iveson will develop registration materials to be
sent to DALNET libraries in the latter part of March

3. Revision of Committee's "Consistent Display of Acquisitions
Information in LUIS" document

B. Heath recommended the Committee review this document dated
February 9, 1990 for possible revisions. Though most of the
information is probably still correct, there are some necessary
modifications, e.g. change from volume holdings records to
MARC holdings records. (Document is included with Committee members'
minutes.)

4. Use of DALNET ListServ for alerting DALNET staff to duplicate
(available) serial issues

A. Iveson (in absentia) suggested DALNET libraries' staff use
email to inform each other of duplicate issues which could be
sent to interested libraries. The Committee thought this was
a good suggestion. C. Wecker will inform DALNET Project Managers
and encourage them to ensure that appropriate staff in DALNET
institutions subscribe to the List.

5. The next meeting will be held in C. Wecker's office on Thursday,
February 10 at 9:30.

Notes by Charlene Wecker
January 21, 1994

TO: PETER SPYERS-DURAN

FROM: DALNET ACQUISITIONS TASK FORCE

SUBJECT: CONSISTENT DISPLAY OF ACQUISITIONS INFORMATION IN LUIS.

DATE: February 9, 1990

Attached is the DALNET Acquisitions Task Force report on the final
charge you gave us: recommendations on "consistent display of
acquisitions information in LUIS." We have discussed this issue at
length because it is complex and has far-reaching implications for
all DALNET libraries.   DALNET libraries should follow the standards
detailed in this report.   These standards incorporate NOTIS,
ANSI/NISO, and locally developed standards.   Policy issues are
outlined below; for more detail, see the following report and
examples.

1.   The wording of Acquisitions-related system-supplied messages
that display in LUIS will be legislated by the DALNET Acquisitions
Task Force.   Operator-supplied messages that display in LUIS can be
worded as appropriate by the DALNET library; they should be clearly
understandable and avoid the unnecessary and confusing use of
codes.

2.   Provisional records for Acquisitions purposes can be of two
types: 1) temporary records intended to be upgraded by full records
upon cataloging; and 2) permanent records intended for payment and
receipt history.

3.   The order of the information displaying to the public from
volume holdings records for serials is as follows: "shelved as"
notes, holdings, other notes; for other types of publications the
order is: holdings, notes.

4.   Holdings statements on volume holdings records must be closed.

5.   Holdings statements on serial volume holdings records will be
formatted according to the ANSI Standard to be consistent with the
serials holdings loaded into NOTIS from the OCLC Serials Union List
tape.

6.   The Task Force reviewed NOTIS documentation on the conversion
of the current volume holdings record to the future MARC Format for
Holdings and Locations (MFHL) record.   The Acquisitions Task Force
recommends that DALNET libraries continue to format volume holdings
records for serials in a manner consistent with the volume holdings
records for the serials loaded into NOTIS from the OCLC Serials
Union List tapes.   This will ensure consistency in the MFHL records
created from the future conversion.

CONSISTENT DISPLAY OF ACQUISITIONS INFORMATION IN LUIS

There are two basic kinds of LUIS displays resulting from acquisitions records: 1) displays that are system-supplied and therefore identical in every library; and 2) displays that are operator-supplied and can vary from library to library. These displays are related to various processing codes used on the copy holdings, volume holdings, and order/pay/receipt records.

I.   DISPLAYS THAT ARE SYSTEM-SUPPLIED.

a.   "IN THE PRE-ORDER PROCESS." (pre-order status)
b.   "ON ORDER, NOT YET RECEIVED." (on-order status)
c.   "IN PROCESS. To have cataloged for your use, ask at
     circulation desk." (in-process)
d.   "THIS RECORD IS FOR STAFF USE." (staff processing record)

The first three messages are acceptable as they stand. We recommend that d be changed to THIS IS A STAFF PROCESSING RECORD because of the confusion the "staff use" message generates. This is a simple fix that a programmer can make at any time.

II.   DISPLAYS THAT ARE OPERATOR-SUPPLIED AND CAN VARY FROM LIBRARY TO LIBRARY.

A.   Messages from R statements on the Order/Pay/Receipt record.

R lines display in LUIS when serial type is p or n. They also display when the code on the Copy Holdings screen is 2I. R lines are temporary, so a certain flexibility can be allowed.

1) We encourage libraries to check in serials using NISO punctuation standards (see Example 1 at end of this report).
2) Libraries should remember that if they want R lines to display, serial type must be set at p or n.
3) Since, on records coded 2I, R lines will display in LUIS (both books and serial records), libraries should consider not using information like receiving staffs' initials or other internal information on these lines.
4) Libraries are encouraged not to use heavily-coded notes on these lines which could be confusing to users.

See examples 2-7 for R lines.

B. Volume Holdings records.

Volume holdings records in DALNET libraries can be created by staff
in various units. Both the Acquisitions Task Force and the
Database Standards Committee need to come to consensus regarding
standards for this record. The Acquisitions Task Force's
preliminary recommendations are listed below. Examples of Volume
holdings records currently in use are included at the end of the
report. See Example 1 for a Volume holdings display in LUIS.

1. Type of Information.

Volume holdings records will contain holdings and retention
information, and more specific location information than is
provided on the copy holdings record. In addition, notes can also
be used to refer the patron to another copy held by the
institution. Specifically, the following will be indicated on the
volume holdings records:

- Shelving title, if appropriate (can be qualified by volume
  and/or date) (Example 8)
- Holdings, including gaps and partially bound volumes (8)
- Shelving location of complete or partial runs (e.g.,
  Remote Storage, Index Table) (9)
- "Bound with" information (10)
- Incomplete volumes (9)
- Information regarding supplements and indexes, e.g.,
  specific volumes which have indexes, an indication that
  indexes are cataloged or bound separately, etc. (11)
- Retention patterns (12)
- Other copies in different formats (13)
- Volumes cataloged separately (14)
- How to retrieve circulation status for particular
  volumes (15)

Volume holdings records will sometimes include current receipt
information which would normally not display from an
Order/Pay/Receipt record. (16)

Any notes which will assist the user in locating the title or a
related title can be entered in this free text record. (17)

2. Order of Information

    For serial records:
        Shelving title(s), if unclassed
        Holdings
        Notes

   For other formats:
      Holdings
      Notes

3. Holdings Formatting/Captions:

    For serials records:

    Holdings will be formatted according to the ANSI Standard for
    Reporting Serials Holdings at the Summary Level, including
    the punctuation. This will be consistent with the serials
    loaded onto NOTIS from the OCLC Serials Union List Tape.
    Captions (i.e., designations such as v., pt., no., etc.)
    will not be used at the beginning of holdings statements.

    For other formats:

    Holdings should include captions. It is recommended that
    holdings be given in horizontal summary fashion, with an
    indication of gaps (e.g., v.1,3-5), rather than in a vertical
    fashion. This will prevent lengthy public displays. (15)

    Holdings for all formats of records will be closed with the
    last bound volume (e.g., 1-4), even if the item is still
    being currently received.

4. Wording of notes

    Wording of notes should follow the attached examples as
    closely as possible since DALNET patrons will be looking at
    volume holdings records from all libraries. Variations can
    be made, as necessary, to make notes appropriate for
    individual libraries. For serial titles, wording of notes
    will follow the established standard. Coded notes should be
    avoided for any information that displays to the public.

5. Public vs. non-public display

    In addition to information for the public, volume holdings
    records can include notes that will display only in staff
    mode. These will be preceded by: $a $a (2 spaces between the
    a subfields). Standardization of these notes is not
    necessary. (18)

C. Universal messages.

To date, all universal messages used by DALNET libraries for
Acquisitions purposes are of a temporary nature, e.g., "Title
change: for holdings see previous titles", "On approval for
review." Standardization among DALNET libraries is not necessary
for these temporary notes. Two recommendations relating to
temporary universal messages are: 1) Each specific universal
message should be viewed in LUIS to ensure that it makes sense to

patrons; and 2) Removal of these messages by the appropriate staff
in the DALNET library needs to be part of each library's
procedures.

Universal messages that are intended to remain permanently on the
copy holdings record are within the purview of the Database
Standards Committee rather than the Acquisitions Task Force.

D.   Content of provisional bibliographic records.

The Task Force feels that the issue of provisional records should
also be addressed by the Database Standards Committee since concern
about these records is related to both of our groups.

The Task force recommends the following:

1) A provisional record is either a) a temporary record intended to
be replaced by a permanent record upon completion of cataloging, or
b) a more permanent record used only for acquisitions processing.
A provisional record should look very different from a full,
permanent cataloging record.
2)   An example of 1a) is a provisional record input at time of
ordering when no OCLC copy can be found, or no copy exists on NOTIS
from which another record can be derived.
        a.   This type of provisional record will be upgraded to full
        cataloging when the material arrives.
        b.   On NOTIS:
            FORMAT will be whatever is appropriate for the
                type of material.
        ENC LEV: Leave default at 9.
        DATE: fill in for monographs; leave all others
                    at default character.
        AUTHOR: Check NOTIS bibliographic database to verify
                    form of name and that a duplicate record does
                    not exist.
        TITLE: SYSTEM-REQUIRED. Use exact title information,
                    omitting initial articles.
        EDITION: Use if it is applicable.
        IMPRINT: Use when available. Place is sometimes needed
                    for serials to distinguish one serial from
                    another.
        SERIES: Fill in if it can be easily determined.

3) An example of 1b) is a series record used for receiving and
paying only, the individual titles in the series being cataloged as
separates.
       a.   This type of record is not intended to be upgraded to full
cataloging. In fact, when creating a provisional record
of this type, do not use an OCLC record, even if you find
one. We want provisional records to look very different
from other kinds of records, and keying in brief records
ensures this.

NOTE: Libraries that choose to do double cataloging, i.e., full
cataloging for both the series/serial <u>and</u> the monographs in the
series/serial, will have a full cataloging record for the
series/serial. Receipt and payment will normally be done on this
record.

      b.   On NOTIS: FORMAT: Use serial format.
                       ENC LEV: Leave default at 9.
                                 Leave all other fixed fields at
                                 their default values.
                       AUTHOR: If an author is desired, check the
                                 NOTIS bibliographic database to verify
                                 the form of name.
                       TITLE: SYSTEM-REQUIRED. Use exact title
                                 information, omitting initial articles.
                                 (See also guidelines below for
                                 title-creation of billing records.)
                                 EDITION: If applicable.
                                 IMPRINT: Place is sometimes needed to
                                 distinguish one series from another.
             Everything else is optional.

When provisional records are created for series check-in and
payment, reference is made in the REF field on the OPR of the
individual monograph to the NOTIS p.o. number of the provisional
record.

NOTE: These records should eventually be coded for suppression in
LUIS.

E. Billing records.

A billing record is a provisional record with an order/pay/receipt
record attached that is created for acquisitions purposes only
(primarily for receipt and payment). This kind of record has no
true bibliographic entry, and is used for memberships, blanket
orders with a specific publisher or organization, etc. We
recommend that:

1) the title field of these records be enclosed in angle brackets
with each institution's symbol following the term chosen for the
title in parentheses. Each institution may choose a term for the
title such as "Billing record", "Payment record", or "Membership."
Example: <Payment record (OU)>.
2. each institution establish only one form of the title for its

billing records.
3. a billing record should be entered in the serial format. At a
minimum, it should have an author and a title field. It is not
necessary to fill out any fixed fields. The author will be
searched on the NOTIS bibliographic database to find latest correct
form of entry.
4. if it is desired, a note (940) field can be used to list serial
titles received on the billing record.
5. when cataloging is done for the titles received on a billing
record, the REF field should contain the NOTIS p.o. number for the
billing record. This indicates the record on which payments may be
found.

NOTE: These records should eventually be coded for suppression
from LUIS.

Examples of various types of billing records are attached to this
report as examples 19-21.

It is obvious, of course, that our recommendations assume a
thorough knowledge of cataloging and acquisitions work on NOTIS.
We intended in this report only to outline policies and procedures
dealing with Acquisitions records which display in NOTIS. If more
information about procedures is desired, NOTIS manuals should be
consulted, or the chair of the Task Force can be contacted.

Barbara Heath
Chair, DALNET Acquisitions Task Force
577-3983