How to reflect Open Access and license information in MARC 21?

Reinhold Heuvelmann, German National Library *Revised Version March 2018*

On behalf of libraries in German speaking countries, the **Working Group on Licenses** ("Themengruppe Lizenzangaben") has been created in 2016 as a subgroup of the Committee on Data Formats ("Fachgruppe Datenformate"). The group has started to analyze needs for improving license information in a standardized way in MARC 21, and will then work on best practice recommendations. The liaison to a DINI AG KIM group with other metadata standards in scope has been established.

The Discussion Paper 2018-DP06 "Versions of Resources in the MARC 21 Bibliographic Format" which was on the agenda of the Midwinter 2018 MAC has some relationship to these efforts.

Two fields have been identified for closer analysis, field 506 "Restrictions on Access Note", containing "information about restrictions imposed on access to the described materials", and field 540 "Terms Governing Use and Reproduction Note", containing "terms governing the use of the materials *after* access has been provided".

Both fields have clear meanings, and a subfield $u for a URI. However, both fields seem to need some extensions:

**Field 506** has as first indicator "Restriction", with the defined values:

# - No information provided

0 - No restrictions

1 - Restrictions apply

We are reading 506 indicator 1 value "0" as a good equivalent to what is now called "Open Access", and as a good equivalent to the element "free\_to\_read” from NISO RP-22-2015 "Access and License Indicators".

With the information that "for continuing resources, the restrictions must apply to all issues", we see the need for an additional indicator value, e.g. "2", for "Restrictions apply in part" or "Restrictions partly apply", so that a continuing resource that consists of a mixture of articles, some under closed access conditions and others under open access conditions, can be marked with this information. This is sometimes described as "hybrid open access". Subfield $3 "Materials specified" may contain information about which parts fall into which category, expressed in repeatable fields 506.

**Field 540** has less subfields than field 506: 506 has been evolved by adding subfields $f "Standardized terminology for access restriction" and $2 "Source of term", so that it can carry data from controlled vocabularies, such as "star" for the "Standardized terminology for access restriction". Field 540 would need and deserve a similar structure, so that information taken from the list of Creative Commons licenses, and from the RightsStatements terminology, can be carried in a more-than-textual way. The same existing MARC code list for "Access Restriction Term Source Codes" may be used for both field 506 and field 540.

Furthermore, **chronological information** plays a role in licensing information. Some examples in the MARC documentation of field 506 already contain embargo information, or an "opening date", e.g.

506 ## **$a**Closed for 30 years;**$d**Federal government employees with a need to know.

506 1# **$a**Restricted: cannot be viewed until 2010;**$d**Members of donor's family.

506 ## **$a**Closed until January 1, 2068.**$f**No online access**$2**star

Here we are considering a more specific way to express an embargo or opening date, and other chronological data. We are at an early stage of defining needs and possible MARC format extensions.

Lastly, there is a local MARC 21 **field 912** defined for Libraries in German speaking countries, which contains information about a national license or a digital collection to which the resource described in the bibliographic record belongs. A publisher or service provider has defined a group of bibliographic resources, and offers them as a package. Each package is identified by an ISIL. A year of license may be given as additional information. Here we are searching for a MARC 21 compliant solution for this kind of information, similar to the entity "package" of the Codex Metadata Model used in Folio.

Links:

Presentation "Open Access and License Representation in MARC 21" (March 2017)

<https://www.slideshare.net/sollbruchstelle/open-access-and-license-representation-in-marc-21>

Field 506 "Restrictions on Access Note"

<http://www.loc.gov/marc/bibliographic/bd506.html>

MARC Usage statistics of field 506

<http://experimental.worldcat.org/marcusage/506.html>

Field 540 "Terms Governing Use and Reproduction Note"

<http://www.loc.gov/marc/bibliographic/bd540.html>

MARC Usage statistics of field 540

<http://experimental.worldcat.org/marcusage/540.html>

Creative Commons

<https://creativecommons.org>

RightsStatements.org

<http://rightsstatements.org>

NISO RP-22-2015 "Access and License Indicators"

<http://www.niso.org/publications/niso-rp-22-2015-access-and-license-indicators>

<http://groups.niso.org/apps/group_public/download.php/14226/rp-22-2015_ALI.pdf>

MARC Discussion Paper no. 2018-DP06 "Versions of Resources in the MARC 21 Bibliographic Format"

<http://www.loc.gov/marc/mac/2018/2018-dp06.html>

Anwenderebene MARC 21 Titeldaten (MARC 21 Bibliographic local definitions, in German)

[https://wiki.dnb.de/display/MARC21AE/Anwenderebene+Titeldaten](https://wiki.dnb.de/display/MARC21AE/Anwenderebene%2BTiteldaten)

The Codex Metadata Model

<https://wiki.folio.org/pages/viewpage.action?pageId=1415393>

DINI AG KIM, Lizenzen-Gruppe (in German)

<https://wiki.dnb.de/x/T4f9Bw>