MARC PROPOSAL NO. 2023-XX

DATE: 1 November 2022 FIRST DRAFT

NAME: Defining a Field for Ownership and Custodial History in Structured Form in the MARC 21 Bibliographic, Holdings, and Authority Formats

SOURCE: D-A-CH Working Group on Provenance, Task Group on MARC, in cooperation with the German National Library and the Committee on Data Formats

SUMMARY: This paper proposes a way how copy-specific ownership and custodial history information and material evidence represented by authority data and controlled terms can be accommodated in the MARC 21 Bibliographic, Holdings, and Authority formats, by the definition of a new field 361.

KEYWORDS: Field 561 (BD, HD); Ownership and Custodial History (BD, HD); Field 361 (BD, HD, AD)

RELATED: 2010-09, 2022-DP09

STATUS/COMMENTS:

12/XX/22 – Made available to the MARC community for discussion.

Proposal No. 2023-XX: Defining a Field for Ownership and Custodial History in Structured Form

1. BACKGROUND

For the cataloging of copy-specific ownership and custodial history information, authority control and authority data play an increasing role, both in terms of designating former ownership (by a person, by an institution, or in the context of a collection) and in terms of ownership evidence marks (such as autographs, insertions, bookplates, and stamps). The future development of international provenance research depends on the interoperability of data, including authority data. These data need to be sufficiently granular to accommodate the often complex information which research efforts in ownership and custodial history are dealing with. In the MARC formats, ownership and custodial history information is currently accommodated in an unstructured way as free text in note field 561 (Ownership and Custodial History). The Task Group on MARC of the D-A-CH Working Group on Provenance, in cooperation with the German National Library and the Committee on Data Formats, hereby proposes a more structured and data-driven way to express ownership and custodial history information in the MARC formats. A more thorough and extensive discussion of the background of this proposal can be found in section 1 of the preceding Discussion Paper 2022-DP09, https://www.loc.gov/marc/mac/2022/2022-dp09.html .

2. DISCUSSION

An ongoing demand for standardized copy-specific ownership and custodial history data on the *Item* level can be taken into account. The implementation of such standards seems to prevail more and more in the field of cataloging historical holdings in libraries, archives and museums. However, MARC 21 does not yet provide a possibility to interchange identifiers for authority data together with related terms for ownership and custodial history evidence.

In the preceding discussion paper, four options have been laid out to accommodate the need: Field 561 (Ownership and Custodial History) is repeatable and offers a subfield \$a for free text entries and a subfield \$u for a URI referring to an external resource (Option 1). Linking authority records representing prior personal or corporate owners would only be possible by implementing subfield \$8 (Field link and sequence number) in fields 561, 700 and 710 (Option 2). In order to avoid this not very popular technique, a subfield \$0 could be added to field 561 for entering an authority record control number or standard number (Option 3). Aiming at accommodating authority data for prior ownership together with controlled terms on material evidence (from which the provenance information derives) in one and the same MARC 21 field, a new field in the 3XX range, namely field 361, was discussed as a possible solution. This new field is based on the existing Pica3 field 9100 / Pica+ field 092B, and offers the opportunity to provide a clearer, more data-driven structure than the note field 561 is able to cover (Option 4).

The new field should be defined primarily in the MARC 21 Holdings Format, because the information is copy-specific and located on the item level. The MARC 21 Bibliographic Format was taken into account, too, to provide an easier implementation, with an eye on limitations which some library systems are dealing with. And lastly, the MARC 21 Format for Authority Data was discussed for the new field, to cover information about ownership and custodial history of a *Schriftdenkmal*, or manifestation singleton, described in an authority record. So, a preference was given to choosing the same field number across all three formats, and the tag "361" was suggested, "rhyming" with tag "561". As a field name, "Provenance information" was suggested.

Out of only one data field, two separate links are pointing to two separate records of an authority file. A typical statement is: "With regard to *this* resource, *this* provenance mark indicates the prior ownership of *this* person." In the context of a new MARC field "361", this meant that two subfields are needed, one for the authority record control number of the person (etc.), and another subfield for the authority record control number of a serial provenance mark. Similarly, subfield \$2 was discussed, controlling the name, term or code subfields of a MARC field, plus the identifiers used in subfields \$0, and the recently defined subfield \$7 (Data provenance), with its data provenance element "dpesc" for a "source consulted".

During the discussion at the meeting of the MARC Advisory Committee, as stated in the summary of the Discussion Paper itself, "there was general agreement that copy-specific provenance information is important, but little agreement on how to move forward, with votes for all 4 options. If option 4, the definition of a new field, is explored, '361' would be

acceptable as its tag. The use of the term 'provenance' should be avoided, and a phrase like 'custodial history' should be used instead. At the core of field 361, there is a statement like With regard to this resource, this provenance mark indicates the prior ownership of this person.' The primary focus on the Holdings format (although restricted by some ILS's) was welcomed by many MAC members, without leaving the Bibliographic format and the Authority format out of the equation. With regard to the Authority format, the matter of race and gender biases already present within library authority files have to be addressed. Field 561 may be enriched by some elements listed for the new field, but alternatively the new field 361 and field 561 would be able to co-exist effectively in the same record. Field 541 'Immediate Source of Acquisition Note' should also be taken into account. The subfields listed in the name group should be reduced significantly, as the new field is not a heading field; similarly, subfields \$e and \$4 are not needed. Special care should be taken of the linking subfields \$0/\$1 and \$w, and their context in \$2 and \$7, respectively. Additions should be explored further, like the first indicator and its relationship to the RDA 'accrual method' vocabulary; subfield \$3 (Materials specified), especially for serials; and definitions for the field, the first indicator and its values, and all of the subfields. New examples should reflect the direction taken. The paper will likely return as a proposal for the next MAC meeting."

We were glad to recognize that the primary focus on the Holdings format was welcomed by many colleagues. Our estimation is that field 361 in the Holdings format has the potential of being some kind of surrogate for the headings fields and the genre/form field 655 which are missing in the MARC Holdings format. It should be mentioned that it is not our intention to define fields 655 or fields 700/710/711 in the MARC Holdings format. We would be open to such an approach if another part of the MARC community will bring it up at a later time, though.

With regards to the Authority format and the matter of race and gender biases, the Working Group fully acknowledges this point, and would like to extend it further to other aspects and dimensions which can be affected by social and cultural biases. With an eye to book ownership and custodial history cataloging, we do see the opportunities: While usually a person can have an authority record by a book written about the person, or by a book written by the person, it is now possible to be identified as a former owner of an individual copy of a book, thus lowering the limitations significantly. "In most cases, provenance evidence left by quite ordinary people is more difficult to identify than those of well-known personalities. Yet such traces might be an important, if not the only source of biographical information. The book of devotion shown in ill. 1 contains a family history noted down by the former owner Hedwig von Stönne from Latvia which would otherwise be completely unknown" (source: Michaela Scheibe: The 'Biography of Copies': Provenance Description in Online Catalogues, in: Early printed books as material objects. Proceedings of the conference organized by the IFLA Rare Books and Manuscripts Section Munich, 19 - 21 August 2009, ed. by Bettina Wagner, Berlin 2010 (IFLA publications 149), p. 271 - 281, p. 271.)

Considering the four options and the contributions from various parts of the MARC community, our Working Group came to the conclusion that neither option 1 (no changes) nor option 2 (usage of subfield \$8 to combine 561, 655 and 7XX fields) nor option 3 (add subfield \$0 and some other subfields to field 561) would be a promising and forward-thinking way to meet the requirements here. Option 1 would keep the status quo, and would mean the loss of data and the separation of parts of the community. Option 2 is not

much more than a workaround with a high level of technical complexity, without meeting the needs. Especially option 3, the enrichment of field 561, has been discussed thoroughly. It is true that some note fields have evolved into well-structured and more data-driven solutions (among them field 502 and most recently the 506 and 540 fields for open access and license information). But we were not able to imagine a complete solution based on field 561, and so we came to the conclusion that field 561 would not be able to cover the entirety of the data-driven and authority-control-oriented approach which field 361 promises to provide.

In the course of the discussion, it has been pointed out that defining a new field 361 in parallel to the existing field 561 would increase the risk of bifurcated metadata. While we admit that the issue of redundant MARC elements exists in general as a well-known phenomenon, we argue that for different purposes (textual vs. data-driven), some groups of fields exist with good reasons in parallel to each other in the 3XX and 5XX regions, e.g. field 341 defined at the same time as field 532 in 2017/2018, and field 353 "Supplementary Content Characteristics" defined 2020/2021 in addition to the existing fields 504 and 525.

Another argument was made about the impression of a high level of complexity of field 361 as laid out in the Discussion Paper. This impression seems to be based on the close equivalence between the new field and the existing K10plus field 9100 = 092B, documented online at https://swbtools.bsz-bw.de/cgi-bin/k10plushelp.pl?cmd=kat&val=9100. Field 9100 is used for some years now, resulting in more than a million occurrences of field 9100 in more than 400.000 bibliographic records. With its dense structure, field 9100 is the most ambitious model to reflect the results of provenance research and ownership and custodial history in a bibliographic format, and this structure has passed the usability test. At the same time, less ambitious models can be used here, and we are content that they will fit into the more complex framework. So, field 361 may be filled with much simpler combinations of subfields without any loss whenever the source data is less complex than e.g. field 9100.

All this is not to say that field 561 is reduced in its role and value. On the contrary, we expect that the two fields to coexist in MARC records, not only for a period of transition from textual to data-driven cataloging, but also because field 561, as one colleague has pointed out, can sometimes express "uncertainty, conjecture, variants, summaries of external research, or other forms of expertizing that is the raw material of further research." In the new field 361, we now see subfields \$x and \$z as elements to carry this kind of free text information. In addition, field 561 plays a significant role in the eye-readable presentation of ownership and custodial history information which otherwise will have to be brought together from the single elements of field 361.

The point of field 541 "Immediate Source of Acquisition Note" in combination with field 361 is well-taken. In our view, field 541 describes the last step of a sometimes long history, the immediate acquisition by the institution which now holds the single copy. Field 541 has a different scope, and a specific structure with some subfields not too relevant for research into ownership and custodial history, but it can easily be combined with a 361 field, or with a sequence of 361 fields.

Considering the name of the new field, the Working Group appreciates the critical voices and agrees that in the MARC context, the term "provenance" should be reserved for data

provenance as far as possible, so that confusion can be avoided significantly. With an eye to the name of field 561, we have discussed several suggested versions, e.g. "structured" / "formatted" / "controlled" / "standardized" in combination with "ownership and custodial history". We finally decided to propose "Ownership and custodial history in structured form" here.

We were thankful for the estimation that the new field doesn't have to function as a headings field, so that the "names group" laid out in the Discussion Paper can be reduced to one subfield \$a, simply called "Name", similar to field 342 "Geospatial Reference Data". At the same time, subfields \$e and \$4 don't have to be defined if they cause confusion. It might however be possible to add \$e and \$4 at a later time, if needed.

The issue of two links out of one field 361 into an authority file is based on the core information of a single field 361: "With regard to *this* resource, *this* provenance mark indicates the prior ownership of *this* person." In IFLA LRM terminology: a distinct *Item* (ISIL plus *Item* identifier) has *Evidence* (controlled terms, authority record) from *Agents* (authority record for personal/corporate name or collection). Continuing the approach taken in the preceding discussion paper, we do no longer distinguish between identifier subfields for the person (etc.), and identifier subfields for the provenance mark: Leaving subfield \$w behind, we now propose \$0 / \$1 for both a former owner or collection, and at the same time for a provenance mark. Admittedly, we have two subfields \$0 in one field 361, pointing to two different entities. Special care has then to be taken how in each single occurrences of field 361 the information can be formulated so that the statement remains clear enough.

At the same time, subfield \$2 "Source" was discussed. Generally speaking, subfield \$2 provides context information for the content of a field. \$2 is always defined as a nonrepeatable subfield. Given the fact that in many occurrences of field 361 we have one subfield \$a and (at least) one subfield \$f, from different authority files and thesauri, one single subfield \$2 would only cover half of the field content. Making subfield \$2 repeatable would risk confusion. Our idea is that subfield \$2 should be omitted from the new field 361, and replaced by the recently defined, more flexible and repeatable subfield \$7 "Data provenance": For the designation of the source consulted, it can contain "(dpesc/dpsfa)" plus a designation of the authority file or thesaurus from which the content of subfield \$a "Name" has been taken, or it can contain "(dpesc/dpsff)" plus a designation of the authority file or thesaurus from which the content of subfield \$f "Ownership and custodial history evidence term" is taken. Here it was rightfully pointed out that 361 would be the first field to contain subfield \$7 for "Data provenance" information in the Holdings format, so that an appendix to the MARC Holdings Format would have to be established, similar to those in the MARC Bibliographic format (https://www.loc.gov/marc/bibliographic/bdapndxj.html) and in the MARC Authority

format (https://www.loc.gov/marc/otoloographic/otdaphdxj.html). After a thorough discussion, the Task Group finally decided to omit subfield \$2 from the Proposal, and to propose subfield \$7 for the new field 361. In many cases, the context of subfield \$a is sufficiently clear, and links to the authority record plus URIs are provided in subfields \$0.

Consequently, in our examples we only show subfield \$7 relating to the content of subfield(s) \$f. Here, we use either "rbprov" or "tpro" or "gnd" as codes, each of them taken from the list of "Genre/Form Code and Term Source Codes", maintained by the Library of Congress and available online at https://www.loc.gov/standards/sourcelist/genre-form.html

.

We agree that subfield \$3 "Materials specified" is a good candidate for the addition to field 361, as it has potential to express ranges on a time-scale, especially when parts of a serial have different ownership and custodial history information.

Of importance has been the suggestion to compare the existing indicators for the type of ownership and custodial history information to the RDA vocabulary for an "accrual method", based on the recent discussion of the collections model. The vocabulary provides "concepts for a method of transfer of custodianship of the items that are added to a manifestation of a collection work." It is available at

http://www.rdaregistry.info/termList/RDACollectionAccrualMethod/ , with the values "loan", "deposit", "donation", license", and "purchase", and their respective definitions. Based on these, we tried to extend the mapping between the values of indicator 1 "Type of ownership and custodial history information" and the coded values of the K10plus Pica field 9100=092B subfield \$S, by the RDA vocabulary for an "accrual method", resulting in the following table:

| Code 9100 \$S | Term | MARC 361, First Indicator | MARC term | RDA term | RDA definition |
|--------------------------------|-----------|------------------------------|---------------------------|-------------|---|
| (no \$S, or other code in \$S) | | # | (No information provided) | | |
| vb | Vorbesitz | 0 | Former ownership | | |
| zu | Zugang | 1 | Accession | | |
| ab | Abgang | 2 | Withdrawal | | |
| au | Ausleihe | 3 | Historical loan | loan | A collection accrual method that adds items to a collection for a fixed or open-ended timespan with no transfer of ownership or financial transaction. |
| sl | Sammlung | 4 | Collection | | |
| | | | | deposit | A collection accrual method that adds items to a collection permanently with no transfer of ownership or financial transaction. |

| Code 9100 \$S | Term | MARC 361, First Indicator | MARC term | RDA term | RDA definition |
|------------------|------|------------------------------|--------------|-------------|--|
| | | | | donation | A collection accrual method that adds items to a collection permanently with a transfer of ownership but no financial transaction. |
| | | | | license | A collection accrual method that adds items to a collection for a fixed or open-ended timespan with no transfer of ownership but with a financial transaction. |
| | | | | purchase | A collection accrual method that adds items to a collection permanently with a transfer of ownership and a financial transaction. |

Our impression is that - apart from "loan" - there is no significant overlap between the two vocabularies. This may be based on the different approaches: While research and cataloging of ownership and custodial history has its focus on a single copy, the RDA vocabulary has its focus on collection building and its aspects. Nevertheless, we see the potential of the RDA vocabulary, because its values can be combined with the list of the MARC first indicator values (based on K10plus field 9100 subfield \$S) which were already discussed. In summary, we now propose for field 361 the definition of the second indicator, named "Type of accession", and reflecting the names and definitions of the RDA "accrual method" vocabulary. Because this approach was taken quite late in the process of the creation of this proposal, and because this kind of distinction is not (yet) used in the K10plus field 9100, the examples provided here do not illustrate specific values for the second indicator of field 361 at the moment.

3. FORMAT CHANGES

3.1. The new field **361**

In summary, we hereby propose a new field with the following elements:

361 - Ownership and Custodial History in Structured Form (R)

The field contains copy-specific information in structured form, concerning the ownership and custodial history of the described materials from the time of their creation to the time of their accessioning.

For textual information about ownership and custodial history, field 561 (Ownership and Custodial History) is used.

The immediate source of acquisition is recorded in field 541 (Immediate Source of Acquisition Note).

First Indicator

Type of ownership and custodial history information

Designates the type of ownership and custodial history, e.g. former ownership, accession, withdrawal, historical loan, or collection

- No information provided

0 – Former ownership

Indicates that the information in the field describes a former ownership.

1 – Accession

Indicates that the information in the field describes an accession, e.g. an acquisition or donation.

2 – Withdrawal

Indicates that the information in the field describes a withdrawal, e.g. a restitution.

3 – Historical loan

Indicates that the information in the field describes a historical loan, e.g. by a well-known person.

4 – Collection

Indicates that the information in the field describes a collection, e.g. the addition of the single copy to a larger context.

Second Indicator

Type of accession

Designates the method of transfer of custodianship of the single copy which has been added to a collection

This indicator is based in the RDA vocabulary "Accrual method", which provides "concepts for a method of transfer of custodianship of the items that are added to a manifestation of a collection work".

- No information provided

0 - Loan

A collection accrual method that adds items to a collection for a fixed or open-ended timespan with no transfer of ownership or financial transaction.

1 - Deposit

A collection accrual method that adds items to a collection permanently with no transfer of ownership or financial transaction.

2 - Donation

A collection accrual method that adds items to a collection permanently with a transfer of ownership but no financial transaction.

3 - License

A collection accrual method that adds items to a collection for a fixed or open-ended timespan with no transfer of ownership but with a financial transaction.

4 - Purchase

A collection accrual method that adds items to a collection permanently with a transfer of ownership and a financial transaction.

Subfields:

\$a - Name (NR)

Name of the person, family, organization, jurisdiction or collection which has played a role in the ownership and custodial history of the copy described.

Includes dates, titles and other words associated with a personal name, and number or name of a section of a collection.

\$f – Ownership and custodial history evidence term (R)

The subfield contains terms representing types of copies (e.g. dedicatees' copies, authors' copies, presentation copies, etc.) as well as physical amendments (ownership evidence marks), such as autographs, insertions, bookplates, and stamps.

Preferably, the terms are taken from a controlled vocabulary, e.g. the RBMS Provenance Evidence Thesaurus, or the T-PRO thesaurus.

The thesaurus can be given in subfield \$7 of the same field 361, with *Data Provenance Category Code* "dpsc" for *Data provenance element source consulted*, and *Data Provenance Relationship Code* "dpsff" to designate that the data provenance relates to subfield \$f.

\$i - Date in structured form

The subfield contains date of accession or date of withdrawal and other date information.

Date is recorded in the format yyyymmdd in accordance with ISO 8601, Representation of Dates and Times

\$i – Date in unstructured form

The subfield contains an approximate date information or a date range of accession or withdrawal, and other unstructured date information.

\$s – Shelf mark of copy described (R)

The subfield contains a shelf mark of the copy described, e.g. the location, classification and number of the copy. In a Holdings record, it can be identical to the content of field 852 "Location" subfield \$c "Shelving location".

\$u - Uniform Resource Identifier (R)

The subfield contains a URI pointing to additional information, e.g. the link to a representation of key pages of the copy described.

\$y – Identifier of the copy described (R)

The subfield contains the identifier of the copy described. In a Holdings record, it can be identical to the content of field 001. In a Bibliographic record, field 361 provides a reference to a Holdings record, e.g. if the Holdings record itself doesn't provide ownership and custodial history information.

x - Nonpublic note (R)

Note relating to the ownership and custodial history described in the field. The subfield may also contain information about uncertainty, conjecture and variants. The note is written in a form that is not adequate or intended for public display.

z – Public note (R)

Note relating to the ownership and custodial history described in the field. The subfield may also contain information about uncertainty, conjecture and variants. The note is written in a form that is adequate or intended for public display.

Control subfields:

\$0 - Authority record control number or standard number (R)

The subfield contains an authority record control number / URI for a person, corporate body, jurisdiction as former owner, or collection. Alternatively, the subfield contains an authority record control number / URI for an ownership and custodial history evidence term.

See description of this subfield in Appendix A: Control Subfields.

\$1 - Real World Object URI (R)

See description of this subfield in Appendix A: Control Subfields.

\$3 - Materials specified (NR)

Information to differentiate the multiple statements of the described materials to which the field applies.

\$5 - Institution to which field applies (NR)

Designation of current ownership, i.e. the institution currently holding the copy. In a Holdings record, it can be identical to the content of field 852 "Location" subfield \$a "Location".

See description of this subfield in Appendix A: Control Subfields.

\$6 – Linkage (NR)

See description of this subfield in Appendix A: Control Subfields.

\$7 – Data provenance (R)

May contain the designation of the creator of field content, or the source consulted, or the context of use.

See description of this subfield in Appendix J: <u>Data Provenance Subfields</u>.

\$8 - Field link and sequence number (R)

See description of this subfield in Appendix A: Control Subfields.

3.2. Adjustment to field 561

In field 561, we propose the following sentence to be added to the "field definition and scope" section:

"Ownership and custodial history in structured form, including links to an authority file, is recorded in field 361."

3.3. Establishment of an appendix "Data Provenance Subfields" in the MARC 21 Format for Holdings Data

In the MARC 21 Format for Holdings Data, we propose to establish an appendix "Data Provenance Subfields", in parallel to Appendix J to the MARC 21 Format for Bibliographic Data, and to Appendix H to the MARC 21 Format for Authority Data

4. EXAMPLES -

General note to the examples:

In some of the examples, German terms from the K10plus online catalog are given in English language, for reasons of readability. Similarly, for standardized recording of ownership and custodial history information in field 361, terms from the RBMS *Provenance Evidence: A Thesaurus for Use in Rare Book and Special Collections Cataloguing* were employed in some of the examples.

4.1. Holdings, basic examples

cf. example 4.3.

```
361 0# $aCapstick, John Walton

852 ## $aDE-39$cH 8° 10018

361 0# $fbookplate

852 ## $aDE-39$cH 8° 10018

361 0# $aCapstick, John Walton$fbookplate

852 ## $aDE-39$cH 8° 10018
```

4.2. Bibliographic, basic examples

```
cf. example 4.3.
```

```
361 0# $5DE-39 $sH 8° 10018 $aCapstick, John Walton

361 0# $5DE-39 $sH 8° 10018 $fbookplate

361 0# $5DE-39 $sH 8° 10018 $aCapstick, John Walton $fbookplate
```

4.3. Bibliographic, simple example

cf. https://opac.k10plus.de/DB=2.299/PPNSET?PPN=1725230380

```
001 1725230380
003 DE-627
100 1# $aCastle, Egerton $d1858-1920 $eAuthor $0(DE-588)172031117 $0(DE-627)704724626 $0(DE-576)356513696 $4aut
245 10 $aSchools and masters of fence $bfrom the middle ages to the eighteenth century: with a complete bibliography: illustrated with reproductions of old engravings and representations of typical swords $cby Egerton Castle, M.A., F.S.A.
264 1# $aLondon $aNew York $bGeorge Bell & Sons, York St., Covent Garden $c1892
361 0# $5DE-39 $y3727014024 $sH 8° 10018 $aCapstick, John Walton $0(DE-588)121086634X $0https://d-nb.info/gnd/121086634X $fbookplate $7(dpesc/dpsff)rbprov $0(DE-588)1211584690 $0https://d-nb.info/gnd/1211584690
```

4.4. Bibliographic, based on a record provided by the Pierpont Morgan Library, with combination of fields 361 and 541

cf. http://corsair.themorgan.org/vwebv/holdingsInfo?bibId=171088

```
001 171088
100 1# $aKnox, Vicesimus, $d1752-1821.
245 10 $aElegant extracts : $bor useful and entertaining passages in
        prose ...
250 ## $aSecond edition ...
260 ## $aDublin : $bP. Byrne, $c1793.
361 0# $5NNPM $y(Holdings record ID) $sE3 091 A $zWith the signature of
        Jane Thoreau, aunt of Henry D. Thoreau on fly-leaf; presented to
        William Allen by Miss Sophia E. Thoreau, June 13, 1872; John L.
        Cooley.
501 ## $aHandwritten bibliographic note, originally laid in, now in
        departmental file. $5NNPM
541 1# $cGift of $aJohn L. Cooley, $d1961. $5NNPM
563 ## $aBrown leather. $5NNPM
700 1# $aCooley, John L., $eformer owner. $5NNPM
700 1# $aThoreau, Jane, $eformer owner. $5NNPM
700 1# $aThoreau, Sophia E., $eformer owner. $5NNPM
852 ## $aPierpont Morgan Library $bDept. of Printed Books
```

4.5. Bibliographic, book ownership of a 16th century child

cf https://opac.k10plus.de/DB=2.299/PPNSET?PPN=477923674

```
001 477923674
003 DE-627
026 ## $er-en t.vn enn. inwo 3 1585R $2fei
035 ## $a(OCoLC)254602636
245 10 \$aKirchenGesäng, So bey der Predigt deß Göttlichen worts vnd
        außspendung der H. Sacramenten in den Kirchen Augspurgischer
        Confession, gebraucht werden $bAuß den besten Gesangbüchern ...
        in ein richtige gute Ordnung gebracht, vnd zum fleissigsten
        corrigieret vnd gebessert $cDurch den Wolgelehrten Herren
        Eucharium Zinckeisen, Pfarherrn zu Langen
264 1# $aFranckfurt am Meyn $bFeyrabend $c1585
264 1# $aFranckfurt am Meyn $bLechler $c1585
300 ## $a351, [8] Bl. $c12°
361 0# \$5DE-39 \$y695277863 \$sCant.spir 8° 00623 \$aRüffer, Neithard, 1580-
        1593 $0 (DE-588) 1215289650 $0http://d-nb.info/gnd/1215289650
        $fAutograph $7(dpesc/dpsff)rbprov $i1590 $zHerbipolensis
361 0# $5DE-39 $y695277863 $sCant.spir 8° 00623 $aRüffer, Anton $0(DE-
        588)124676405 $0http://d-nb.info/gnd/124676405
361 4# $5DE-39 $y695277863 $sCant.spir 8° 00623 $aRüffer, Anton $0(DE-
        588)1243536829 $0http://d-nb.info/gnd/1243536829 $zCatalogue of
        the Rüffer Library 1637, Libri Theologici 8°, No. 253 (City
        Archives Schweinfurt, Ha 160)
361 0# $5DE-39 $y695277863 $sCant.spir 8° 00623 $aHerzogliche Bibliothek
        (Gotha) $0 (DE-588) 815650-5 $0http://d-nb.info/gnd/815650-5
        $aStamp $7(dpesc/dpsff)rbprov $0(DE-588)1218267992 $0http://d-
        nb.info/qnd/1218267992
500 ## $aFingerprint nach dem Ex. der FB Gotha
500 ## $aErscheinungsvermerk im Kolophon: Getruckt zu Franckfurt am Meyn,
        bey Martin Lechler, in verlegung Sigmund Feyrabend
510 3# $aVD16 K 929
655 7# $aGesangbuch $0(DE-627)096631791 $2local
700 1# $aZinckeisen, Eucharius $0(DE-588)138520801 $0(DE-627)696687232
        $0 (DE-576) 307906108 $4oth
      $aFeyerabend, Sigmund $d1528-1590 $0(DE-588)118683527 $0(DE-
        627)13457317X $0(DE-576)160937299 $4prt
700 1# $aLechler, Martin $d15XX-1594 $0(DE-588)1037503880 $0(DE-
        627)756075440 $0(DE-576)391562495 $4prt
```

4.6. Bibliographic, complex example

cf. https://opac.k10plus.de/DB=2.299/PPNSET?PPN=1326375571

- 300 ## \$aviii, 183 pages \$bFrontispiece, illustrations \$c26 cm
- 361 0# \$5DE-39 \$y3933539897 \$sK II 8° 00052/01 \$aFairbairn, William \$0 (DE-588)117498149 \$0http://d-nb.info/gnd/117498149 \$fauthors' presentation copy \$7 (dpesc/dpsff)rbprov \$fInsertion \$7 (dpesc/dpsff)rbprov \$fDate \$7 (dpesc/dpsff)rbprov \$i18540425 \$zAutograph letter from author to Prince Albert pasted in
- 361 0# **\$5**DE-39 **\$y**3933539897 **\$s**K II 8° 00052/01 **\$a**Albert, Great Britain, Prince Consort **\$0** (DE-588)11864758X **\$0**http://d-nb.info/gnd/11864758X **\$f**donor's copy **\$f**donor's bookplate **\$0** (DE-588)1268060240 **\$0**https://d-nb.info/gnd/1268060240 **\$i**18580618
- 361 0# \$5DE-39 \$y3933539897 \$sK II 8° 00052/01 \$aHerzogliche Bibliothek (Gotha) \$0(DE-588)1087039940 \$0http://d-nb.info/gnd/815650-5 \$fstamp \$7(dpesc/dpsff)rbprov \$0(DE-588)1218267992 \$0http://d-nb.info/gnd/1218267992
- 700 1# **\$a**Brewster, David **\$d**1781-1868 **\$e**Dedicatee **\$0**(DE-588)119440660**\$0**(DE-627)13638871**X \$0**(DE-576)212534580 **\$4**dte
- 710 2# **\$a**John Weale **\$g**London **\$e**Verlag **\$0** (DE-588) 3063211-0 **\$0** (DE-627) 714258873 **\$0** (DE-576) 252408888 **4**pbl

4.7. Bibliographic, more complex example

cf. https://opac.k10plus.de/DB=2.299/PPNSET?PPN=323491057

- 001 323491057
- 003 DE-627
- 035 ## **\$a**(OCoLC)248301029
- 100 1# \$aZschokke, Heinrich \$d1771-1848 \$0 (DE-588) 118637266 \$0 (DE-627) 133369676 \$0 (DE-576) 163682755 \$4aut
- 245 10 **\$a**Heinrich Zschokke's ausgewählte Schriften **\$n**Neununddreißigster Teil **\$p**Abellino
- 264 1# **\$a**Aarau **\$b**Sauerländer **\$c**1828
- 300 ## **\$a**334 S., [5] Bl
- 361 3# \$5DE-32 \$y422108138 \$sDd 4 : 118 (39) \$aGoethe, Johann Wolfgang von-, 1749-1832 \$0 (DE-588)118540238 \$0https://d-nb.info/gnd/118540238 \$j1831-06-09 bis 1831-07-21 \$zQuelle Ausleihjournal; Goethe-Ausleihen Weimar Nr. 2235 (Keudell-Nr. 2210)
- 361 4# **\$5**DE-32 **\$y**422108138 **\$s**Dd 4 : 118 (39) **\$a**Sammlung Ausleihen Johann Wolfgang von Goethe **\$g**Weimar **\$0**(DE-588)1207789658 **\$0**https://d-nb.info/gnd/1207789658
- 361 0# **\$5**DE-32 **\$y**422115126 **\$s**N 1751 (39) **\$a**Stein-Kochberg, Felix -von-, 1828- **\$0**(DE-588)117244740 **\$0**https://d-nb.info/gnd/117244740
- 361 0# \$5DE-32 \$y422115126 \$sN 1751 (39) \$aSchwerin, Woldemar -von-, 1896-1981 \$0(DE-588)126798885 \$0https://d-nb.info/gnd/126798885 \$fBodenreform \$7(dpesc/dpsff)gnd \$0(DE-588)4146165-4 \$0https://d-nb.info/gnd/4146165-4 \$i1945 \$zKulturgutentziehung
- 361 0# \$5DE-32 \$y422115126 \$sN 1751 (39) \$aGoethe- und Schiller-Archiv, Bücherei \$0 (DE-588)1064119859 \$0https://d-nb.info/gnd/1064119859 \$fStempel \$7 (dpesc/dpsff) gnd \$0 (DE-588)4183099-4 \$0https://d-nb.info/gnd/4183099-4\$ i19540507 \$zHerkunft lt. Zugangsbuch: Schloß Groß-Kochberg, Zugangsdatum: 07.05.1954
- 361 2# \$5DE-32 \$y422115126 \$sN 1751 (39) \$aHerzogin Anna Amalia
 Bibliothek \$0 (DE-588) 5038969-5 \$0https://d-nb.info/gnd/5038969-5
 \$fRestitution \$7 (dpesc/dpsff) tpro \$i2014 \$zRestitution an die
 Rechtsnachfolger
- 361 1# \$5DE-32 \$y422115126 \$sN 1751 (39) \$aHerzogin Anna Amalia
 Bibliothek \$0 (DE-588) 5038969-5 \$0https://d-nb.info/gnd/5038969-5
 \$fRestitutionsexemplar \$7 (dpesc/dpsff) tpro \$i2014 \$zAnkauf nach
 Restitution

```
361 4# $5DE-32 $y422115126 $sN 1751 (39) $aBibliothek Grünes Zimmer
$0 (DE-588)1194682502 $0https://d-nb.info/gnd/1194682502
361 5# $5DE-32 $y422115126 $sN 1751 (39) $aSammlung von Stein-Kochberg
$0 (DE-588)1194682405 $0https://d-nb.info/gnd/1194682405
```

4.8. Bibliographic, complex custodial history with different indicator 1 values, and dates in structured and unstructured form

cf. https://opac.k10plus.de/DB=2.299/PPNSET?PPN=1029478546

```
361 1# $5DE-1 $y575632259 $sVq 5270-2 $aKönigliche Bibliothek zu Berlin $0(DE-588)37101-4 $0http://d-nb.info/gnd/37101-4 $fStempel $7(dpesc/dpsff)t-pro $jvor 1840 $zDoppelrandiger Stempel Ex Biblioth. Regia Berolinensi.
```

- 361 3# \$5DE-1 \$y575632259 \$sVq 5270-2 \$aPreußische Staatsbibliothek \$0 (DE-588) 37102-6 \$0http://d-nb.info/gnd/37102-6 \$fZensurexemplar \$fGrafisches Zeichen \$7 (dpesc/dpsff) t-pro \$zAuf der Titelseite blaues Dreieck nach unten.
- 361 2# \$5DE-1 \$y575632259 \$sVq 5270-2 \$aPreußische Staatsbibliothek \$0 (DE-588) 37102-6 \$0http://d-nb.info/gnd/37102-6 \$fBeutegut \$7 (dpesc/dpsff) t-pro \$jca. 1945 \$zAus verlagerten Beständen in die Sowjetunion abtransportiert und laut Zeitzeugenbericht 1953 mit anderem Beutegut in zwei Güterwaggons in Duschanbe (Tadschikistan) angekommen.
- 361 0# \$5DE-1 \$y575632259 \$sVq 5270-2 \$aEisener, Reinhard \$fMonogramm \$7(dpesc/dpsff)t-pro \$jca. 1995 \$zMonogramm rh (gedreht: E) auf dem Vorsatz. Als Geschenk in Duschanbe (dort seit 1953 in Privatbesitz) erworben.
- 361 0# **\$5**DE-1 **\$y**575632259 **\$s**Vq 5270-2 **\$a**NN **\$f**Notiz **\$7**(dpesc/dpsff)t-pro **\$z**Mit Bleistift auf der Titelseite notierte Initialen Ch [?]
- 361 1# \$5DE-1 \$y575632259 \$sVq 5270-2 \$aStaatsbibliothek zu Berlin \$0(DE-588)5036103-X \$0http://d-nb.info/gnd/5036103-X \$fRestitutionsexemplar \$7(dpesc/dpsff)t-pro \$i20180824 \$zGeschenk von Dr. Reinhard Eisener, Berlin

4.9. Bibliographic, based on record provided by the British Library, with ISNI identifier

cf. http://explore.bl.uk/BLVU1:LSCOP-ALL:BLL01000460947

361 0# **\$5**Uk **\$y**(Holdings record ID) **\$s**778.e.41.(12.) **\$a**Sloane, Hans, 1660-1753 **\$0**(isni)ISN:000000123196729 \$1https://isni.org/isni/000000123196729 \$finscriptions \$7(dpesc/dpsff)rbprov \$zFormerly owned by Sir Hans Sloane, whose library became one of the founding collections of the British Museum and the British Library. Contains manuscript notes and/or inscriptions which indicate Sloane ownership. Manuscript inscription in Sloane's hand on page 3: "The Brazilian root here meant is the Ipecuacuanha". 500 ## **\$a**Attributed to Richard Griffith by Halkett and Laing. Also attributed to John Pechey and to John Peachi. 510 4# **\$a**Wing (CD-ROM, 1996), **\$c**G2019A 700 1# **\$3**Copy at 778.e.41.(12.)., **\$a**Sloane, Hans, **\$c**Sir, **\$d**1660-1753 **\$e**former owner. **\$1**http://isni.org/isni/000000123196729 **\$5**Uk 752 ## **\$a**Great Britain **\$b**England **\$d**London. 700 1# \$aPeachi, John, \$dactive 1683, \$eattributed name. 700 1# **\$a**Pechey, John, **\$d**1655-1716, **\$e**attributed name. 700 1# **\$a**Banks, Joseph, **\$d**1743-1820, **\$e**former owner.**\$5**Uk 700 1# \$aMicklethwaite, John, \$cSir, \$d1612-1682, \$eaddressee 852 41 **\$a**British Library **\$b**HMNTS **\$5**546.g.18.(6) 852 41 **\$a**British Library **\$b**HMNTS **\$5**B.615.(1) 852 41 \$aBritish Library \$bHMNTS \$5778.e.41.(12) \$qCopy at 778.e.41.(12.). Imperfect: wanting the title page.

4.10. Bibliographic, with providence evidence from the GND authority file, and link to a key page in an auction catalog

cf. https://opac.k10plus.de/DB=2.299/PPNSET?PPN=374776245

- 361 0# \$5DE-1 \$y686198638 \$sYu 9411 \$aHeyse, Karl Wilhelm Ludwig \$0(DE-588) 118774360 \$0http://d-nb.info/gnd/118774360 \$fAutogramm \$7(dpesc/dpsff)t-pro \$0(DE-588) 1072781654 \$0http://d-nb.info/gnd/1072781654 \$i184304 \$zAuf dem Vorsatz hs.

 Besitzvermerk: KWL Heyse, Berlin 1843 April.

 361 1# \$5DE-1 \$y686198638 \$sYu 9411 \$aKönigliche Bibliothek zu Berlin
- 361 1# \$5DE-1 \$y686198638 \$sYu 9411 \$aKönigliche Bibliothek zu Berlin \$0 (DE-588) 37101-4 \$0http://d-nb.info/gnd/37101-4 \$fZugangsnummer Hey 1769 \$7 (dpesc/dpsff)t-pro \$jnach Juni 1854 \$zNummer aus dem Heyse-Katalog (Stargardt 1854), auch auf dem hinten eingeklebten Reiter \$uhttps://www.digitale-sammlungen.de/view/bsb10857428?page=128,129

4.11. Bibliographic: Serial example, using subfield \$3 in field 361

cf. https://opac.k10plus.de/DB=2.299/PPNSET?PPN=167471791

- 361 0# \$5DE-1 \$y586641386 \$sNb 4636<a> \$314.1923 \$aGrosse Landesloge der
 Freimaurer von Deutschland, Bibliothek \$0(DE-588)16326833-2
 \$0http://d-nb.info/gnd/16326833-2 \$fBibliotheksexemplar
 \$fStempel \$7(dpesc/dpsff)t-pro \$0(DE-588)1169173209 \$0http://d nb.info/gnd/1169173209 \$z1 Band: Roter Stempel auf dem vorderen
 Spiegel: Wolfstieg Nr. [gestrichen].
 361 0# \$5DE-1 \$y586641386 \$sNb 4636<a> \$35.1914 7.1916 \$aGrosse
- 361 0# **\$5**DE-1 **\$y**586641386 **\$s**Nb 4636<a> **\$3**5.1914 7.1916 **\$a**Grosse Landesloge der Freimaurer von Deutschland, Bibliothek **\$0**(DE-588)16326833-2 **\$0**http://d-nb.info/gnd/16326833-2 **\$f**Bibliotheksexemplar **\$f**Signatur E 27a **\$f**Tektur

```
$7(dpesc/dpsff)t-pro $z3 Bände: Geschwärzter handschriftlicher Eintrag im Stempel: E 27a [letzter Buchstabe fraglich].
```

- 361 0# \$5DE-1 \$y586641386 \$sNb 4636<a>\$310.1919 \$aProvinzial-Großloge von Hamburg in Berlin, Bibliothek \$0 (DE-588) 1075832624 \$0http://d-nb.info/gnd/1075832624 \$fBibliotheksexemplar \$bStempel \$fTektur \$7 (dpesc/dpsff) t-pro \$0 (DE-588) 1077383622 \$0http://d-nb.info/gnd/1077383622 \$z1 Band: Geschwärzter rechteckiger Stempel auf dem Titelblatt: Bibliothek der Provinzial-Großloge von Hamburg in Berlin.
- 361 1# \$5DE-1 \$y586641386 \$sNb 4636<a> \$31.1910 10. 1919; 14.1923 \$aÖffentliche Wissenschaftliche Bibliothek \$0 (DE-588) 37103-8 \$0http://d-nb.info/gnd/37103-8 \$fNS-Raubgut: Verdacht \$7 (dpesc/dpsff) t-pro \$z11 Bände: Verdacht auf NS-Raubgut.

4.12. Holdings records in combination with bibliographic record

cf. example 4.7, and https://opac.k10plus.de/DB=2.299/PPNSET?PPN=323491057

4.12.1. Bibliographic record

```
001 323491057
003 DE-627
035 ## $a(OColc)248301029
100 1# $aZschokke, Heinrich $d1771-1848 $0(DE-588)118637266 $0(DE-627)133369676 $0(DE-576)163682755 $4aut
245 10 $aHeinrich Zschokke's ausgewählte Schriften $nNeununddreißigster Teil $pAbellino
264 1# $aAarau $bSauerländer $c1828
300 ## $a334 S., [5] Bl
500 ## $aIn Fraktur
773 18 $w(DE-627)145990389 $gNeununddreißigster Teil $q39.1828 $7nnnm
```

4.12.2. Holdings record A

4.12.3. Holdings record B

```
001 422115126

004 323491057

361 0# $5DE-32 $y422115126 $sN 1751 (39) $aStein-Kochberg, Felix -von-,

1828- $0(DE-588)117244740 $0https://d-nb.info/gnd/117244740

361 0# $5DE-32 $y422115126 $sN 1751 (39) $aSchwerin, Woldemar -von-,

1896-1981 $0(DE-588)126798885 $0https://d-nb.info/gnd/126798885
```

- **\$f**Bodenreform **\$7**(dpesc/dpsff)gnd **\$0**(DE-588)4146165-4 **\$0**https://d-nb.info/gnd/4146165-4 **\$i**1945 **\$z**Kulturgutentziehung
- 361 0# \$5DE-32 \$y422115126 \$sN 1751 (39) \$aGoethe- und Schiller-Archiv, Bücherei \$0 (DE-588)1064119859 \$0https://d-nb.info/gnd/1064119859 \$fStempel \$7 (dpesc/dpsff) gnd \$0 (DE-588)4183099-4 \$0https://d-nb.info/gnd/4183099-4 \$i19540507\$ zHerkunft lt. Zugangsbuch: Schloß Groß-Kochberg, Zugangsdatum: 07.05.1954
- 361 2# \$5DE-32 \$y422115126 \$sN 1751 (39) \$aHerzogin Anna Amalia
 Bibliothek \$0 (DE-588) 5038969-5 \$0https://d-nb.info/gnd/5038969-5
 \$fRestitution \$7 (dpesc/dpsff) tpro \$i2014 \$zRestitution an die
 Rechtsnachfolger
- 361 1# **\$5**DE-32 **\$y**422115126 **\$s**N 1751 (39) **\$a**Herzogin Anna Amalia
 Bibliothek **\$0**(DE-588)5038969-5 **\$0**https://d-nb.info/gnd/5038969-5 **\$f**Restitutionsexemplar **\$7**(dpesc/dpsff)tpro **\$i**201 4 **\$z**Ankauf nach
 Restitution
- 361 4# **\$5**DE-32 **\$y**422115126 **\$s**N 1751 (39) **\$a**Bibliothek Grünes Zimmer **\$0** (DE-588) 1194682502 **\$0**https://d-nb.info/qnd/1194682502
- 361 4# **\$5**DE-32 **\$y**422115126 **\$s**N 1751 (39) **\$a**Sammlung von Stein-Kochberg **\$0** (DE-588)1194682405 **\$0**https://d-nb.info/gnd/1194682405
- 852 ## **\$a**DE-32 **\$c**N 1751 (39)

4.13. Authority record

cf. https://d-nb.info/gnd/1219032743

- 001 1219032743
- 003 DE-101
- 075 ## **\$b**u **\$2**gndgen
- 075 ## **\$b**wis **\$2**gndspec
- 130 #0 **\$g**British Library **\$n**Royal Ms. 13 E IV
- 361 0# **\$0**(DE-588)118820915 **\$0**https://d-nb.info/gnd/118820915 **\$a**Jean **\$c**Berry, Herzog **\$d**1340-1416
- 361 0# **\$0**(DE-588)119427672 **\$0**https://d-nb.info/gnd/119427672 **\$a**Norfolk, Thomas Howard -of- **\$d**1473-1554
- 361 0# **\$0**(DE-588)118548204 **\$0**https://d-nb.info/gnd/118548204 **\$a**Henry **\$b**VIII **\$c**England, King **\$d**1491-1547
- 361 ## **\$0**(DE-588)1023420-2 **\$0**https://d-nb.info/gnd/1023420-2 **\$a**British Library
- 430 #0 **\$a**Manuscript **\$g**British Library **\$n**Royal MS 13 E IV
- 430 #0 \$aGuillaume de Nangis: Chronicon \$qBritish Library \$nRoyal 13 E IV
- 430 #0 \$aManuscript \$gBritish Library \$nRoyal 13 E IV
- 548 ## \$aca. early 14th c. \$4dats \$4https://dnb.info/standards/elementset/gnd#dateOfProduction \$wr \$idate of production
- 551 ## \$0 (DE-588) 4018145-5 \$0https://d-nb.info/gnd/4018145-5 \$aFrance \$4orth \$4https://d-nb.info/standards/elementset/gnd#placeOfManufacture \$wr \$iplace of manufacture
- 678 ## **\$b**Origin: France. Provenance: Jean Duc de Berry and Thomas Howard, Duke of Norfolk, then in the library of Henry VIII

5. BIBFRAME DISCUSSION

The BIBFRAME ontology has the property "custodialHistory", for "Information about the provenance, such as origin, ownership and custodial history (chain of custody), of a resource", see https://id.loc.gov/ontologies/bibframe.html#p_custodialHistory.

An editorial note has been added in June 2021, which reads: "See also the ARM Ontology for strategies to model this information in greater detail", with a link to the "Art and Rare Materials (ARM) BIBFRAME Ontology Extensions" at https://github.com/Art-and-Rare-Materials-BF-Ext/arm.

During the discussion in June 2022, it has been mentioned that "the Art and Rare Materials (ARM) extension to BIBFRAME defines separate classes for Custodial history and Marking. Examples are given on pages 34-36 of the ARM 1.0 implementation guidelines (PDF - accessible through Git Hub). Though both are associated with an Item entity", there doesn't seem to be "a method in the modeling for asserting connections between a specific marking and related custodial history, as proposed in the current discussion paper." (see https://listserv.loc.gov/cgi-bin/wa?A2=ind2206&L=MARC&P=12334)

6. SUMMARY OF PROPOSED CHANGES

- Define a new field 361 "Ownership and custodial history in structured form" in the Bibliographic, Holdings and Authority formats, as laid out in section 3.1. of this paper
- Adjust the "field definition and scope" section of field 561, as laid out briefly in section 3.2. of this paper
- Establish an appendix "Data Provenance Subfields" to the MARC 21 Format for Holdings Data, as laid out briefly in section 3.3. of this paper.