

# SERIALS UNION LISTING MANUAL

**G O L D**

Georgia Online Database

4<sup>th</sup> Revised Edition, July 2001

**NOTE:**

**THIS MANUAL IS INTENDED AS A SUPPLEMENT TO**

**OCLC'S UNION LIST USER GUIDE\***

**(OCLC, DUBLIN, OHIO, c1994)**

**(<http://www.oclc.org/oclc/man/4141ulug/index.htm>)**

*\*Refer to OCLC Technical Bulletins for amendments to current practices as outlined in the guide.*

**FOR THE USE OF GOLD MEMBER LIBRARIES**

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# GOLD Serials Union Listing Manual

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# INTRODUCTION

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## ABOUT THIS MANUAL

This manual is an aid for librarians entering their serial holdings into the Georgia Online Database (GOLD). It is intended as a supplement to OCLC's *Union List User Guide*, (OCLC, Dublin, Ohio, c1994).

It is essential that persons creating and maintaining Local Data Records in the OCLC Union Listing subsystem familiarize themselves with the contents of the OCLC manual. The *GOLD Serials Union Listing Manual* is not intended as a replacement for that document. It includes the decisions made by the GOLD Serials Committee on choices that may be required when entering serials holdings information.

If a situation is encountered that is not covered by this manual or the OCLC documentation, the Serials Committee should be contacted. To ensure the quality of the database, the serial in question should not be entered until a decision has been reached. A list of current members of the Serials Committee and their contact information is available at the GOLD website (<http://www.public.lib.ga.us/pls/gold/>). The Serials Committee meets at least twice a year to review any problems that need to be resolved or to take under consideration any recommendations made by members. A copy of the guidelines under which the Serials Committee operates may be found in Appendix I, or at the GOLD website.

## HISTORY

Interlibrary loan has long been a top priority for Georgia librarians. Since the formation of the Georgia Library Information Network (GLIN) in 1969, public, academic, technical college, school, and special libraries have worked

together in sharing their resources. GLIN, located at the Division of Public Library Services, coordinated the interlibrary loans between these different types of libraries.

Plans for the formation of the Georgia Online Database (GOLD) began in December of 1987, when the Online Computer Library Center (OCLC) proposed the formation of a Georgia database using the records which Georgia members of the Southeastern Library Network (SOLINET) had already input into the system.

In November of 1988, GOLD went online with a database of over six million Georgia holdings. By January of 1995, the union list had over eight million records. Over 190,000 serial holding statements have been entered by member libraries as a part of the GOLD Serials Union List.

GOLD was developed to make interlibrary lending easier and faster and to spread the interlibrary loan burden more equitably among member libraries. Under the old GLIN system, only full SOLINET members were called upon to loan their materials since they were the only libraries who had their holdings listed on an accessible database. This meant a handful of libraries were performing 97 percent of the interlibrary lending in the state.

By batchloading the holdings of selective users, the interlibrary lending burden is more evenly distributed. GOLD gives even the most remote communities access to the same materials as those in metropolitan areas.

For information about GOLD membership requirements and responsibilities, see Appendix II.

## **WHAT IS GOLD?**

GOLD is a group access capability (GAC) through OCLC. A GAC is a subset of the OCLC database in which both full members and those who are not full members (called selective users) can participate. GOLD is used for interlibrary lending and union listing. It cannot be used for cataloging.

Full OCLC members may log on to any of the over 218 GACs which exist and view the holdings of these groups. Selective users may only log on to GOLD and the Southeastern Library Information Network (SoLINE) and view the holdings of these groups. See below for additional information on SoLINE.

Currently, 217 GOLD-member libraries conduct their interlibrary lending electronically over the OCLC system rather than completing cumbersome paper forms. These libraries search the database to find the locations of libraries owning the needed items. An ILL workform is electronically completed and sent to these potential lenders.

## WHAT IS SoLINE?

The Southeastern Library Information Network (SoLINE) became operational in January of 1990. SoLINE is a group access capability, but where GOLD includes just Georgia libraries, SoLINE includes libraries in ten southern states and the Caribbean. It is a larger database than GOLD since it includes the selective user holdings and union list holdings for participating libraries from all of these states.

Upon joining GOLD, libraries are asked if they want to join SoLine. The only additional cost to participate in SoLINE is a small fee for initial profiling.

**(Note:** The terms "Full OCLC member" and "Selective OCLC member" are interchangeable with "Governing SOLINET" member and "Affiliate SOLINET member," respectively. For the purposes of this manual, the OCLC membership terminology of "Full OCLC member" and "Selective OCLC member" will be employed as the manual is a supplement to OCLC documentation.)

The SoLINE database is substantially different from that of OCLC's regular online system since many selective users in Georgia and other states have entered their serials holdings into OCLC's Union Listing subsystem and batchloaded their other library holdings. The SoLINE database greatly increases the number of potential lenders to Georgia libraries.

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## CHAPTER ONE:

# GENERAL INFORMATION

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### ABOUT OCLC

The OCLC online system is comprised of three main subsystems. These are:

- ❑ Cataloging (CAT)
- ❑ Interlibrary Loan (ILL)
- ❑ Union List (ULS)

For the purpose of the serials union list, participants will be using the Union Listing subsystem to ENTER or UPDATE the holdings information and the Interlibrary Loan subsystem to BORROW or VIEW holdings.

*It is possible to view detailed bibliographic information from within the Union List subsystem. Except for full members wishing to catalog their serials, it should NOT be necessary to use the Cataloging subsystem.*

### RESOURCES FOR REFERENCE

In addition to OCLC's *Union List User Guide* (c1994), it may be helpful to obtain copies of other OCLC manuals. *Searching for Bibliographic Records* is a comprehensive reference manual for searching OCLC's WorldCat. The *Interlibrary Loan User Guide, 2<sup>nd</sup> ed.*, gives information specific to ILL procedures. To order OCLC documentation, use the Publications Order form, which is available from SOLINET. Most documentation is now also available via the OCLC website:

*Union List User Guide* =

<http://www.oclc.org/oclc/man/4141ulug/index.htm>

*Searching for Bibliographic Records* =

<http://www.oclc.org/oclc/man/9798sbr/frtoc.htm>

*Interlibrary Loan User Guide (second edition)* =

<http://www.oclc.org/oclc/ill/guide/index.htm>

The GOLD website (<http://www.public.lib.ga.us/pls/gold/>) provides additional information including this manual, a FAQs page, forms in PDF format, and a tutorial.

## AUTHORIZATIONS

To access any of the OCLC subsystems, an authorization number and password must be obtained for your library. Authorization numbers for online access are obtained from SOLINET or are available online at <http://www.oclc.org/app/sysacc/header.cgi>, by completing an OCLC *Access and Authorization* form. Libraries may request a different authorization number for each subsystem, or a "customized" authorization number. Depending on in-house procedures, a library may prefer to have a single authorization number for access to all subsystems. This would allow users to change subsystems, without having to log off the system.

Selective users of GOLD are able to access only the ILL and the Union Listing subsystems. For detailed information about authorization modes and step-by-step instructions on how to log on and off, see Section 2 of OCLC's *Union List User Guide*.

## ILL vs. ULS

Once a library's holdings are entered into the OCLC system through the Union Listing subsystem, the information contained in both the Interlibrary Lending subsystem and the ULS is the same, but it is viewed in different formats.

In the ULS, the Local Data Record (LDR) is created, edited, and maintained. Serials cannot be borrowed through the ULS, only through the ILL subsystem.

In the ILL subsystem, the serial can be borrowed. It is a "user friendly" record without the "tagged" fields of the ULS record.

The union list display commands work in either subsystem. For detailed information on retrieval options, select commands, displays, and search results see Section 3 of OCLC's *Union List User Guide*, or Part 1 of OCLC's *Interlibrary Loan User Manual (2<sup>nd</sup> ed.)*.

## **CHAPTER TWO:**

# **GETTING STARTED**

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### **OFFLINE PREPARATION**

Most of the work of union listing serials is done offline. Actual online work will compose only about 25 percent of the project. The most labor-intensive portion is the completion of an inventory of the serials holdings of the library. This inventory is the first step in the union listing process and should be very specific, including the years and volumes the library owns of each periodical title and noting any title changes. If multiple copies or formats of one title are owned, the specific holdings for each copy or format should be noted.

### **USING WORKFORMS**

To ensure uniform entry of data into the Union Listing subsystem, all GOLD participants are encouraged to fill out a paper workform, BEFORE going online. Clerical staff can then use the paper workform to enter data online into the Union Listing subsystem. This will reduce the library's telecommunications costs to enter its serial holdings into the system.

Even if a library outsources their union listing to an agent for entry of holdings, the Serials Committee recommends that these workforms be completed so that holdings are accurately reported and any problem situations are addressed BEFORE inaccurate information is entered into the system. A list of agents may be obtained from GOLD or SOLINET.

Two sample workforms, one for local use and one for use by an agent, are provided in Appendix III. Guidelines for using these workforms are included. The workform may be duplicated as needed. (Hint: When using the workform for agents, fill in the institution's name and OCLC symbol before duplicating the form to reduce redundancy).

Once an inventory is completed and workforms have been filled out, the library is ready to go online. The purpose of all the laborious offline preparation is the creation of the Local Data Record (LDR) in the Union Listing subsystem (ULS). Completing the workform will provide all the information necessary to create an LDR, including the OCLC record number of the bibliographic record to which the LDR will be attached.

## CHAPTER THREE:

# NAVIGATING THE UNION LISTING SUBSYSTEM

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### WORKING ONLINE: CREATING A UNION LISTING SESSION

If your library has not union listed before, a union listing session must be created to access the Union Listing subsystem in OCLC. Instructions for creating a union listing session are available in Section 2 of OCLC's *Union List User Guide*.

### SEARCHING THE UNION LIST SUBSYSTEM

#### SEARCH OPTIONS

When you first log on to the Union List subsystem (ULS), the system default mode will retrieve only records with your library's symbol attached, unless you use a numeric search such as an OCLC #, ISSN or ISBN search. To change search options, access the Set Select display screen (**set sel <F11>**), and select a search retrieval option (e.g., **gl\$d**, **sl#n**, **oluc**). You may enter **sho sel <F11>** from any screen to check the current search option selected.

Exception: When the scan title feature is used, the system will ignore the selected retrieval option and search the entire online catalog. Refer to section 3 of OCLC's *Union List User Guide* for more information on the set select search options.

#### SEARCHING HINTS

The most economical method of searching the online union catalog is to use a numeric search key, such as the OCLC bibliographic record number, or the ISSN. Since search keys for number indexes are more likely to retrieve specific records or displays, try this type of search key first

(if possible). The OCLC record number is the most specific search. If available, the offline products of the GOLD Serials Union List (Georgia Libraries Journal List available in GALILEO) may be searched to identify titles and obtain the OCLC record numbers. If a title is not included in the offline product, it may be helpful to utilize other serial list sources to obtain the ISSN for a title. Directories such as Ulrich's International Periodicals Directory (R. R. Bowker, New Providence, NJ), The Serials Directory (EBSCO Publishing, Birmingham, AL), and Serials in Microform (University Microfilms, Inc., Ann Arbor, MI) often include the ISSN and other publishing information for serial titles. Also, the ISSN and/or CODEN is often given in the publishing information on the item itself.

If numeric information is not available for a title, it will be necessary to search the database using a derived search key, a keyword, scan, or command search. Refer to OCLC's *Guide to Searching Bibliographic Records* for specific searching information.

## QUALIFIERS

The use of qualifiers is especially helpful when searching serial titles online. The number of bibliographic records that match a search key may be restricted by type of material (e.g., serial, year(s) of publication, or both.) A forward slash is entered as a separator between the search keys and the qualifier. For example, a derived search key (3,2,2,1) for the title Small Computers in Libraries could be entered as:

sma,co,in,l/ser

More than one search qualifier may be used. For instance, if an approximate start date of a publication is known, a date qualifier may be entered as well. To search a title from 1980 forward:

sma,co,in,l/ser/1980-

See sections 3 and 5 of OCLC's *Guide to Searching Bibliographic Records* for more information on using search qualifiers.

The following tables summarize the use of search qualifiers:

Qualifier	Definition
mix	Mixed material
ser	Serials (any type of material cataloged as a serial, except map and computer file serials)
mf	Microform (books, serials, archives and manuscripts control, and scores formats)
nm	Not microform
com	Computer files/ Machine-readable data files (monograph, collection, or serial)
bks	Books (monograph language materials, printed or microform)
map	Maps (printed, manuscript, or microform: monograph or serial)
vis	Visual materials
sco	Musical scores (printed, manuscript, or microform; single or collection)
rec	Sound recordings (musical or nonmusical; single or collection)

Date Qualifier	Definition
1988	Single year
198?	Decade, for example, 1980-1989
19??	Century, for example, 1900-1999
1980-	Single year and all later years, ex: 1980 to present
-1970	Single year and all earlier years, ex: up to and including 1970
1980-8	Inclusive span of years, ex: 1980-1988, inclusive.
1970-83	Inclusive span, 1970-1983
1889-1920	Inclusive span, 1889-1920 ( <i>Note: Also permissible as 1889-920</i> )
????	No date of publication; or Date 1 contains at least one "u" or it contains fill characters (Search Key searches only)

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## CHAPTER FOUR:

### SELECTING A RECORD

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In selecting bibliographic records to attach holdings information to, the general rule of thumb is to use records other GOLD participants have utilized.

In the past, libraries have used the microfiche or CD-ROM copy of the Georgia Union List of Serials to obtain an OCLC number. Now, libraries may consult the Georgia Libraries Journal List (GOLD), a database available using GALILEO (Georgia Library Learning Online). Check the offline product or the Georgia Libraries Journal List (GOLD) database and complete a workform BEFORE going online. This will save on communications costs by shortening online searching time.

If no member of GOLD has selected a record, search the entire online union catalog (WorldCat). To search all of OCLC's WorldCat, use the *set sel oluc* command at the home position in the Union Listing subsystem. Use the following guidelines to determine the record that best matches the library's holdings:

- a.) **Type and Form** - The serial in hand must be matched with the bibliographic record for the correct medium. For example, if the item in hand is the original print version, the value in the "Form:" field must be a blank. If the item is in microfilm, the value must be "a." OCLC allows for two exceptions to this rule: reprints and nonbook reproductions.

The GOLD Serials Committee has decided upon the following guidelines in selecting a record in these exceptional situations.

The preferred method for entering reprints is to use the record for the original print version ("Form: *blank*"). When selecting between records for different physical formats:

- (1) If the library owns only a paper version of a periodical, use the record for the paper version ("Form: *blank*")
- (2) If the library's holdings are a mixture--part paper, part other format--it has the option of placing the holdings on one record or splitting them: paper on paper, microform on microform, etc. If the decision is made to use one record, the Committee recommends that holdings be attached to the record for the paper version ("Form: *blank*").
- (3) If the library owns only a nonbook version of a periodical, the choice of record depends on whether they normally keep all versions on one record or normally split them.

For more discussion, including examples, of reporting mixed holdings see the section on *Reporting Nonbook Formats* later in this manual.

**b.) Bibliographic Level ("BLvl")** - Only serial records ("BLvl: s") can be used for union listing. While it is possible for an individual issue to be cataloged as a monograph or a serial title to be incorrectly cataloged on a monograph workform ("BLvl: m"), these records cannot be used for union listing.

**c.) Successive Entry ("S/L")** - Only successive entry records are acceptable for union listing ("S/L: 0"). Latest entry ("S/L: 1") should never be used. If a record contains one or more 247 fields, the record is probably latest entry cataloging.

**d.) "Dates:" and 362** - The beginning and ending dates for a publication are recorded in these two fields if they are known. If the serial is still being published, an open date will be indicated in one or both places. Both of these fields can help to determine

- (1) if a title has ceased publication;
- (2) when a record has been closed because of an entry change;
- (3) where a record fits in a series of successive records;
- (4) which of a number of publications with similar titles matches the library's holdings.

When comparing in-house records to the online record, the 362 field is most helpful in determining a match. The 362 field is a very important source of information when formulating the holdings statement. In most instances, the subfield ‡v and/or subfield ‡y of the holdings statements in the LDR should parallel the 362 statement of the bibliographic record.

e.) **042** - An authenticated record is one that has an 042 field containing at least one of the following symbols from a center of responsibility:

lc	Library of Congress
nlc	National Library of Canada
nsdp	National Serials Data Program
isds/c	International Serials Data Systems

Once a record has been authenticated, it is considered the final bibliographic authority for that serial title. Authenticated records should be selected over unauthenticated records. Once a record has been authenticated, the symbol of the authenticating center is entered in the 042 field. Note that records with "XLC" in the 042 field have been rejected for use by the Library of Congress because they do not consider the title to be a serial at all.

f.) **040** - The 040 field contains the OCLC symbols of those institutions that have contributed information to the online record. When selecting among multiple records, a record with an 040 field containing the symbols of CONSER institutions is always preferred. See Appendix V for a list of CONSER members and their symbols.

g.) **245** - Obviously the title must match the 245 field. Remember that a number of title fields are indexed in addition to the 245, which may result in the retrieval of related records with different 245 fields from the piece in hand.

h.) **260** - The 260 field contains the imprint information, and will help to distinguish among several titles with similar names but different places of publication and publishers.

i.) **780 and 785** - In a successive entry record, the 780 field contains the earlier entry under which the serial was published; the 245 field contains the title under which the serial, as described on the record, was published; the 785 field contains the entry under which subsequent volumes of this serial were published.

The 780 and 785 fields may also contain the LCCN, ISSN, or OCLC number for that title to aid in locating the various parts of the successive entry set. The presence of 780 and/or 785 fields should alert the user to entry changes that may not be indicated in the library's own records. These two fields may also help in determining which records are needed to encompass the range of holdings for that set of titles.

If a selective user does not find a bibliographic record when searching the entire OCLC WorldCat database, a Local Data Record (LDR) cannot be created, since a cataloging record must exist in order to create an LDR. Unless

the selective user can find a full OCLC member willing to catalog the title, the selective user will not be able to create a Local Data Record for it.

## CHAPTER FIVE:

# CATALOGING

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**NOTE:** *This section will not pertain to selective users* since they do not have access to the Cataloging subsystem. Only full OCLC members may access this subsystem. The cataloging of serials is NOT a condition of union listing.

1. The creation of a Local Data Record causes the attachment of the institution's OCLC symbol to the master bibliographic record for resource sharing purposes. However, it does NOT write a copy of the bibliographic record to the institution's archival tape. This process may only be accomplished in the Cataloging subsystem.
2. Bibliographic records cannot be edited in the Union Listing subsystem. They may only be edited in the Cataloging subsystem.
3. If an institution intends to participate in a union list group AND to catalog serials, the Local Data Record should be created on the Union Listing subsystem first. After the Local Data Record is created and the OCLC holdings symbol is attached to the bibliographic record, any work performed on the bibliographic record in the Cataloging subsystem is considered subsequent use of the record and is non-billable activity.
4. An institution should be concerned about archival tape copies of serial records only if the staff of that institution edits the master bibliographic records for local purposes.

The following chart summarizes what actions may be performed in each subsystem.

<b>ACTION</b>	<b>ULS</b>	<b>CATALOG</b>
Attach or remove OCLC holdings symbol	YES	YES
Write bibliographic record to archive tape	NO	YES
Generate catalog cards	NO	YES
Create or edit LDRs	YES	NO
Delete LDRs	YES	NO
Write cancellation of bib. record to archive tape	NO	YES

## CHAPTER SIX:

# ANATOMY OF A LOCAL DATA RECORD

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### EXAMPLE OF AN LDR

The following is an example of an LDR:

```
LDR: 7430298          Date Modified: 19951012
The ACTFL review of foreign language education.
ISSN: 0091-2476  CODEN:   OCLC no: 1786781  Frequn: a

▶  Hld lib: GSUU      Copy:   Hld type:  a  Phys form: ta

▶  1  CLNO  P10 #b .B7
▶  2  SCHD   #d 19951012 #g 0 #e 5 #f 8 #v v.4-v.7 #y 1972-1975
▶  3  SIHD   GSU #d 19951012 #g 0 #e 5 #f 8 #v v.4-v.7 #y 1972-1975
```

The first three lines of the local data record are the serial identification area. This information is supplied by the OCLC system from the bibliographic record.

The next area of the LDR is the fixed field. It contains four parts:

Hld lib: The default holding library code assigned to your library by OCLC. It is supplied at the **wfh** command; nothing is supplied at the **new** command.

Copy: (Optional) Locally assigned alpha-numeric designation no longer than 4 characters. May be left blank. If there is more than one copy, as in the case of multiple branch libraries, the institution has

the option of creating a separate LDR for each copy. Reporting multiple copies is advantageous to a library ordering an offline product of their serial holdings.

Hld type: 1-character code indicating level of holdings statement. Defaults to "a" (summary holdings.)

Phys form: 2-character element designating the physical form of the bibliographic unit.

**zu** = Unspecified (the default); edit to change to one of the following:

**ta** = Text, regular print

**hd** = Microfilm reel

**he** = Microfiche

**zz** = Other physical media

For other codes see the OCLC *Union List User Guide*.

The third area of the LDR contains the variable fields:

CLNO: (Optional) A library with a classified serials collection may wish to enter call numbers in the LDR.

SCHD: This *copy specific* holdings field must be completed. ("Copy" in this context means the whole run of a title, not one issue.) The SCHD contains the following fields:

**‡d** = date or report. System supplied

**‡g** = completeness code. System defaults to **0**, meaning the information is not supplied *or not applicable* (i.e., more detailed information is supplied)

**‡e** = acquisitions code. System defaults to **0** meaning the information is not supplied or applicable. Enter one of the following values in this field:

**4** = currently received

**5** = not currently received

**‡f** = retention code. System defaults to **8**, meaning the serial is permanently retained. Other possible values are:

**0** = data not supplied or data element not applicable

**6** = Retained for a limited time or only a few issues retained

**7** = Received but not retained

**‡n** = Notes. Free text; see approved list below.

**‡v** = Enumeration data. Generally the highest level of enumeration used by the publisher. See below for more information on entering enumeration data.

**‡y** = Chronology data. Generally the highest level of chronology used by the publisher. See below for more information on entering chronological data.

SIHD: The *institution specific* holdings field summarizes holdings for all copies held by the institution. If there is only one copy, the SIHD is identical to the SCHD field. In this case it can be automatically generated from the SCHD when the LDR is first created. If there are

two or more copies, the SIHD must be edited to show the full range of holdings. Hint: If multiple LDRs must be created for a single bibliographic record, create the record for the most extensive copy first. Use the **new** command to pull up a workform for the second LDR. It will have the SIHD field already filled in. If the addition of the second LDR changes the institutional holdings, edit the SIHD as needed. Changes in the SIHD on *any* LDR will be reflected in *all* LDRs attached to a single bibliographic record.

PRES: This is an optional field for recording preservation data.

## NOTES (‡n)

Notes (‡n) may be added to or substituted for enumeration and chronology data. Do not use local notes, such as "Library use only" or "Shelved in Reference section." Information already supplied in the bibliographic record (MARC tag 515) should not be entered in the notes field (e.g., volume numbering began with Vol. 3). All notes should be brief and clear to keep the union list easy to use.

Note that the terms "current" and "latest" have been linked by OCLC to the frequency of the publication. If the publication is published more frequently than annually, the term "current" shall be used (e.g., Retains current 6 months). If a title retained for a limited time is an annual or yearbook, the term "latest" is used (e.g., Retains latest edition).

If a library holds a serial title in CD-ROM format only, and reports the holdings on the bibliographic record for print, a note may be entered to indicate the format. (e.g., CD-ROM format). If the CD-ROM product is "text only" and does not include full image reproduction, a note should be entered to indicate the lack of illustrations. (e.g., Text only CD-ROM).

If a copy is comprised of both paper and nonbook formats, a consolidation of the enumeration and chronology data may be entered in the "Total Holdings" area. The "total" note is a special note indicating holdings of all formats of the copy, followed by holdings information for each nonbook format represented. The pattern for reporting mixed formats is as follows:

[Total=enumeration chronology. Nonbook format=enumeration  
chronology completeness designator, acquisition status designator,  
retention policy designator]

A "Total" holdings note should be enclosed in square brackets, and entered after any retention notes or other free-text notes when present.

Note: A library may choose to attach holdings of each format held to the appropriate bibliographic record. (i.e., The print record is used to report print holdings; the microform record is used to report microform holdings, etc.). See

the section on *Reporting Nonbook Formats* for more detailed information, examples, and options for reporting mixed physical format holdings.

Following is a list of authorized notes. Variations on these will occur based on the individual library's circumstances and the terminology it uses.

- Retains current 6 months.
- Retains current year.
- Retains latest 3 years.
- Retains current 5 years.
- Retains latest edition.
- Retains latest edition received.
- Retains only current issue.
- Retains only current 3 months.
- Kept up-to-date by pocket parts.
- Kept up-to-date through [date].
- Retained in paper until microfilm (microfiche, etc.) received.
- Current issues retained until annual (or whatever) cumulation received.
- Scattered holdings.
- Scattered holdings for volume 2.
- Holdings for volume 3 are incomplete.
- CD-ROM format.
- Text only CD-ROM.
- [Total=v.1- 1965-. Microfilm=v.5-v.8 1970-1973 0,5,8. Online=v.26- 1996-0,4,8.]
- Not available for ILL.
- Online not available for ILL.
- Online coverage ends 5 years prior to the current year.
- Retains current 3 years until available online.\*

## **ENUMERATION (‡v) AND CHRONOLOGY (‡y)**

In reporting enumeration and chronology, note the following:

- Some titles may have enumeration only or chronological designations only. If both are present, list all enumeration data first followed by all chronology data. Subfields ‡v and ‡y are not repeatable.
- Use Arabic numbers only.
- If the volume designation includes an alphabetic character, use upper or lower case as they appear.
- Do not contract years (i.e., use "1988/1989" not "1988/89").
- Include enumeration captions (abbreviations) as required by the ANSI Z39.71-1999 standard, repeating captions after hyphens and using the shortest captions listed in Appendix B of AACR2 (e.g., v.5-v.12).
- Report 2 levels of enumeration only if necessary to prevent ambiguity. (Note that 2 levels of enumeration do not require 2<sup>nd</sup>-level chronology.)

See Section 7 of OCLC's *Union List User Guide* for more detailed information on recording enumeration and chronology data. Below is a list of standard punctuation to be used in serial holding statements.

- **Hyphen:**  
indicates an unbroken range of holdings, or a full range of holdings from a specified year or volume to date (e.g., v.1- 1963- ).
- , **Comma:**  
Used to show a gap in a range of holdings (e.g., v.1-v.3,v.5-1963-1965,1972- ).
- ; **Semicolon:**  
Indicates a non-gap break when a numbering change occurs (e.g., v.1-v.2; no.15- ).
- : **Colon:**  
Used to separate the first and second levels of enumeration (e.g., ser.1:v.1- ).
- / **Slash:**  
A connector between notations that forms a single entity, as two years that form a single period of coverage or a double volume (e.g., v.1/2 or 1965/1966).
- ? **Question mark:**  
Shows an unknown quantity in a date. Use mark only as the last digit. May not be added to a date to qualify it (e.g., 198? not 1981?).
- = **Equal sign:**  
Used in mixed format holding statement (e.g., [Total=...]).
- [ ] **Square brackets:**  
Used to enclose mixed format holdings statement.

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## CHAPTER SEVEN:

### REPORTING NONBOOK FORMATS

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#### NONBOOK FORMATS

The national standard for cataloging still specifies that a separate record should be used for each version (microfilm, microfiche, CD-ROM, paper, etc.) of a title. Many GOLD participants would prefer to use a single record for each title. The GOLD Serials Committee has agreed on a compromise to this rule to relieve libraries who are full OCLC members from the necessity of re-cataloging many of their online entries. With the advent of electronic journals CONSER acknowledged the value of the "single record approach" in their interim guidelines. If the library owns only a paper version of a periodical, they will use the record for the paper version. The following criteria apply when entering holdings for nonbook formats:

1. If the library has mixed holdings, it has the option of attaching holdings to one record or splitting it as appropriate.
2. If the library chooses to follow the single record approach, the committee recommends that holdings be attached to the record for the paper version.
3. If the library owns only a nonbook version of a periodical, the choice of record depends on whether they normally keep all versions on one record or normally split them.

If the library chooses to use one record, a composite holdings statement should be inserted in the notes field (\$n) in a "total" holdings note. Information about the non-book format will be included in square brackets in the following order:

[Total=enumeration chronology. Nonbook format=enumeration chronology completeness designator, acquisition status designator, retention policy designator]

Appears in union list as:

[Total=v.1- 1965-. Microfilm=v.5-v.8 1970-1973 0,5,8]

#### EXAMPLES: SINGLE RECORD APPROACH

1. Library A has print holdings of a serial title from volume 5 (1981) forward, with a current subscription. Microfilm holdings are volumes 1-4 (1977-1980). The LDR created is attached to the record for the print version. The holdings statement will be entered as:

\$d 19920212 \$g 0 \$e 4 \$f 8 \$n [Total=v.1- 1977-. Microfilm=v.1-v.4 1977-1980 0,5,8] \$v v.5- \$y 1981-

The holdings statement appears in the serials union list as:

Library A (19920212,0,4,8. [Total=v.1- 1977-. Microfilm=v.1-v.4 1977-1980 0,5,8]) v.5- 1981-

2. Library B has just started receiving a subscription and plans on retaining the current 5 years. The holdings statement will be entered as:

\$d 19990722 \$g 0 \$e 4 \$f 6 \$n Retains current 5 years.

The holdings statement appears in the serials union list as:

Library B (19990722 0,4,6 Retains current 5 years.)

3. Library C's subscription to a print journal includes online access. They will discard the print issues in favor of the online version. The contract allows for ILL. The LDR created is attached to the record for the print version. The holdings statement will be entered as:

\$d 19961112 \$g 0 \$e 4 \$f 7 \$n [Total=v.38- 1993-. Online=v.38- 1993- 0,0,0]

The holdings statement appears in the serials union list as:

Library C (19961112 0,4,7 [Total=v.38- 1993-. Online=v.38- 1993- 0,0,0])

## COMPLEX EXAMPLES

- Library D holds a serial title in three physical formats. Microfilm holdings are volumes 45-50 (1981-1986). Print holdings are volumes 50-55 (1986-1991). A current CD-ROM subscription is maintained with holdings from volume 56 (1992) forward. The LDR created is attached to the record for the print version. The holdings statement will be entered as:

```
‡d 19930815 ‡g 0 ‡e 5 ‡f 8 ‡n [Total=v.45- 1981- . Microfilm=v.45-v.50  
1981-1986 0,5,8. CD-ROM=v.56- 1992- 0,4,8] ‡v v.50-v.55 ‡y 1986-1991
```

The holdings statement appears in the serials union list as:

```
Library C (19930815 0,5,8 [Total=v.45- 1981- . Microfilm=v.45-v.50 1981-  
1986 0,5,8. CD-ROM=v.56- 1992- 0,4,8]) v.50-v.55 1986-1991
```

- Library E has a current print subscription, but issues are retained only until the microfilm edition is received. Microfilm holdings are volumes 180-211 (1955-1970) and from volume 214 (1972) forward. Microfiche holdings are volumes 210-215 (1969-1973). The LDR created is attached to the record for the print version. The holdings are entered as:

```
‡d 19930418 ‡g 0 ‡e 4 ‡f 6 ‡n Retained in paper until microfilm  
received. [Total=v.180- 1955-. Microfiche=v.210-v.215 1969-1973 0,5,8.  
Microfilm=v.180-v.211,v.214- 1955-1970,1972- 0,4,8]
```

The holdings statement appears in the serials union list as:

```
Library D (19930418,0,4,6, Retained in paper until microfilm received.  
[Total=v.180- 1955-. Microfiche=v.210-v.215 1969-1973 0,5,8.  
Microfilm=v.180-v.211,v.214- 1955-1970,1972- 0,4,8])
```

- Library F print holdings of a title are volumes 17-20 (1980-1983). Microfilm holdings are from volume 25 (1988) forward. An electronic version starting with v. 33 (1996) is part of an aggregated database the library purchased access to (ILL is not allowed). The LDR created is attached to the record for the print version. The holdings are entered as:

```
‡d 19920722 ‡g 0 ‡e 5 ‡f 8 ‡n Online not available for ILL. [Total=v.17-  
v.20,v.25- 1980-1983,1988- . Microfilm=v.25- 1988- 0,4,8. Online=v.33-  
1996- 0,0,0] ‡v v.17-v.20 ‡y 1980-1983
```

The holdings statement appears in the serials union list as:

```
Library E (19920722 0,5,8 Online not available for ILL.  
[Total=v.17-v.20,v.25- 1980-1983,1988- . Microfilm=v.25- 1988- 0,4,8.  
Online=v.33- 1996- 0,0,0]) v.17- v.20 1980-1983
```

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## CHAPTER EIGHT:

### WORKING WITH LOCAL DATA RECORDS (LDRs)

---

To **CREATE** an LDR:

1. Display the appropriate OCLC bibliographic record.
2. At the home position, type **wfh** and press **<F11>** to request an LDR workform.
3. Press the **<Insert>** key. Enter data on the SCHD line and press **<F10>**. Message appears: *1 line(s) modified*. **Note:** To create field delimiters, (**#**) press **<Ctrl d>** at desired position and then type appropriate letter for the subfield. e.g., **<Ctrl d>** and **v** will create **#v**
4. At the home position, type **u** and press **<F11>** to send the LDR to the system. Message appears: *LDR added*. (**The system creates the SIHD line.**)
5. To return to the bibliographic record view, at the home position, type **bib** and press **<F11>**.

To **EDIT** an LDR:

1. Display the LDR you want to modify.
2. Edit data as needed in the fixed fields, SCHD line, and SIHD line. To send each field as you edit it, press **<F10>**. To send all edited fields at once, press **<ALT F10>**. (**Note:** While editing an LDR, it is imperative that the SIHD line be edited manually as the information from this line is the source from which holdings information is generated and displayed.)
3. To proofread changes made, type **rf <F11>** (reformat) at the home position.

4. At the home position, type **u** <F11>. Message appears: *LDR updated*.
5. You may also "unedit" work on an LDR. Type **ue** <F11> at the home position. Caution: This command will remove all edits on the LDR displayed and may only be used prior to sending changes to the system.

To **CREATE ADDITIONAL** LDRs for multiple copies:

1. Display the existing LDR.
2. Type **new** <F11> at the home position.
3. Edit fixed fields, SCHED line, and SIHD line as described above. The system will *not* automatically adjust the SIHD.

To **DISPLAY** an LDR:

1. Type **ldr** <F11> at Home position of the bib record or the UL group or institution display.
2. If an LDR summary display is retrieved, enter the line number of the LDR you want to view and press <F11>.

To **DELETE** an LDR:

1. Display the LDR you want to delete.
2. Type **del** at the home position and press <F11>. If this is the only LDR your library created for this title, a message appears: *Do you want to delete this symbol from the bib record?* Move cursor to **yes** and press <F10>. Message appears: *LDR deleted*.

## CHAPTER NINE:

# MAINTAINING THE UNION LIST

---

The GOLD union list of serials is only as good as the information entered into it. Maintenance is required of all libraries participating in serials union listing. Incorrectly reported information will slow down interlibrary loan and will affect any offline products. It is important that participating libraries be as accurate as possible when entering their holdings. Also, Local Data Records should be updated regularly to show changes in holdings due to cancellations, cessations, title/entry changes, and items lost and withdrawn.

This is an ongoing project. GOLD expects users to be able to access accurate, reliable information when using the union list. Libraries that do not maintain their holdings, either by doing it themselves online or using an agent, may be denied membership in GOLD. (Please refer to the "Non-Compliance Policy" of the "GOLD Membership Requirements and Responsibilities" for policies and procedures, in Appendix II.)

### ERROR REPORTS

Full OCLC members who detect bibliographic errors should continue to report these directly to OCLC following regular OCLC procedures.

Users of the GOLD serials union list may identify errors in holdings statements of other union list participants. Some of the most common types of errors are:

- volume run is obviously wrong
- typographical errors
- transposed numbers and dates.

Errors should be reported on the "GOLD Serials Union List Problem Report Form" (see Appendix V; duplicate the forms as needed). The forms should be sent to the Office of Public Library Services. After verification of the problem, the form will be forwarded to the institution that created the Local Data Record so the error may be corrected. It is important for errors to be reported so they may be corrected to maintain the integrity of the database. The form can also be accessed and submitted from the Internet site at:

<http://www.public.lib.ga.us/pls/gold/ul-faq/probrep.html>

## **OCLC NEWS REPORTS**

OCLC maintains online reports to keep union list participants informed of issues pertinent to union listing. To view these reports, type **news uls** and press <F11>. This command may be used in any of the OCLC subsystems.

**APPENDIX I: GOLD SERIALS STATEMENT OF FUNCTION**

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## **APPENDIX I: GOLD SERIALS COMMITTEE STATEMENT OF FUNCTION**

### **PURPOSE:**

The Georgia Online Database (GOLD) Serials Committee acts as a technical advisory committee for the creation and maintenance of serials in GOLD. The committee reports to the GOLD/GALILEO Advisory Committee.

### **RESPONSIBILITIES**

The committee recommends policies and actions to the Advisory Committee relating to the GOLD serials project. Its primary responsibilities are:

- to establish procedures for serials union listing;
- to monitor and advise on training;
- to monitor the creation and maintenance of Local Data Records (LDRs) to insure conformity with established GOLD serials procedures;
- to keep the Advisory Committee informed of problems such as non-compliance with GOLD membership requirements and responsibilities; and
- to recommend to the Advisory Committee the proper response to member libraries not meeting requirements and responsibilities.

### **COMPOSITION:**

As far as possible, the GOLD Serials Committee will be a diverse representation of the geographic areas of the state. In addition to at least one *ex officio* representative from the Office of Public Library Services, it will consist of seven (7) voting representatives, with no more than two (2) from any of the following groups as defined by the Advisory Committee:

- Special libraries;
- Large academic libraries;
- Small/medium academic libraries;
- Large public libraries;
- Small/medium public libraries;
- School media centers; and
- Technical college libraries.

### **SELECTION:**

Members of the Serials Committee will be appointed from the GOLD membership. By October 1 of each year, the Office of Public Library Services will mail to each GOLD member library a nomination form. This form shall include a section describing the candidate's qualifications to serve on the Serials Committee. Persons making nominations should secure the permission of

the person he/she is nominating prior to mailing in the form. Persons interested in serving on the Serials Committee may nominate themselves.

These nominations should be received at the Office of Public Library Services by November 1 of each year. A minimum of two candidates for each place open on the Serials Committee is desirable. If nominations for two candidates for each position are not received, the Office of Public Library Services and the Serials Committee will attempt to solicit additional nominations.

The GOLD Serials Committee will review these nominations and appoint committee members based on the following factors:

- Experience in creating and editing Local Data Records (LDRs);
- Type of library in relation to current composition of the committee (see Composition above); and
- Geographic representation.

Appointments to the Serials Committee will be announced by the Office of Public Library Services by February 1. New appointees will be invited to the regular June Serials Committee meeting and will begin their official terms on July 1.

#### **TERMS:**

Terms of membership will be for three years. In order to establish staggered terms, at least two members will rotate off the committee each year.

Members of the Serials Committee may not serve consecutive terms. Members of the Serials Committee may not serve simultaneously as voting members of the Advisory Committee. Only one person from each GOLD member library can serve on the Serials Committee. However, the same library may be represented simultaneously on both the Serials Committee and the Advisory Committee by different individuals.

Terms left vacant due to resignation or dismissal shall be appointed by the Serials Committee from those persons nominated during the last nominations cycle. If suitable nominees are unavailable, the Office of Public Library Services and the Serials Committee will solicit appropriate nominations. The new member of the Serials Committee will immediately assume his/her duties upon notification of his/her selection.

#### **MEETINGS:**

Two meetings of the Serials Committee shall be held each year. Extra meetings may be called by the Office of Public Library Services or the chairperson, as necessary.

Failure of any committee member to attend two consecutive regular meetings shall be interpreted as resignation from the Serials Committee.

## OFFICERS:

A chairperson shall be elected by the Serials Committee during the June meeting to serve a one year term beginning on July 1, and ending on August 31. The chairperson shall be responsible for presiding at the Serials Committee meetings.

Minutes of the meetings shall be taken and distributed to committee members. At the beginning of each meeting, the group shall agree upon one person who will act as secretary for that meeting. This person shall be responsible for preparing and distributing the minutes to members of the Serials Committee no later than four weeks after the meeting.

The chairperson will serve as an *ex officio* member of the Advisory Committee and will report on the activity of the Serials Committee to the Advisory Committee. Policy and procedure recommendations from the Serials Committee meetings shall be communicated to the Advisory Committee no later than two weeks before the next Advisory Committee meeting.

The chairperson whose term was completed on August 31 shall be responsible for reporting on the activities of the Serials Committee for the past year at the GOLD/GALILEO Users Group Annual Membership Meeting.

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**APPENDIX II: GOLD MEMBERSHIP REQUIREMENTS AND  
RESPONSIBILITIES  
GOLD COMPLIANCE PROCEDURES AND  
STATEMENT**

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## APPENDIX II: GOLD MEMBERSHIP REQUIREMENTS AND RESPONSIBILITIES

### REQUIREMENTS

Libraries wishing to join GOLD must meet the following criteria.

1. Because some federal funding is involved, organizations seeking membership must comply with the Civil Rights Act of 1964. This statement should be on file in the organization's personnel office. If this statement is on file, the organization only has to sign a statement to this effect on a form letter available from the Office Public Library Services.

If the statement is not on file, the Office Public Library Services will provide the organization with a compliance statement for its signature to be filed with the Office of Public Library Services.

2. The organization must have an established library collection housed in an area designated as the library.
3. The organization must have a person designated as a librarian. This person does not have to be a full-time employee or have a library degree unless the organization is required by certification requirements to have a qualified librarian, but he or she must be responsible for the maintenance and development of the collection.

As a member of GOLD, a library is expected to meet the following requirements.

1. A library must agree to reciprocal lending. To accomplish this, a selective user must batchload its current holdings to help equalize the interlibrary lending burden and enter its library's current periodical holdings.

A library which becomes a GOLD member shall begin entering holdings for monographs and serials within two years of joining. Within two years of membership, the library should be able to demonstrate a good faith effort that it is contributing to the database.

After this initial contribution to the database, GOLD members shall update holdings at least once a year to reflect materials acquired or deleted during that year. Additionally, Local Data Records, (LDRs), should be updated yearly to indicate new subscriptions or issues, and cancelled subscriptions or deleted issues.

2. Libraries cannot charge for the staff time involved in performing interlibrary lending. They may, however, charge for photocopies, postage, and telefacsimilie delivery charges.

3. Member libraries agree to abide by the latest editions of the *Interlibrary Loan Code for Georgia Libraries* and the *National Interlibrary Loan Code for the United States*. Copies of these documents may be found at the end of the *Georgia Online Database (GOLD) Interlibrary Loan Procedures Manual*.
4. Libraries that join GOLD as selective users are required to attend an interlibrary loan training class offered by the Office of Public Library Services before beginning to use the database. Also, new users of the union list must attend a serials union listing workshop before using the database. Free training courses are offered regularly by the Office of Public Library Services. To the extent possible, these workshops are offered in locations throughout the state.

## **RESPONSIBILITIES**

All staff members involved in the interlibrary lending and borrowing process should receive proper training. This includes attendance at courses offered by the Office of Public Library Services, SOLINET, and library professional organizations in Georgia.

Interlibrary loan request forms are to be correctly and completely filled out including verification of information. In the case of public libraries, all branch libraries must submit interlibrary lending forms through their headquarters unit. The headquarters unit should fill these requests within the system if at all possible before referring the requests to the Office of Public Library Services or other libraries.

The borrowing library is responsible for the return of items within time periods specified by the lending library. Once an item is mailed from the lending library, it is the responsibility of the borrowing library. If the item is lost in the mail, either to or from the borrowing library, it is the responsibility of the borrowing library to reimburse the lending library for the item.

## **NON-COMPLIANCE POLICY**

The success of GOLD rests with its member libraries. Interlibrary loan is now considered a standard part of library service. If only a handful of libraries have holdings accessible through the database, an unfair burden is repeatedly placed upon the same libraries. The interlibrary loan process is not viable unless all members are contributing to the system and not just taking from it.

Libraries not fulfilling the requirements and responsibilities of GOLD membership shall have the following action taken:

1. **Probation**

A library which has failed to meet the terms laid down under "GOLD Membership Requirements and Responsibilities" shall be placed on probation for one year.

2. **Submission of Compliance Plan**

Within 60 days of being placed on probation, the library must file a statement of intent and a compliance plan with OPLS. The statement should include an outline and timetable of how the library intends to meet its membership requirements and responsibilities.

3. **Approval of Compliance Plan**

OPLS will accept, not accept or negotiate the library's compliance plan.

4. **Revocation of Membership**

Failure of the library to meet its statement of intent and timetable shall result in its GOLD membership being withdrawn. The cost of the profiling change to delete the library's symbol from the GOLD group shall be billed back to that library.

5. **Reapplication for Membership**

A library which has its membership revoked cannot reapply for admittance to GOLD for a period of six months.

6. **Reinstatement of Membership**

A library which has had its GOLD membership revoked must present evidence to OPLS that it will make a good faith effort to meet responsibilities and requirements of membership before it will be allowed to rejoin GOLD. Any profiling costs for adding the library back to the group will be paid by that library.

7. **Honoring Requests**

Member libraries are not required to honor the requests of borrowing libraries who have not batchloaded or have otherwise failed to meet their membership responsibilities.

**PROCEDURE FOR MONITORING COMPLIANCE  
WITH THE GOLD MEMBERSHIP  
ANNUAL DATABASE UPDATING REQUIREMENTS**

1. Annually by October 1, the Office of Public Library Services (OPLS) shall correspond with all GOLD member libraries, reminding them of annual database updating requirements and of the upcoming December 31 OCLC/SOLINET updating cutoff date for the tape run of the serials union list which will be loaded on GALILEO. This correspondence should also inform member libraries that they will receive a compliance mailing in January, with which they will be asked to document and sign-off on their database updating compliance, both monographic and serial, for the current calendar year.
2. Then, annually in January, OPLS will mail to all GOLD member libraries the "Statement of Compliance with GOLD Database Updating Requirements." Deadline for return of response to the January mailing will be March 1. The annual mailing will cover an annual reporting period of January 1 through December 31 of the previous calendar year.
3. Libraries should complete both the section on "Monographic Records" and the section on "Serials Holdings" of the "Statement of Compliance." **Failure to complete either of these sections will be understood as non-compliance. Failure to return the "Statement of Compliance" annually for the given calendar year will be understood as non-compliance.** Libraries which have not complied with annual updating requirements during the given calendar year should complete the "Explanation of Non-Compliance" sections of the "Statement of Compliance," specifically documenting good faith efforts, extenuating circumstances, and/or adherence to higher bibliographic standards than GOLD's current Local Data Records (LDRs).
4. Annually in March, OPLS will compile the responses to the compliance mailing, preparing lists in OCLC/GOLD symbol order, of libraries in compliance, libraries in non-compliance, and libraries which did not respond (and thus are considered in non-compliance). This information will be provided to the GOLD Serials Committee by April 1 annually. The list of non-compliant libraries which the Serials Committee receives shall be accompanied by photocopies of the "Statement(s) of Compliance" from those libraries which included explanatory comments. Photocopies need not be provided if no explanatory comments were made.
5. Annually in April, OPLS staff will meet with the GOLD Serials Committee to review the lists of libraries in non-compliance. This meeting shall conclude with a list of libraries which are eligible for probation because of non-compliance, as well as a list of those not eligible for probation. During the

review process, the explanations provided on the library's "Statement of Compliance" shall be considered.

6. Annually by April 30, libraries eligible for probation shall be notified of this status by OPLS. This notification mailing shall include another "Statement of Compliance" form which they may submit before June 15, in order to establish compliance before the annual June 30 OCLC/SOLINET updating cutoff date for the GOLD serials union list tape run.
7. Annually by August 1, OPLS will then compile and prepare revised lists, in OCLC/GOLD symbol order, of libraries in compliance and libraries not in compliance (including those libraries considered non-compliant because of no response).
8. A list of libraries in compliance will be posted by OPLS on the GOLD website and will be continually updated as additional libraries establish compliance. In addition, a printed copy of this list shall be distributed to all GOLD member libraries at the GOLD Annual Membership Meeting (usually in August) and through an annual membership mailing received by October 1.

**The intent of this posting and distribution is to give positive recognition to libraries in compliance, as an encouragement toward compliance throughout the entire membership, and to allow lending libraries to exercise their own policy discretion in response to borrowing requests from non-compliant libraries.**

9. Annually by October 1, the list of libraries in non-compliance shall be distributed by OPLS only to members of the GOLD Advisory Committee and the GOLD Serials Committee. This list is available to other GOLD member libraries upon written request to OPLS.
10. At its regular fall meeting, the GOLD Advisory Committee shall review the list of libraries not in compliance and shall recommend probationary action to OPLS. OPLS shall then invoke the procedure detailed in the "Non-Compliance Policy" of the "GOLD Membership Requirements and Responsibilities" of which action includes: *Probation, Submission of Compliance Plan, Approval of Compliance Plan, Revocation of Membership, Reapplication for Membership, Reinstatement of Membership.* (Please refer to the "GOLD Membership Requirements and Responsibilities" for policies and procedures, above.)

# STATEMENT OF COMPLIANCE

## GOLD MEMBERSHIP DATABASE UPDATING REQUIREMENTS

OCLC/GOLD Symbol\_\_\_\_\_

Library Name\_\_\_\_\_

Library Address\_\_\_\_\_

\_\_\_\_\_

City\_\_\_\_\_ State\_\_\_\_\_ Zip\_\_\_\_\_

Name and title/position of person completing this statement of compliance:

Name\_\_\_\_\_

Title/position\_\_\_\_\_

Telephone # \_\_\_\_\_ Fax# \_\_\_\_\_

E-mail Address \_\_\_\_\_

### STATEMENT OF ANNUAL DATABASE UPDATING REQUIREMENTS:

"Libraries that become GOLD members should load their active periodical subscriptions and begin batchloading holdings for monographs and serials within two years of joining. Within two years of membership, the library should be able to demonstrate a good faith effort that it is contributing to the database. After this initial contribution, GOLD members shall update holdings at least once each year to reflect materials acquired during that year, delete monographic records as needed to maintain their accuracy, and update Local Data Records by adding new subscriptions and issues, closing out all cancelled subscriptions, and deleting records for discarded issues on at least a yearly basis."

STATEMENT OF COMPLIANCE WITH ANNUAL UPDATING REQUIREMENTS:

**1. MONOGRAPHIC RECORDS**

For the annual period January 1 through December 31, this library (check one)

\_\_\_\_\_has OR (PINES batchloads satisfied by OPLS)

\_\_\_\_\_has not

updated its monographic records in the GOLD database.

Explanation of Non-Compliance:

---

---

**2. SERIALS HOLDINGS**

For the annual period January 1 through December 31, this library (check one)

\_\_\_\_\_has OR

\_\_\_\_\_has not

updated its serials holding local data records in the GOLD union listing database.

Explanation of Non-Compliance:

---

---

Signature\_\_\_\_\_ Date\_\_\_/\_\_\_/\_\_\_

Return the completed and signed form to:

**Resource Sharing Consultant**

Office of Public Library Services,

A Unit of the Board of Regents of the University System of Georgia  
1800 Century Place, NE, Suite 150 Atlanta, GA 30345-4304

NOTE: Failure to return the "Statement of Compliance," with both sections completed, for the given calendar year is understood as non-compliance.

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**APPENDIX III: SAMPLE LOCAL DATA RECORD REPORT  
FORMS & GUIDELINES FOR USE**

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## APPENDIX III: SAMPLE LDR FORMS AND GUIDELINES FOR USE

### Local Data Record (LDR) Report Form for Reporting Serial Additions/Changes to GOLD/OCLC Union List Holdings

Title: \_\_\_\_\_

ISSN: \_\_\_\_\_ OCLC #: \_\_\_\_\_

Holding Library Symbol: \_\_\_\_\_ Copy #: \_\_\_\_\_

Call #: \_\_\_\_\_

**HOLDINGS DATA \***

Format	⌘g	⌘e	⌘f	⌘v	⌘y
Paper					
Microfilm					
Microfiche					
CD-ROM					
Online	0	0	0		
Other					

**Notes**

⌘n \_\_\_\_\_

Total holdings (if applicable): \_\_\_\_\_

If this report form has been completed due to a title change, remember to complete a form for the previous title and the new title.

⌘g (Completeness code)	⌘e (Acquisition status code)	⌘f (Retention code)	⌘v (volumes)	⌘y (years)
* 0 (Information not supplied)	0 (Information not supplied)	0 (Information not supplied)		
	4 (Currently received)	6 (Retained in a specific pattern)		
	5 (Not currently received)	7 (Received but not retained)		
		8 (Permanent retention)		

## APPENDIX III: SAMPLE LDR FORMS AND GUIDELINES FOR USE

### Local Data Record (LDR) Report Form: Guidelines for Use

Entire record displayed.	U L S	SID: 09673	OL
DLUC an *1830326		LDR 1 of 2	
Date Modified: 20010625			
The American historical review.			
ISSN: 0002-8762	CODEN:	OCLC no: 1830326	Frequ: q
Hld lib: GG1A	Copy:	Hld type: a	Phys form: zu U
▶ 1 SCHED #d 20010625 #g 0 #e 4 #f 6 #n Retains current 5 years until available online. [Total=v.1- 1895-. Microfilm=v.1-v.95 1895-1990 0,5,8. Online=v.1- 1895- 0,0,0] #v v.96-v.98 #y 1991-1993 U			
▶ 2 SIHD GG1 #d 20010625 #g 0 #e 4 #f 6 #n Retains current 5 years until available online. [Total=v.1- 1895-. Microfilm=v.1-v.95 1895-1990 0,5,8. Online=v.1- 1895- 0,0,0] #v v.96-v.98 #y 1991-1993 U			

Sample LDR

**TITLE** Transcribe the entry as it should appear in the Union List. If the entry is under author/title, use the first line for the author and the second line for the title.

**ISSN AND OCLC #** If this information is readily available it is to your advantage to provide it; an OCLC record number search is the most specific and therefore most economical. The ISSN is useful for identifying the correct record as well as an efficient search key.

**HOLDING LIB. SYMBOL** The four-character symbol assigned to your library by OCLC.

**COPY #** (Optional) If there is more than one copy, as in the case of multiple branch libraries, the institution has the option of creating a different SCHED field for each copy. Copies may be labeled with up to four alphanumeric characters. Reporting multiple copies is advantageous to a library ordering an offline product of their serial holdings. *Note:* Reprints and non-book formats are not considered separate copies. See the section on Nonbook Formats for information on reporting mixed physical formats.

**CALL #** (Optional) A library with a classified serials collection may wish to enter call numbers in the LDR.

**HOLDINGS DATA** Use the grid to provide holdings information for each physical format associated with a single copy number. See the lists at the bottom of the form for the values to be used for the Completeness designator (**#g**), Acquisitions Status designator (**#e**), and the Retention Policy designator (**#f**). Note that when enumeration (**#v**) and chronological data (**#y**) are present, the Completeness designator is always allowed to default to zero. For more information on holdings data see the section on Parts of a Local Data Record in this manual.

**NOTES** For information on free-text notes see the Notes section of Parts of a Local Data Record in this manual.

**TOTAL HOLDINGS** If a copy is comprised of both paper and nonbook formats, a consolidation of the enumeration and chronology data may be entered in the "Total Holdings" area. The "total" note is a special note indicating holdings of all formats of the copy, followed by holdings information for each nonbook format represented. A "Total" holdings note should be enclosed in square brackets, and entered after any retention notes or other free-text notes when present. See the section on Nonbook Formats for more detailed information, examples, and options for reporting mixed physical format holdings.

**Local Data Record (LDR) Report Form for Union List Agent:  
Guidelines for Use**

```
U L S                               SID: 09673   OL
Entire record displayed.
OLUC  an *1830326                    LDR 1 of 2
Date Modified: 20010625
The American historical review.
ISSN: 0002-8762   CODEN:             OCLC no: 1830326   Frequn: q
▶ Hld lib: GG1A      Copy:             Hld type: a      Phys form: zu   ¶
▶ 1  SCHD      #d 20010625 #g 0 #e 4 #f 6 #n Retains current 5 years until
available online. [Total=v.1- 1895-. Microfilm=v.1-v.95 1895-1990 0,5,8.
Online=v.1- 1895- 0,0,0] #v v.96-v.98 #y 1991-1993 ¶
▶ 2  SIHD      GG1 #d 20010625 #g 0 #e 4 #f 6 #n Retains current 5 years until
available online. [Total=v.1- 1895-. Microfilm=v.1-v.95 1895-1990 0,5,8.
Online=v.1- 1895- 0,0,0] #v v.96-v.98 #y 1991-1993 ¶
```

Sample LDR

In addition to the fields listed above, the agent workform has places down the right margin for the following information, which the agent will need.

**OCLC SYMBOL**

The 3-character symbol assigned to your institution by OCLC.

**INSTITUTION**

Always include your institution's name so the agency entering data uses the correct authorization when searching, and when creating, updating, or deleting your LDRs.

**CONTACT**

The name of the individual at your library who can answer any questions the agent may have about the report.

**PHONE/E-MAIL**

The library contact's phone or e-mail address.

**DATE**

The date the form is filled out.

## Local Data Record (LDR) Report Form for Reporting Serial Additions/Changes to GOLD/OCLC Union List Agent

Title: \_\_\_\_\_

ISSN: \_\_\_\_\_ OCLC #: \_\_\_\_\_

Holding Library Symbol: \_\_\_\_\_ Copy #: \_\_\_\_\_

Call #: \_\_\_\_\_

**HOLDINGS DATA \***

Format	‡g	‡e	‡f	‡v	‡y
Paper					
Microfilm					
Microfiche					
CD-ROM					
Online	0	0	0		
Other					

**Notes**

‡n \_\_\_\_\_

Total holdings (if applicable): \_\_\_\_\_

\*If this report form has been completed due to a title change, remember to complete a form for the previous title and the new title.

‡g (Completeness code)	‡e (Acquisition status code)	‡f (Retention code)	‡v (volumes)	‡y (years)
0 (Information not supplied)	0 (Information not supplied)	0 (Information not supplied)		
	4 (Currently received)	6 (Retained in a specific pattern)		
	5 (Not currently received)	7 (Received but not retained)		
		8 (Permanent retention)		

## **APPENDIX IV: SELECTED FIELDS IN BIBLIOGRAPHIC SERIAL RECORDS**

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**APPENDIX IV**  
**SELECTED FIELDS IN BIBLIOGRAPHIC SERIAL RECORDS**

Lists and defines MARC fields in bibliographic serial records.

<u>TAG</u>	<u>DEFINITION</u>			<u>TAG</u>	<u>DEFINITION</u>
<b>BLvl</b>	Bibliographic level			310	Current frequency
Conf	Conference publication			321	Former Frequency
Ctry	Country of publication			<b>362</b>	Numeric and/or alphabetic, chronological, or other designation
Cum ind	Cumulative index available			4xx	Series
<b>Dates</b>	Beginning date, ending date			5xx	Notes
Freq	Frequency			515	Numbering peculiarities
Gpub	Government publication			530	Additional physical forms
Lang	Language			533	Photo reproduction note
Type	Physical medium			547	Former title, complexity
DtSt	Publication status			580	Linking entry complexity
Regl	Regularity			6xx	Subject headings
<b>Form</b>	Form of Reproduction			7xx	Added entries
SrTp	Serial type			730	Added entries, uniform title
<b>S/L</b>	Successive/latest entry			752	Place of publication (newspapers)
019	OCLC no. cross-reference			760	Main series
022	ISSN			770	Supplement/special issue
030	CODEN			772	Parent of supplement
040	Languages			777	"Issued with"
<b>042</b>	Authentication Center			780	Preceding entry
086	SUDOCS number			785	Succeeding entry
1xx	Main entry			8xx	Series added entries
130	Main entry, uniform title			856	Hyperlink
210	Abbreviated title				
222	Key title				
<b>245</b>	Title				
246	Varying forms of title				
247	Former title(s)				
260	Imprint				

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## **APPENDIX V : CONSER LIBRARIES**

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## APPENDIX V

### CONSER LIBRARIES

	040 FIELD SYMBOL		YEAR JOINED CONSER
	OCLC	NUC	
<b>NATIONAL LIBRARIES</b>			
Library of Congress	DLC	DLC	1974
National Serials Data Program	NDS	NSD	1974
National Agricultural Library	AGL	DNAL	1974
National Library of Canada	NLC	CaOONL	1974
ISSN/Canada	NLC	CaOOBL	1974
National Library of Medicine	NLM	DNLM	1974
<b>FULL MEMBERS</b>			
Center for Research Libraries	CRL	ICRL	1987
Columbia University	ZCU	NNC	1997
Cornell University	COO	NIC	1974
Harvard University	HUL	MH	1976
Indiana University	IUL	InU	1979
Massachusetts Institute of Technology	MYG	MCM	1988
New York State Library	NYG	N	1974
U.S. Government Printing Office	GPO	DGPO	1980
University of California, Los Angeles	CLU	CLU	1980
University of Florida, Gainesville	FUG	FU	1975
University of Georgia	GUA	GU	1987
University of Maryland, College Park	UMC	MdU	1996
University of Michigan	EYM	MiU	1980
University of Pittsburgh	PIT	PpiU	1983
University of Texas at Austin	IXA	TxU	1980
University of Washington	WAU	WaU	1980
<b>ASSOCIATE MEMBERS</b>			
American Theological Library Association	ATL	ATL	1994
Committee on Institutional Cooperation	YNT	N/A	1996
Saint Louis University Law Library	SLU	MoSU-L	1996
U.S. Newspaper Program members			
<b>AFFILIATE MEMBERS</b>			
BIOSIS	BBS	PPBIO	1991
Chemical Abstracts Library Services	CAS	OUCA	1988
EBSCO Subscription Services	EBZ	EpbS	1988
<b>ENHANCE MEMBERS</b>			
State University of New York at Buffalo, Health Sciences Library	SBH	NbuU-H	1996
University of California, San Diego	CUS	CU-S	1996
University of Cincinnati, Medical Sciences Library	MXC	OCU-M	1996
University of North Carolina at Chapel Hill	NOC	NcU	1997
Vanderbilt University Library	TJC	TNJ	1996

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## **APPENDIX VI: GOLD SERIALS COMMITTEE DECISIONS**

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## APPENDIX VI: GOLD SERIALS COMMITTEE DECISIONS

A summary of decisions made by the committee regarding the selection of bibliographic records for serials union listing and union listing of electronic resources.

### SELECTION OF BIBLIOGRAPHIC RECORDS FOR SERIALS UNION LISTING

1. If the local policy follows national cataloging standard which calls for a separate record for each manifestation, select record by physical format of holdings:

<u>HOLDINGS</u>	<u>RECORD</u>
Paper	Paper record ONLY.
Microform	Microform record ONLY (if available).
CD-ROM	Computer file record.
Other	

2. If the local policy follows the CONSER interim solution allowing the "single record approach," select the record for the print version

When reporting mixed physical format holdings on a single record, enter a total holdings statement in notes field, within square brackets. e.g., #n [Total= ] Enter statement using pattern indicated in the GOLD Serials Union Listing manual.

### LEVEL 3 INVENTORY

The participants of GOLD have agreed that the purposes of resource sharing will best be served if holdings data is reported at Level 3 specificity, as defined in the American National Standard for Information Sciences – Holdings Statements for Bibliographic Items (ANSI Z39.71-1999). The ANSI website can be found at <http://web.ansi.org/>. While OCLC does not anticipate incorporation of the Z39.71-1999 standard until July 1, 2001, **GOLD libraries can follow the enumeration specifications within Z39.71-1999 when union listing.** The only limitation when trying to implement the Z39.71-1999 standard when using OCLC is that **the new codes will not validate or be accepted.** Except for the new codes, libraries can follow the ANSI Z39.71-1999 standard.

Level 3 Inventory includes enumeration and chronology data **at the highest level**, in addition to the serial identification area, the location data area, the date on which the holdings are reported, the acquisitions status designator, the retention policy designator, and local notes. Section 7 of OCLC's *Union List User*

*Guide* gives detailed explanations and examples based on the ANSI Z39.44 implementation in serial holding statements. While this is an older standard, the explanations and examples are still useful. The current standard, ANSI Z39.71-1999, is available via interlibrary loan from OPLS. It is available free as a PDF file at <http://www.cssinfo.com/cgi-bin/> . A print version can be purchased at the NISO website (<http://www.niso.org/71online.html>).

## NOTES

Use only those notes listed in the GOLD Serials Union Listing manual (page 19).

## ELECTRONIC RESOURCES

1. Union listing of electronic resources is optional.
2. Libraries should only union list materials that are under their direct control (no full-text titles within GALILEO aggregators).
3. In order to indicate usage for ILL, libraries should confirm with the vendor that interlibrary loan/document delivery from the electronic resource is acceptable. When such usage is **not** acceptable, a note should be added to the LDR (e.g., "Not available for ILL.")

## **APPENDIX VII: MISCELLANEOUS FORMS**

The following pages include various forms related to serials union listing.

### **Contents:**

#### **Serials Holdings Change Report**

May be used to develop an internal procedure to alert technical services staff of a change in holdings for a title. Duplicate as needed. Note: ILL staff are usually the first to become aware of errors in serial holding statements.

#### **GOLD Serials Union List Problem Report Form**

Form to be used to report errors in the GOLD Serials Union List. Duplicate as needed. This form can be accessed and submitted online at:

<http://www.public.lib.ga.us/pls/gold/ul-faq/>

#### **GOLD Serials Committee Nomination Form**

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**APPENDIX VII: MISCELLANEOUS FORMS—SERIALS HOLDINGS CHANGE REPORT**  
**SERIAL HOLDINGS CHANGE REPORT**

Date: \_\_\_\_\_

TITLE: \_\_\_\_\_

OCLC record no. (if known): \_\_\_\_\_ ISSN: \_\_\_\_\_

Update Local Data Record as needed:

\_\_\_\_\_ Subscription discontinued or publication has ceased;  
Holdings end with vol./no. \_\_\_\_\_, year \_\_\_\_\_.

\_\_\_\_\_ Error in holding statement (gap, format change, etc ...);  
Note the following change:

\_\_\_\_\_  
\_\_\_\_\_

signed \_\_\_\_\_

.....

**SERIAL HOLDINGS CHANGE REPORT**

Date: \_\_\_\_\_

TITLE: \_\_\_\_\_

OCLC record no. (if known): \_\_\_\_\_ ISSN: \_\_\_\_\_

Update Local Data Record as needed:

\_\_\_\_\_ Subscription discontinued or publication has ceased;  
Holdings end with vol./no. \_\_\_\_\_, year \_\_\_\_\_.

\_\_\_\_\_ Error in holding statement (gap, format change, etc ...);  
Note the following change:

\_\_\_\_\_  
\_\_\_\_\_

signed \_\_\_\_\_

**APPENDIX VII: MISCELLANEOUS FORMS—GOLD SERIALS UNION LIST PROBLEM REPORT FORM**

**GOLD SERIALS UNION LIST  
PROBLEM REPORT FORM**

OCLC symbol of institution that created Local Data Record (LDR):  
\_\_\_\_\_

Title of Serial: \_\_\_\_\_

OCLC Record Number: \_\_\_\_\_ ISSN: \_\_\_\_\_

Nature of Problem:

\_\_\_\_\_ Incorrect bibliographic record used. (Full OCLC members attach copy of incorrect and correct bibliographic records).

\_\_\_\_\_ Title has changed or ceased. (Attach copy of bib. record and union list group display).

\_\_\_\_\_ Error in holdings statement. (Attach copy of union list group display).  
Comments:

\_\_\_\_\_  
\_\_\_\_\_

\_\_\_\_\_ Other. (Attach copy of bib. record and union list group display).  
Comments:

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

OCLC symbol of institution reporting error: \_\_\_\_\_ Date: \_\_\_\_\_

Contact person: \_\_\_\_\_

Phone: \_\_\_\_\_ E-mail: \_\_\_\_\_

Mail completed form to:

OFFICE OF PUBLIC LIBRARY SERVICES  
Resource Sharing Consultant  
1800 CENTURY PLACE NE, SUITE 150  
ATLANTA, GA 30345-4304

APPENDIX VII: MISCELLANEOUS FORMS—GOLD SERIALS NOMINATION FORM

NOMINATION FORM



Nominations will be accepted until January 15 to fill vacancies on the Georgia Online Database (GOLD) Serials Committee. Persons filling these positions will be chosen from the nominations received by the GOLD Serials Committee according to criteria stated in the GOLD Serials Committee Statement of Function.

Successful candidates will serve a three-year term beginning on July 1.

Nominee's Name:

Library:

Address:

City:

Zip Code:

Telephone:

Fax:

Email:

\*Nominee's present position and brief description of duties:

\*Nominee's qualifications for the Advisory Committee position:

\*Attach additional pages if necessary. You can nominate yourself if you have an interest in serving.

Submitted by:

Library:

Telephone:

Email:

Please return form to the Office of Public Library Services, 1800 Century Place, Suite 150, Atlanta, GA 30345-4304

SERIALS COMMITTEE

GOLD/GALILEO USERS GROUP

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## FREQUENT CONTACTS

### **Association for Library Collections & Technical Services Serials Section**

<http://www.ala.org/alcts/organization/ss/index.html>

### **CONSER – Cooperative Online Serials Program**

<http://www.loc.gov/acq/conser/homepage.html>

### **GOLD**

Resource Sharing Consultant  
Office of Public Library Services  
A Unit of the Board of Regents of the University System of  
Georgia

1800 Century Place, Suite 150

Atlanta, GA 30345-4304

404-982-3560

404-982-3563 (fax)

[jwatson@state.lib.ga.us](mailto:jwatson@state.lib.ga.us)

<http://www.public.lib.ga.us/pls/gold/>

### **OCLC (when SOLINET's Helpdesk is unavailable)**

1-800-848-5800 or <http://www.oclc.org/oclc/forms/support.htm>

Monday – Friday: 7:00 am to 9:00 pm & Saturday: 8:00 am to  
8:00 pm Eastern Standard Time

<http://www.oclc.org>

### **SOLINET**

1438 West Peachtree Street NW

Suite 200

Atlanta, GA 30309-2955

404.892.0943 or 800.999.8558 (ask for the Helpdesk)

Monday – Friday: 8:00 am to 5:00 pm Eastern Standard Time

404.892.7879 (fax)

[helpdesk@solinet.net](mailto:helpdesk@solinet.net)

<http://www.solinet.net>