



# SERIALS HOLDINGS WORKSHOP

Instructor Manual  
4th edition  
May 2008

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New editions and revisions are prepared by various contributors

For the Serials Cataloging Cooperative Training Program (SCCTP)  
Under the auspices of the Cooperative Online Serials Program (CONSER)

Library of Congress

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## FOREWORD TO THE 4th EDITION May 2009

The Serials Cataloging Cooperative Training Program (SCCTP) has an eleven year history of providing training material and trained trainers in the fields of continuing resources cataloging and application of the MARC holdings format. With this edition of the Serials Holdings Workshop, the SCCTP officially offers one of its existing workshops in a version that can be used in synchronous online learning environments and face-to-face training sessions. It builds on the efforts of many dedicated SCCTP trainers over the years who've developed material for online delivery based on SCCTP and CONSER material.

This achievement fulfills a long term SCCTP goal of offering material that can be delivered in a variety of learning environments. I am very pleased to have the opportunity to recognize and thank Wen-ying Lu and Margi Mann for their important contributions in achieving this milestone.

Wen-ying Lu has been a long time member of the CONSER Publication Patterns Initiative. She has developed PowerPoint presentations, and workflow documents to promote the use of the MARC21 Holdings format among libraries and vendors. As an SCCTP trainer and workshop author, Lu brings fresh perspectives on issues related to using serials holdings data.

As co-author of the previous edition, Margi Mann ensures that the contents of this edition remain authoritative and her skills as a professional trainer are evident in the valuable guidance provided to trainers using this material.

Together, Lu and Margi will prepare a new group of SCCTP Serials Holdings Workshops trainers to deliver holdings training material in a variety of learning environments. I congratulate them on their successful revision of the workshop.

Les Hawkins  
CONSER Coordinator  
Library of Congress  
May 2009

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## PREFACE TO THE 4th EDITION

As with all previous editions, we hope that this edition continues to serve the SCCTP program, its trainers, and the library staff who use it. If changes in edition can be captured in a few words, the two words that sum up this edition are “evolution” and “flexibility.” The original charge to the authors of this edition was to expand the workshop from a purely face-to-face format to a synchronous online environment while, as far as possible, preserving the well-tested intellectual content. While “evolution” refers to the conversion of traditional training materials for the online environment, “flexibility” was required in developing only one version of the workshop material suitable for both the face-to-face and the synchronous online training which also streamlines the revision process in the future. In the end, one fundamental element remains untouched, which is the trainer’s judgment in measuring the students, the environment of a particular class, and then deciding how best to convey the material for that individual setting.

Christine Peterson (Amigos) provided exemplary training for several SCCTP trainers, including one of the co-authors of this edition, on how to effectively conduct a workshop in a synchronous online environment. She and Laura Kimberly (Amigos) also provided very helpful advice on how to structure and convert PowerPoint presentations to meet the needs of a synchronous online workshop environment. Frieda Rosenberg, co-author of all three previous editions, helped review the draft materials even in her retirement. The authors of this edition also wish to thank everyone who participated in the dress rehearsal in December 2008: Valerie Bross (UCLA), Loretta Fiacco (Michigan State University), Linda Gonzalez (BCR), Laura Kimberly (Amigos), Les Hawkins (LC), Hien Nguyen (LC) and Brian Schmidt (Amigos). Their suggestions on how to improve the materials for the online environment were invaluable and led to the inclusion of more options for presenting the material and conducting the exercises.

As this edition is “launched” into the training and library communities, we hope that it continues to meet with the level of success the previous editions have enjoyed while at the same time creating a new level of success in the evolving online training environment.

Margi Mann  
Wen-ying Lu  
May 2009

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## PREFACE TO THE 3<sup>rd</sup> EDITION, January 2008

We hope that this edition will continue to serve the SCCTP program, its trainers, and library staff who use it. We are satisfied that with the help of many people in the community we have a better workshop with improved accuracy and consistency. There are some new interpretations of long-standing codes, which are indicated as they occur throughout.

We would be remiss, however, in not stating that co-authors Frieda Rosenberg and Margi Mann have been on opposite sides of one very fundamental question despite all our respective years of teaching the course. The two holdings standards Z39.71 and MARC Format for Holdings are also ambiguous on this issue. The question is captured in the following excerpt from Z39.71:

**Level 4** provides detailed extent of holdings information. The detailed holdings statement may be either itemized or compressed; the detailed holdings statement may be either open or closed. This level requires inclusion of the Item Identification Area, the Location Data Area, the Date of Report Area, and applicable Extent of Holdings Area data elements. If enumeration and/or chronology are applicable, the most specific levels (including all hierarchical levels) must be included.

Specifically, what does the last word “included” mean in this definition? One interpretation, drawn from many early articles and manuals, defined the purpose of a Level 4 (detailed) holdings statement as a guarantee to the computer that the stated holdings were complete as found—not an *explicit statement* of particular levels of hierarchy. Under this interpretation the holdings statement for a quarterly “v.1(1970/1971)- v.10(1979/1980)” is a valid Level 4 statement. The 1991 edition of the MFHD and many writers in the early days of holdings standards defined “compression” not only as it is defined in the glossary of Z39.71, but also as the dropping of lower levels of enumeration and chronology. Under this interpretation, libraries working from lists of complete holdings would not have to downgrade their level just because they lacked information on the internal hierarchy. Legibility would also be much less of an issue because complete volumes could be given in a simple volume-level range.

A second interpretation, a more contemporary one that takes into account the total context of a standardized holdings record on the one hand as well as the need to communicate and display the holdings statement in multiple, disparate contexts and systems on the other, defines a Level 4 statement as an *explicit statement* of all levels of hierarchy. Under this interpretation the holdings statement “v.1((1970/1971)- v.10(1979/1980)” is not a valid Level 4 statement because it lacks all levels of the hierarchy.

In an attempt to resolve this issue, the workshop authors consulted a member of the Z39.71 committee last June, who agreed strongly with the historic interpretation. But we admit the consultation was brief and without benefit of the documentation which would help to clarify this historical understanding. As the issue now stands, both the Z39.71 and the MARC Holdings standards are silent on the issue of whether a Level 4 holdings statement can drop the lower levels of enumeration and chronology, and this is an ambiguity present within the

holdings community. The authors, therefore, respectfully hope that this 2007 Edition of the SCCTP course will be a catalyst for workers with holdings to demand official attention and resolution.

The course has met, we think, with good success despite its faults. At the very least, it has disseminated knowledge about the holdings standards and facilitated their implementation in a wide range of libraries. We thank all those who give their time to present it, and we wish them continued success.

Frieda B. Rosenberg  
Margi Mann

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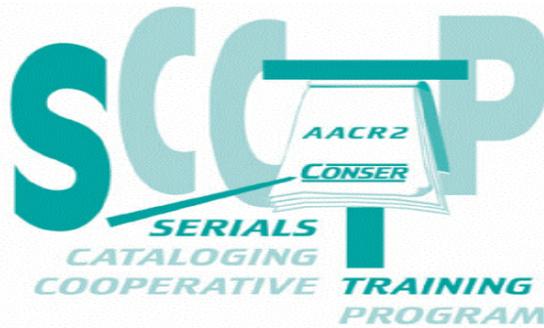
FOREWORD

PREFACE

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# ***SERIALS HOLDINGS WORKSHOP***

*Instructors:  
Organizer / Dates*

## **Session 1: Introduction**

Contents

Trainer Note / Session Outline:

### A. Introduction and Preliminaries

1. Objectives of the session
2. Library functions requiring holdings data
3. Why Use Holdings Standards?

### B. Holdings Standards

1. Two tracks of standards creation
2. Display Standard: Z39.71
3. Communication Standard: The MARC21 Format for Holdings Data

### C. Other Holdings Concerns

1. Union listing
2. Purchasing a System

Summary

Exercise

References:

The trainer should have on hand the MARC21 Format for Holdings Data and NISO Z39.71.

Please Add Your Name, Library & Local System					
					1-2

### **Trainer Instructions (Face-to-face)**

Warm-up exercise. Have the trainees introduce themselves. Use a flipchart to record names of systems, and whether they use MFHD (fully, partially). This chart can be developed later when future developments are mentioned. Further suggested columns: 1. Whether the system can fully display MARC tags and subfield codes (Y or N) 2. Whether the system supports direct coding of 853 and 863 paired fields (Y or N)

### **Trainee Instructions (Online):**

Have trainees introduce themselves to each other and the class by putting their name, library name, and the name of their local system in a cell on the grid.

### **Trainer Instructions (Online):**

The warm-up exercise makes use of the text tool in your online presentation software

Optional: Trainers may wish to pre-populate the grid with the name of each trainee on the registration roster so there are no “mid-air collisions.”

Another option: Have the trainees verbally “claim a space” before they begin to use the text tool and mark up the slide.

(the name may vary with your software package).

# Contents

## Sessions

- 1 - Introduction: Holdings Standards & Concepts  
(2 hours)
- 2 - Overview, Control and Location Fields  
(2 hours)
- 3 - Coded Holdings  
(3 hours)

1-3

### **Trainer Note: An Overview of the Workshop**

Though holdings data is applicable to all materials, this workshop focuses mainly on serial holdings, which are often highly complex, time-consuming, and difficult to maintain.

The workshop starts by giving a bit of background and introducing the two types of standards we use in holdings work.

- Following this introduction, Sessions 2 through 6 cover the structure and functionality of the Holdings Format and touch on a few special problems and complexities.
- Session 7 examines current “hot-button” holdings issues.

### **Trainee Note:**

Generally speaking, each session is 2 hours long. The exceptions are Session 3 (3 hours, or two sessions 90 minutes each) and Session 7 (1 hour).

Time for discussion and interaction has been built in to each session, so please participate!

# Contents

## Sessions

4 - Recording Patterns  
(2 hours)

5 - Recording Textual Holdings and Item Fields  
(2 hours)

6 - Special Problems  
(2 hours)

7 - Trends & Issues in MARC 21 Holdings  
(1 hour)

1-4

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## Session 1 Introduction

- What are the goals of the workshop?
- What library functions are served by holdings standards?
- What broader needs do they serve?
- What are the basic standards?

1-5

### **Trainer Note:**

The material in this session is focused on answering some particular questions and introducing trainees to the standards.

The goals of the first session are:

- to introduce the workshop and its goals,
- to give an idea of the importance of holdings in library processes,
- to describe the two major standards for holdings and some of the core concepts.

# Session 1 Introduction

- What are summarized and detailed holdings?
- How do these differ from compressed and itemized holdings?

1-6

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# Session 1 Introduction

- How do we work with current receipts & retrospective holdings?
- What questions can be answered by a holdings record?

1-7

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## SCCTP Goals

Increase knowledge of and use of holdings standards by all sectors:

- For higher productivity
- For lower costs, e.g. in data sharing
- For continuous improvement of the standards

1-8

### **Trainer Note:**

The Serials Cataloging Cooperative Training Program (SCCTP) provides workshops in serials cataloging and serial holdings.

Each workshop focuses on standards.

The goal is to increase knowledge of, and use of, standards both by libraries and by library system vendors, suppliers, and other bibliographic entities.

The SCCTP Program is convinced that in following standards, libraries large and small will see benefits such as those given here.

## SCCTP Goals

Increase knowledge of and use of holdings standards by all sectors:

- By their implementation in local systems or union lists
- For improved documentation
- For end user satisfaction
- For staff satisfaction and ease of use

1-9

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## Participants' Objectives – What are *Your* Objectives?

1-10

### **Trainer Instructions (Face-to-face)**

Solicit from the trainees some of their objectives and put it on the flipchart. They can use the ones they listed on their needs assessment or different ones if they wish to.

Afterward, match what is on the flipchart (and in the needs assessments) to other possible goals listed on the following two slides. Is there any overlap? Or hardly any? Discuss with the trainees.

### **Trainee Instructions (Online):**

Have trainees put some of their objectives on the slide. They can use the ones they listed on their needs assessment or different ones if they wish to.

### **Trainer Instructions (Online):**

This would make use of the text tool in your online presentation software (the name may vary with your software package).

Optional: You may prefer to use the online chat capability instead to capture the participants' objectives, then summarize the group's objectives on the slide or whiteboard.

Afterward, match what is on the slide (and in the needs assessments) to other possible goals listed on the following two slides. Is there any overlap? Or hardly any? Discuss with the trainees.

## Participants' Objectives

- Create a simple holdings record
- Retrieve basic holdings documentation
- Perform quality control and data sharing

1-11

### **Trainer Note:**

To achieve these objectives, the workshop is designed to help participants:

- create a record according to standards
- Retrieve the basic holdings documentatio
- Understand how holdings information is created and maintained in systems, and shared among systems.

## Participants' Objectives

- Interpret staff & public holdings displays:
  - content  
(sources of data in libraries)
  - layout/punctuation  
(*ANSI/NISO Z39.71*)
  - structure/coding  
(*MARC 21 Format for Holdings Data*)

1-12

### **Trainer Note:**

To achieve these objectives, the workshop is designed to help participants:

- Understand displays which conform to the current library holdings standards, in
  - Content** (which may be derived from one or more library processes and is governed by ANSI/NISO Z39.71, *Holdings Statements for Bibliographic Items*)
  - Layout/punctuation** (the current national standard for display is ANSI/NISO Z39.71)
  - Coding** (the current communication standard is *MARC21 Format for Holdings Data*)

# What Library Functions are Served by Holdings Standards?

1-13

## **Trainer Instructions (Face-to-face):**

Solicit from the trainees some library functions that they can think of and add to the flipchart. Discuss these functions with the trainees. Depending upon the time and resources available, the trainer may need to clarify or wish to discuss what the trainees have mentioned.

Afterward, match what is on the flipchart to other possible functions listed on the following two slides. Is there any overlap? Or hardly any? Discuss with the trainees.

## **Trainee Instructions (Online):**

Have trainees put some library functions that they can think of on the slide. When they put a function on the slide, have them add their name in parentheses.

## **Trainer Instructions (Online):**

This would make use of the text tool in your online presentation software (the name may vary with your software package).

Depending upon the time and resources available, the trainer may need to clarify or wish to discuss what the trainees have put on the slide.

Afterward, match what is on the slide to other possible functions listed on the following two slides. Is there any overlap? Or hardly any? Discuss with the trainees.

## What Library Functions are Served by Holdings Standards?

1. Check-in and other acquisitions processes
2. Binding and labeling
3. Circulation
4. ILL / union listing
5. Federated searching

1-14

### **Trainer Note: Library Functions involving holdings data**

1. Generated through check-in of serial issues, and other acquisitions processes.
2. Normally used again, and sometimes altered by compression, in the functions of binding and labeling a volume.
3. Can include the elements--such as barcodes-- which allow a circulation transaction to be recorded.
4. Crucial to interlibrary loan, and can be submitted to a union list, which helps remote users.
5. Z39.50 searching can combine holdings data from more than one location for a unified display of holdings of the same material.

## What Library Functions are Served by Holdings Standards?

6. Display of multiple locations / multiple formats
7. Links to library holdings from indexes
8. Reference / preservation / collection development!
9. Output of holdings to other products (e.g. ERM)

1-15

### **Trainer Note:**

6. Can be formatted for display of multiple locations and allows display of data describing multiple formats of a single title, linked to one record
7. Facilitates links to library holdings from article citation indexes (hooks to holdings)  
Note: Open URL link resolvers, such as ExLibris' SFX, may play a role here.
8. In an era when up to 40% of reference questions are answered by information found in serials, when newspapers and older journals are deteriorating and need preservation, and budget share going to serials is still increasing, causing headaches for collection development.
9. And links are needed to software such as the ERM module or the cooperative journal storage management program.

**Accurate holdings are a vital resource to any library!**

# Why Use the Standards? Individual Library Benefits

1-16

## **Trainee Instructions (Face-to-face):**

Solicit from the trainees some individual library benefits that they can think of and add to the flipchart. Afterward, match what is on the flipchart to other possible library benefits listed on the following two slides. Is there any overlap? Or hardly any? Discuss with the trainees.

## **Trainee Instructions (Online):**

Have trainees put some individual library benefits that they can think of on the slide. When they put a benefit on the slide, have them add their name in parentheses.

## **Trainer Instructions (Online):**

This would make use of the text tool in your online presentation software (the name may vary with your software package).

Optional: trainer may desire to circle the benefits that have been discussed before moving on to the next two slides.

Afterward, match what is on the slide to other possible library benefits listed on the following two slides. Is there any overlap? Or hardly any? Discuss with the trainees.

## Why Use the Standards? Individual Library Benefits

- The database will be transferable from system to system.
- If you start with standard records, you have a better chance of enhancing your system as new software becomes available.

1-17

### **Trainer Note:**

- Migration is easier
- Upgrading to a new version of your old system is easier

## Why Use the Standards? Individual Library Benefits

- You can copy or buy the records rather than create them from scratch.
- The database can be used for resource sharing.
- Keep the cost of automation down.

Source: Sharon Charles' presentation on "Cost, Standards, and the Bibliographic Database" (Minnesota, 1989)

1-18

### **Trainer Note: Why use standards for holdings?**

- It is even possible to purchase holdings records from vendors, publishers, or from other libraries editing to suit your holdings profile
- You can send your records to union lists, participate in library-to-library data exchanges, or even, in certain cases, sell them.
- You escape all the extra programming costs to parse and delimit your data, because it is already in standard format.

# Why Use the Standards? Community Benefits

1-19

### **Trainer Instructions (Face-to-face):**

Solicit from the trainees some library community benefits that they can think of and add to the flipchart. Afterward, match what is on the flipchart to other possible library community benefits listed on the following two slides. Is there any overlap? Or hardly any? Discuss with the trainees.

### **Trainee Instructions (Online):**

Have trainees put some library community benefits that they can think of on the slide. When they put a benefit on the slide, have them add their name in parentheses.

### **Trainer Instructions (Online):**

This would make use of the text tool in your online presentation software (the name may vary with your software package).

Optional: Trainer may desire to use the chat or text feature instead to capture the benefits, then summarize on the whiteboard.

Afterward, match what is on the slide to other possible library community benefits listed on the following two slides. Is there any overlap? Or hardly any? Discuss with the trainees.

## Why Use the Standards? Community Benefits

1. More consistency in holdings data
2. Continuing, cooperative development of usable holdings standards
3. Increased documentation and interpretation of holdings standards

1-20

### **Trainer Note:**

1. Consistency in data greatly aids remote searchers and automated data exchange
- 2 - 5. Collaboration:
  - In making the Format work for our libraries by communicating with our standards bodies about needed improvements,
  - In providing better guidance in the form of interpretation of the standards for ourselves and our vendors
  - Writing the documentation that will make the standard usable
  - Conducting the training, such as this CONSER training
  - Creating archives of data for common use

## Why Use the Standards? Community Benefits

4. Cooperative and competitive urging of system vendors and utilities to implement standards
5. Shared archives of electronic holdings data
6. Effective displays for users
7. Ease of use for everyone

1-21

### **Trainer Note:**

6. Effective display for users: it may mean negotiation with your system vendor to give you the features you need to display the holdings intelligibly.
7. Ease of use: It's also important to get these features in a form that makes your job easier too. That's not a luxury, because if it's too hard to understand and too hard to do, people won't do it.

## Two Standards for Holdings

- ANSI/NISO Z39.71: Focuses on the *data* and how it should *display* to patrons and other libraries
- MARC 21 Format for Holdings Data (MFHD): Focuses on *communication*

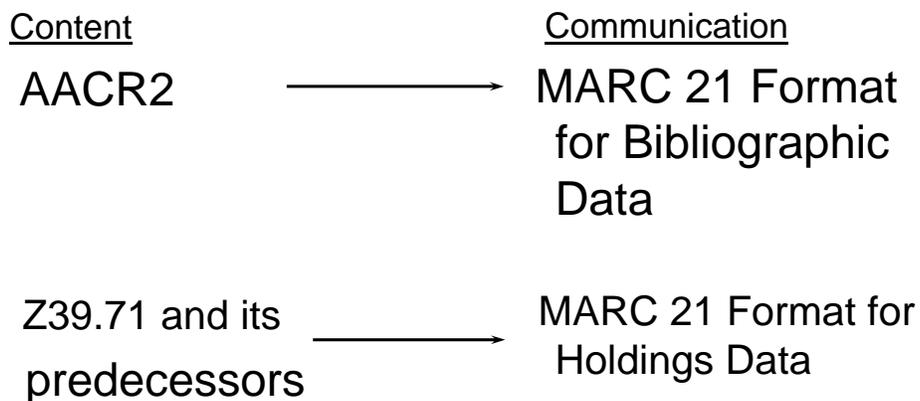
1-22

### **Trainer Note:**

**There are two holdings standards, each with its respective role to play:**

- The display standard prescribes content and defines how the presentation of the content should be handled in any kind of display.
- The communication standard defines the data elements that should be communicated, stored, or manipulated by the computer.
- Use of the one does not necessarily imply the other is followed; but they are both standards that we are urged to implement wherever possible.
- Examples in the workshop will conform to Z39.71 unless otherwise noted.

## Analogous Relationship of Standards



1-23

### **Trainer Note:**

The relationship of the holdings display standard, Z39.71, to the *MARC Format for Holdings Data* is analogous to the relationship of AACR2 to the *MARC Format for Bibliographic Data*.

For reference, see Appendix D in *MARC21 Format for Holdings Data*.

## Display Standard Z39.71: Main Concepts

- Handles all formats, flexible
- Summarized or detailed
- Itemized or compressed
- Open holdings possible
- Multiple presentation options
- Standardized, simplified punctuation

1-24

### **Trainer Note:**

#### **Z39.71 (2006)**

- History of the display standard shows a gradual evolution. See the Appendices for this history.
- It took a while to coordinate the rules for serials and non-serials, and those for summary holdings with those for detailed holdings (which used to be on separate standards)
- Current standard shows increased comprehensiveness, flexibility (with presentation options) and simplification.

## Important Z39.71 Concept: Level of Specificity

The holdings record states the level of the display standard you are using

- |         |   |
|---------|---|
| Level 1 | Rarely used for serials   |
| Level 2 | Limited retention   |
| Level 3 | “ <i>Summary level</i> ,”<br>library holds at least some part<br>of each volume shown |

1-25

### **Trainer note:**

It has four levels from least to most detailed.

In several places in the holdings record you must state which level of the display standard you are using:

- The lowest level says only that you hold the title.
- Level 2 is often used when holdings are not specific, but a general note about retention for a limited period is coded.
- Level 3 “summary level” -- volume listed if any of it is held. Display ordinarily is in terms of a *summary* or a range around gaps (*first vol.-hyphen-last vol.*).

## Important Z39.71 Concept: Level of Specificity

The holdings record states the level of the display standard you are using

- Level 4      “*Detailed level,*”  
shows gaps in holdings explicitly  
down to the issue level
- Level 5      “*Detailed with piece designation,*”  
adds a barcode for each physical  
piece

1-26

### **Trainer note:**

This screen shows a detailed, Level 4 or 5 holdings statement. Detailed level holdings show exactly what is held, expressing it in terms of what is held rather than what is missing. The next level below (Level 3) shows only that any volume shown has *some part* held by the library.

In several places in the holdings record you must state which level of the display standard you are using:

- Level 4 “detailed level,” shows exact holdings; all gaps down to the issue level. Levels 4 and 5 may display either as a *range or ranges (fully compressed)*, or *itemized (fully uncompressed, or partially compressed to volume level)*.
- Level 5 is “detailed with piece designation,” which ordinarily means you have barcoded the issues or volumes shown. This is an extra level developed outside Z39.71.
- Level 4 or 5 does not necessarily mean that each issue or even volume is given separately. It may be given compressed into a statement that shows the first and last holdings units, connected by a hyphen.
- If you are checking in, you are naturally checking in at the detailed, issue level. Later when you bind, you can compress the issue detail into a volume-level holding. Note: gaps in incomplete volumes still have to be shown.
- If you have several volumes, you can further compress the volume detail into a range. Note: all gaps in ranges still have to be shown. You can even have an “open holding” ending with a hyphen--as long as you guarantee you are monitoring receipt at the issue level. If not, you should use Level 3.

## Display Standard Example: Z39.71

### Detailed Level 4

v.1:no.1-2:1(1995:Jan.-1996:Jan.)

OR

v.1:no.1(1995:Jan.)-2:1(1996:Jan.)

1-27

### **Trainer Note: Display Standards:**

Instructors are free to discuss the punctuation and layout of this holding in whatever detail they wish.

We suggest that the following elements of the example be pointed out:

- Use of colon,
- Chronology in parentheses,
- Dropping of *captions* (introducing this word) possible after hyphen.
- Lack of MARC 21 coding illustrates that a standard holding statement doesn't need to be MARC!!

May also say that use of captions is one of the elements of the standard that has varied the most. Optionally, the trainer may want to insert the captions following the hyphens as an example of how the current display standard makes repetitive captions optional.

Show that each part of holdings data is categorized here and that is what makes it capable of being parsed/mapped, e.g., by computer.

Consistent punctuation in holdings statements enables them to be mapped even if not MARC-coded.

## Level of Detail or Specificity

The level of detail, or specificity,  
with which it describes a holding;  
It *may* also refer to the accuracy.

Is there a guarantee that the statement  
contains information about any gaps, down  
to the issue level?

1-28

### **Trainer Note:**

The concept on this screen and on Slide 30 are often confused, in particular because Level 3 holdings is often called the “summary level,” and it is true that most holdings at this level would be expressed in ranges. They break only when a whole volume is missing.

Level 4 holdings are accurate to the issue level, and may be compressed or itemized. But a Level 4 statement must end whenever there is even one issue missing, and begins again after the gap. In the MFHD, volumes with gaps are “broken out” and given on separate lines at Level 4.

## Level of Detail or Specificity

Example: If you are missing v. 4, no. 3:

Level **3**: v.1-v.5(1990-1994)  
(Summary)

Level **4**: v.1-v.3(1990-1992)  
(Detailed) v.4:no.1-v.4:no.2  
(1993:spring-1993:summer),  
v.4:no.4(1993:winter)  
v.5(1994)

1-29

### **Trainer Note:**

Trainees may ask whether volume 4 can be expressed as v.4:no.1-2,4(1993:spring-summer,winter), or as v.4:no.1-2,4(1993) in level 4. In local holdings it may be desirable, though Z39.71 #5.5.4.1. requires the holding *in two statements* around the gap, as shown on the screen (“repeat all levels of enumeration at the beginning and end of each range held.”) *Note: enumeration and chronology are displayed separately here; that is an **option**; they could also be displayed together.*

Another problem arises when the library wishes to indicate which volumes are incomplete but does not have information to give detail. In the author’s opinion, the complete volumes should be given at level 4, and the incomplete ones at level 3 (a note “incomplete” can accompany the statement.) This question has not been addressed formally by the standards.

Level of detail or specificity governs the first indicator of a holdings field (863, 864, or 865), as you will see later in this session.

Form of holdings (compressed or itemized), described on the next screens, governs the second indicator.

## Another Important Z39.71 Concept: Form of Holdings

- Refers to whether the holdings are **compressed** (given in a range of issues or volumes), or **itemized** (given as item-by-item issues, or volumes)
- This concept is concerned with the form of the holdings, not their completeness as regards gaps

1-30

### **Trainer Note:**

Compressed holdings means that a range of holdings is recorded in one statement beginning with the first unit and ending with the last unit held (“first last”).

Itemized holdings mean that a separate line is created for a separate issue, part, or piece of a title.

The same holdings record can have a mix of compressed and itemized holdings. This is useful for entering retrospective holdings and currently received issues on the same record, as we showed a moment ago.

A further complexity:

A system may display itemized holdings as compressed holdings in the OPAC through automated *compression*

OR

A system may have the capability of taking compressed holdings and displaying them at the issue level through automated *expansion*.

## Form of Holdings Example

**Compressed:**      v.1(1990)-5(1994)      **OR**  
                         v.1-5(1990-1994)

**Itemized:**              v.1(1990)              v.4(1993)  
                         v.2(1991)              v.5(1994)  
                         v.3(1992)

1-31

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## Communication Standard: MARC 21 Format for Holdings (MFHD)

- Deals with *transmission of data* from one computer to another
- Defines data elements and their coding
- Does *not* require any specific content
- *May* not generate a specific display

1-32

### **Trainer Note:**

The MARC21 Format for Holdings Data is the current version of this standard and is the subject of the rest of the workshop.

In contrast to display standards, a *communications* standard does not prescribe content, but focuses on how data may be transmitted from one computer to another.

The process of communication involves defining data elements to be communicated. The more specifically data elements are defined, the more sophisticated the possible manipulations of data can be, such as searching, coordinating with external data, statistical reports, etc.

## Communication Standard: Where Do You Send Your Holdings Data?

1-33

### **Trainee Instruction (Face-to-face):**

Discussion. Solicit from the trainees where they currently send their holdings data. Or, if they are not currently sending, where do they desire to send their data in the future. Add some of these cross-system destinations to the flipchart.

### **Trainee Instruction (Online):**

Discussion. Ask the trainees where they currently send their holdings data. Or, if they are not currently sending, where do they desire to send their data in the future. Have the trainees put some cross-system destinations that they can think of on the slide. When they put a destination on the slide, have them add their name in parentheses.

### **Trainer Instructions (Online):**

This would make use of the text tool in your online presentation software (the name may vary with your software package).

Optional: Trainer may desire to have trainees input their desired holdings destinations via chat or text, then summarize on the whiteboard.

## **MFHD** Can Answer These Questions *if Coded Correctly:*

- How complete is the run?
- Is this title currently received?
- Do you have plans to cancel the subscription?
- How is it acquired?
- Is it retained permanently or for a limited time?

1-34

### **Trainer Note:**

The coded and textual information can answer many questions for staff and public.

The fixed and control fields are coded with library policy and other information about the title.

The checked-in holdings remain and may be *compressed* for storage and display. The pattern remains in the record to govern the process of compression/expansion.

Some local transaction and availability information is not part of the MFHD, but instead resides in the local item record. However, it may be combined with MFHD information for display to local and even to remote users.

Reports of this information can be generated for local, regional, national, or other use.

## **MFHD** Can Answer These Questions *if Coded Correctly:*

- Do you lend? Do you allow photocopying?  
and of course,
- What individual parts of the run do you hold?
- In what formats?

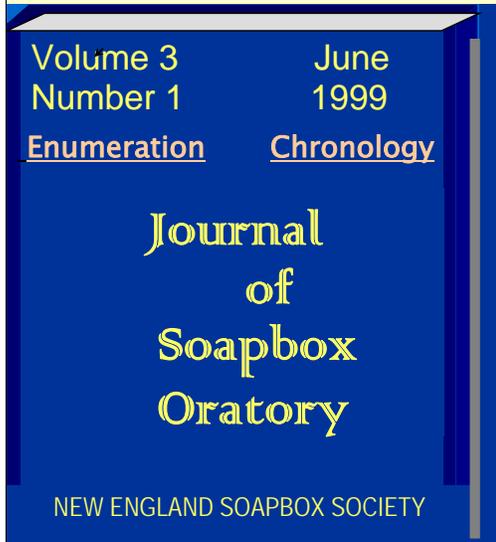
Fine print: MFHD does not tell users whether a volume is on the shelf. This information is found in the local item record.

1-35

### **Trainer Instruction (Optional):**

Possible Discussion point. Ask trainees what other questions they think might be answered by a holdings record, or what their experiences have been to date with the data in holdings records.

## For Current Receipts MFHD Starts with an Issue



Issue numbering and dates are the basis for the MFHD *publication pattern*.

1-36

### **Trainer Instruction (Face-to-face and Online):**

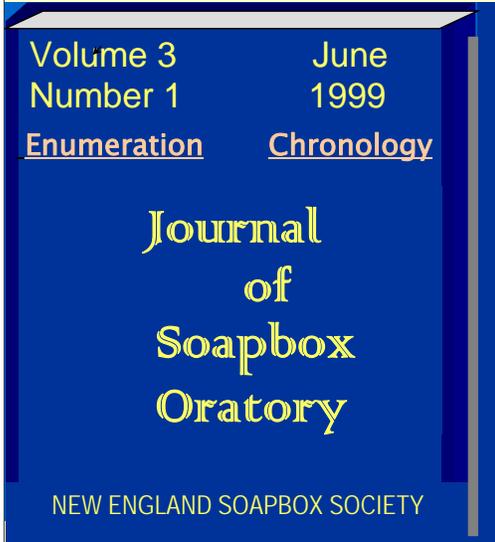
Discuss where the process of creating a MFHD may start. A library may set up a MARC holdings (MFHD) record at any point for a number of different purposes. For a new serial title or setting up a system for the first time, the predictive check-in record is set up using MFHD coding. The MFHD predicts arrival of new issues by means of an embedded pattern.

### **Trainee Instructions (Face-to-face and Online):**

Have the trainees identify some of the elements on the issue cover that may be used to create the MFHD.

Online Options: text, whiteboard, chat, or simply call on people.

## For Current Receipts MFHD Starts with an Issue



With pattern codes, the system can *predict* future issues, which are then checked in automatically.  
(Coding is in Session 4)

1-37

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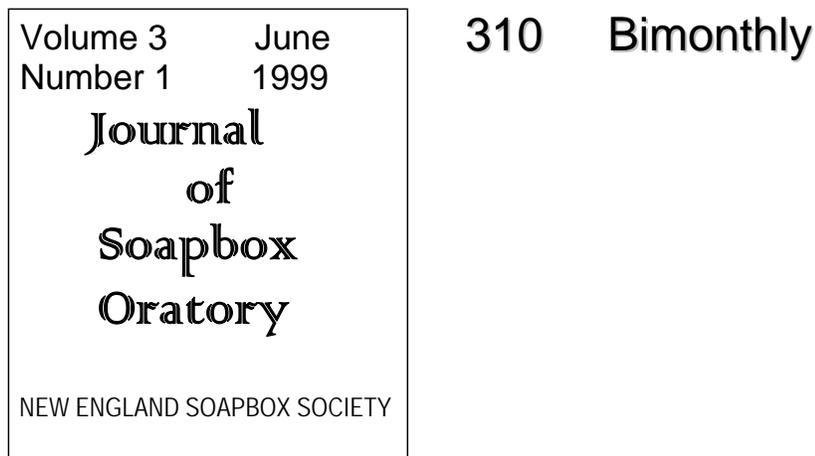
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## In the Bibliographic Record...

(first issue in hand may not be true first issue)



1-38

### **Trainer note:**

Some may wonder, how does this relate to the bibliographic record?

Setting up check-in is often done at the same time as cataloging. Also, we can scan an existing record for clues to a serial publication pattern.

In the case of this journal, we (or the previous catalogers) have determined the frequency to be bimonthly.

## In the Bibliographic Record...

(first issue in hand may not be true first issue)

Volume 3      June  
Number 1      1999

Journal  
of  
Soapbox  
Oratory

NEW ENGLAND SOAPBOX SOCIETY

310      Bimonthly

500      Description  
based on: Vol. 3,  
no. 1 (June 1999).

1-39

### Trainer note:

We don't give **enumeration** and **chronology** in a formal statement, but instead give a **"Description based on"** note showing the issue cataloged from.

## In the Bibliographic Record...

(first issue in hand may not be true first issue)

Volume 3 Number 1	June 1999	310	Bimonthly
Journal of Soapbox Oratory		500	Description based on: Vol. 3, no. 1 (June 1999).
NEW ENGLAND SOAPBOX SOCIETY		500	Latest issue consulted: Vol. 3, no. 6 (Apr. 2000).

1-40

### **Trainer note:**

Since the serial is current, we also use a 500 with “**Latest Issue Consulted.**”

All information will help set up check-in and holdings as well. Later sessions will detail that process.

### **Trainee Instructions (Face-to-face and Online):**

Ask the trainees “What do you notice about the enumeration and chronology data in the two 500 fields?”

Answer: the 500 does not use NISO punctuation, which makes the important point that within the bibliographic record use AACR2 but within the holdings record use Z39.71.

## A Holdings Display in the OPAC

TITLE:	Journal of soapbox oratory.	
PUBLISHER:	New England Soapbox Society	
SUBJECTS:	Oratory--Periodicals.	
LOCATION:	Main Library/Periodicals	CALL NUMBER: Shelved by title
LIBRARY HAS:		v.3(1999/2000)
LATEST ISSUE RECEIVED:		v.4:no.1(2000:June)
NEXT ISSUE EXPECTED:		v.4:no.2(2000:Aug.)

1-41

### **Trainer Note:**

Once issues start coming in, they are recorded in the check-in record, which updates the holdings record. The holdings record displays in the OPAC—at least the part of it that would interest users. (Users are interested above all in what volumes and issues are available.)

The display may be the vendor's own design. The presence of MARC coding does not guarantee a NISO display.

## Behind the Scenes is Its MFHD Record

```

LEADER: #####cy 22#####4n 4500
004 AAC-1885
008 8505254u 8 0001uu 090824
852 51 FLUNT $b Main Lib $c PER
853 20 $8 1 $a v. $b no. $u 6 $v r $i (year)
      $j (month) $w b $x 06
863 41 $8 1.1 $a 3 $i 1999/2000
863 41 $8 1.2 $a 4 $b 1 $i 2000 $j 06

```

1-42

### **Trainer Note:**

This is a possible generic MARC Format for Holdings Record that is operating behind the scenes. In most systems, this displays only to local staff (some systems helpfully provide this data on command even remotely).

This display shows volume 3, which is now compressed to the volume level; and volume 4, number 1. Note: the 1<sup>st</sup> indicator value of **4** in the 863 repeat of vol. 3 may generate some discussion as, in the alternate interpretation of the holdings standards it can/should be **3**.

This is a **tagged** display. Some systems use **labeled** displays (often called a graphic user interface, or GUI) so that the MARC field tags and coding are hidden from the person entering data, though the input data may be stored in MARC.

It is important for you to know the relationship of what labels have been assigned to each MARC field tag so that you are able to input data correctly. Without this knowledge, also, you cannot evaluate your system and its prospects for developing further MFHD functionality.

## An Issue is Ready to Check In

### EXPECTED ISSUE CHECK-IN

TITLE: Journal of soapbox oratory.

ISSUE	STATUS	EXPECTED
v.4:no.2(2000:08)	<input type="text"/>	08/01/2000

1-43

**Trainer note:**

An example of a possible generic system serial check-in screen.

When this issue is checked in as received, the MARC holdings record has a new line created for this issue.

Note again that the display is not necessarily in the same format as the underlying MARC.

The next slide shows the line being created.

## What Has Changed Here?

```

LEADER: #####cy 22#####4n 4500
004:      AAC-1885
008:      8505254u 8 0001uu 090824
852 51    FLUNT $b Main Lib $c PER
853 20    $8 1 $a v. $b no. $u 6 $v r $i (year)
           $j (month) $w b $x 06
863 41    $8 1.1 $a 3 $i 1999/2000
863 41    $8 1.2 $a 4 $b 1 $i 2000 $j 06
863 41    $8 1.3 $a 4 $b 2 $i 2000 $j 08

```

1-44

### **Trainee Instruction (Face-to-face and Online):**

Have the trainees compare this screen snapshot to the screen snapshot on the previous slide, then ask them to identify what has changed in the MFHD record.

## A Line is Added to the MFHD Record

```

LEADER: #####cy 22#####4n 4500
004:      AAC-1885
008:      8505254u 8 0001uu 090824
852 51    FLUNT $b Main Lib $c PER
853 20    $8 1 $a v. $b no. $u 6 $v r $i (year)
           $j (month) $w b $x 06
863 41    $8 1.1 $a 3 $i 1999/2000
863 41    $8 1.2 $a 4 $b 1 $i 2000 $j 06
863 41    $8 1.3 $a 4 $b 2 $i 2000 $j 08

```

1-45

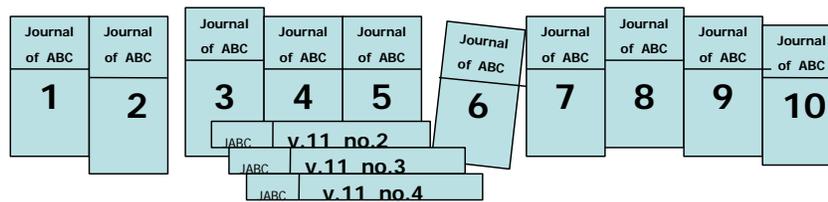
### **Trainer Note:**

The line for volume 4 number 2 has been added to the holdings record.

### **Trainee Instruction (Face-to-face and Online):**

Ask the trainees what else they may notice about the new line in the MFHD. Possibilities include: it is itemized (uncompressed) and detailed (Level 4). The month is entered numerically (08) instead of textually (August).

## For Retrospective Holdings



A run of a serial title can be entered in the MFHD record with:

1. Separate lines for each whole volume, plus lines for unbound issues

```

863 31 $8 1.1 $a 1
863 31 $8 1.2 $a 2
      etc.
863 41 $8 1.11 $a 11 $b 2
      etc.

```

1-46

### Trainer Note:

**Some of the tagging details have been omitted for clarity**

An MFHD record may be also be created retrospectively as long as any of the title is held by the library. The holdings can be in itemized or compressed form.

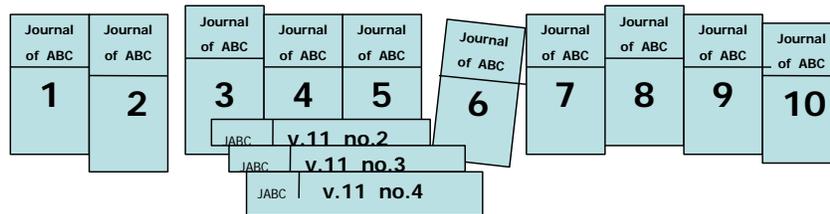
Retrospective holdings may come from paper files, if serial holdings were not converted, or from non-MARC computerized files. Particularly in these cases, new MARC field(s) may contain plain text, called *textual holdings*. Many systems can convert non-MARC online holdings to textual holdings. With fuller information, *coded holdings* may be used.

A textual holdings statement may also be used to record retrospective holdings for past volumes, while issues of currently received titles are detailed; or the range can be left open; or it can be closed each time an issue arrives. (Some systems do one of these things automatically.)

Holdings statements should conform to the NISO standard for recording library holdings, especially as regards level of specificity.

Recording coded holdings is covered in session 3; textual holdings are in session 5.

## For Retrospective Holdings



A run of a serial title can be entered in the MFHD record with:

2. A range statement (coded or textual, detailed level or summary level, open or closed)

**863 30 \$8 1.1 \$a 1-11 OR**

**863 30 \$8 1.1 \$a 1-**

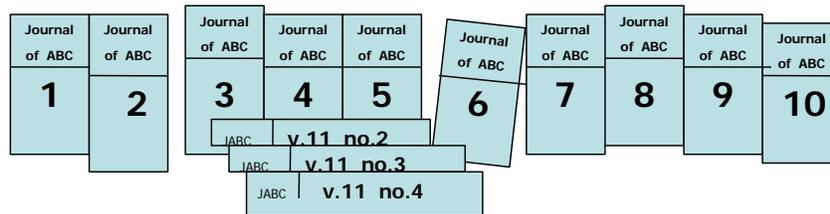
1-47

### **Trainer Note:**

Need the MFHD tagging to determine whether this is coded or textual, detailed or summary level.

**Some of the tagging details have been omitted for clarity.**

## For Retrospective Holdings



A run of a serial title can be entered in the MFHD record with:

3.A combination

863 30 \$8 1.1 \$a 1-10 \$w g  
 863 41 \$8 1.2 \$a 11 \$b 2  
 863 41 \$8 1.3 \$a 11 \$b 3  
 etc.

1-48

**Trainer Note:**

**Some of the tagging details have been omitted for clarity.**

## A Holdings Display in the OCLC Union List

Title: Time Author: Hadden, Briton Accession Number: 1767509

[Display All Libraries](#)

Libraries with Item: "Time." ( [Record for Item](#) | [Get This Item](#) )

Location	Library	Local Holdings
WA	ANACORTES PUB LIBR	
WA	BELLEVUE COMMUN COL	Latest 5 yrs., mfr 1958-
WA	BELLINGHAM TECH COL, INFO TECH RES CTR	
WA	BIG BEND COMMUN COL LIBR	v.53-54; v.63-72; v.8...
WA	CENTRAL WASHINGTON UNIV	
WA	CITY UNIV	v.139,no.1; Ja-06-92-
WA	CLALLAM BAY CORRECTIONS CTR LIBR	
WA	CLARK COL LIBR	Retains current 5 yea...
WA	EASTERN WASHINGTON UNIV	
WA	EDMONDS COMMUN COL LIBR	1924-
WA	EVERETT COMMUN COL	1985 - current ; Micr...
WA	EVERETT PUB LIBR	
WA	FORT VANCOUVER REG LIBR	PAPER: January 1933- ...
WA	GONZAGA UNIV	v.1-(1923-)

1-49

### **Trainer Note:**

MARC Holdings records can also exist in union lists. In fact, it was the SOLINET union list that originally developed the MARC Holdings standard!!

In a union list environment, display is still important. The difference is that holdings for *many* libraries are displaying together, rather than one library displaying its own holdings.

Another difference is that the holdings record frequently drives behavior on an ILL system. This may affect which data elements a library chooses to code, and how it chooses to code them.

## Behind the scenes are many MFHDs (aka Local Holdings Records or LHRs)

Local Holdings Record: Time.	
OCLC 1767509	ISSN 0040-781X Freq w Dates 1923-9999
+ Publication Pattern Data	
<a href="#">Summary</a>	v.2-(1923-)
<a href="#">Leader</a>	ny a3n
<a href="#">007</a>	zu
<a href="#">008</a>	0512034u 0 0001uu 0050718
<a href="#">852</a>	XFF <a href="#">#b</a> XFFA <a href="#">#h</a> AP2 <a href="#">#i</a> .T37
<a href="#">853</a>	33 <a href="#">#8</a> 1 <a href="#">#a</a> v. <a href="#">#i</a> (year)
<a href="#">863</a>	3_ <a href="#">#8</a> 1.1 <a href="#">#a</a> 2- <a href="#">#i</a> 1923-

1-50

### **Trainer Note (in case anyone asks):**

The SUMMARY is technically *not* part of the MFHD. It merely displays on the screen embedded with the MFHD for the convenience of the library staff using the system.

<p><b>Discussion: What Union List or Consortial Database (if any) Does Your Library Contribute to?</b></p>					
					1-51

**Trainer Instructions (Face-to-face):**

Solicit from the trainees the name of the union list and/or consortial database to which they contribute their holdings and write on the flipchart.

**Trainee Instructions (Online):**

Have trainees put their name (or the name of their library), and the name of the union list and/or consortial database to which they contribute their holdings.

**Trainer Instructions (Online) :**

This would make use of the text tool in your online presentation software (the name may vary with your software package).

Optional: Trainers may wish to pre-populate the grid with the name of each trainee on the registration roster so there are no “mid-air collisions.”

Another option: Have the trainees verbally “claim a space” before they begin to use the text tool and mark up the slide.

**Other possible discussion questions (Face-to-face and Online):**

1. If you are not contributing now, do you hope to contribute in the future?
2. What are the difficulties / barriers to contributing?
3. What are the advantages?

## Vendor Implementations of the Standard

- Is it a full or partial implementation?
- What has my vendor really implemented?
- ASK!
- Get good answers (and hard evidence) before you purchase!!

1-52

### **Trainer Note:**

Full implementations take full advantage of all the tagging and coding in the MARC holdings record to produce intelligible displays, reports, check-in, prediction of expected issues, updating, circulation, etc.

Partial implementations may only use some of the MARC fields or coding. For example, some systems cannot correctly predict on seasons instead of months; many others lack some of the defined patterns.

How do I know what my system implemented?

Ask, Ask, Ask, Ask!

Look at vendor documentation regarding functionality.

Use the RFP process to specify your desired features before purchase of a system.

Make sure that the offered functionality is truly there or that firm progress is being made.

Require accountability.

## Vendor Implementations of the Standard

Examples of specific questions:

“Can you generate all parts of an 85X/86X field from receipt data?”

“Will data be correctly converted from my current system?”

1-53

### **Trainer Note:**

Ask how the system utilizes the coding in the MARC record to display data, produce reports, or customize for a library-specific purpose. Make questions as specific as possible, not just “Do you follow the standard?” but, e.g., “Can you generate all elements of the 85X and 86X fields from receipt data?”

If you currently use an automated system, ask if the new vendor is able to convert all of the existing data. Account for all possibilities. Test the conversion.

### **Trainer Instruction (Optional: Face-to-face and Online)**

Time permitting, have a discussion of other potential questions a library may want to ask a vendor. Many libraries have already been through the purchase process, so elicit from them their experiences and the questions they asked their potential vendors before purchasing their current system.

# Summary

## Standardized holdings records ...

- Are used by staff to manage multiple functions in multiple environments (local systems *and* union lists)
- Are composed of two standards: **Z39.71** and **MFHD**

1-54

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# Summary

## Standardized holdings records ...

- May allow data to be entered in a **tagged** or a **labeled** (GUI) version of MARC, depending on the system

(Access to a tagged display is desirable no matter what the primary interface is)

1-55

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## Summary

### Standardized holdings records ...

- Use embedded **patterns** to **predict** expected serial issues
- May allow **itemized** data to be **compressed** for display, or **compressed** data to be **itemized** for display

1-56

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## Session 1 Exercises

Identify whether the following holdings statements are:

- a. at summary or detailed level (S or D)
- b. in compressed or itemized form (C or I).

The first is done for you.

1. v.1-8(1993-1996) [Quarterly; v.3,no.2 missing] S C
2. v.108:no.1-108:18 [Weekly] \_\_\_\_\_
3. 1990,1995,1996,1997 [Annual] \_\_\_\_\_

1-57

### **Trainer Instructions (Face-to-Face)**

Options for exercises:

1. Give the trainees time to do the exercises individually, then discuss the answers
2. Do as a group exercise. Have the trainees call off the answers and discuss.

### **Trainee Instructions (Online):**

Do the exercise as a group exercise.

Have trainees answer questions 2 – 6 EITHER

1. Trainee calls off the answer and the trainer enters it in the slide OR
2. Trainee indicates he/she knows the answer and is invited by the trainer to fill in the answer on the slide
3. A multiple choice survey (if your online training software supports this option).

### **Trainer Instructions (Online):**

This would make use of the text tool in your online presentation software (the name may vary with your software package).

If your training software supports it, set up the exercises as a survey and do them as a group.

# Session 1 Exercises

Identify whether the following holdings statements are:

- a. at summary or detailed level (S or D)
- b. in compressed or itemized form (C or I).

4. 1908:Jan., 1908:Feb., 1908:Mar. [Monthly] \_\_\_\_\_

5. v.78(1983)- [Quarterly; no gaps] \_\_\_\_\_

6. Extra challenge:  
v.22:no.1-v.22:no.6,v.23:no.2,v.23:no.4 \_\_\_\_\_

1-58

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## Session 1 Exercise Answers

1. summary, compressed
2. detailed, compressed
3. detailed, itemized
4. detailed, itemized
5. detailed, compressed
6. detailed, both compressed and itemized  
(or call it compressed)!

1-59

### **Trainer Note:**

Another term for “itemized” is “uncompressed.” Try to keep the distinction between “summary level” and “compressed form” clear, though it is definitely confused by many writers.

Expect to spend some time reviewing these exercises. Exercises 3 and 5, in particular, may generate some discussion.

- **In #3**, the holdings are detailed, even though only the year is listed in the holdings, because the publisher published only the year on the issues. Therefore, all levels are present.
- **In #5**, there are no gaps present, and the form is compressed. Therefore, all the issues and all of the levels are implicitly present and have “rolled up” to their present form. Although the holdings appears to be summary at first glance, they are actually detailed. This is in direct contrast to exercise #1 where there is a gap, and all of the levels are *not* implicitly present. To determine, in a case such as this, whether the holdings are really detailed or summary, we need the MFHD indicator set to explicitly tell us the level. The indicator values are discussed in Session 3.
- **In #6**, there is no possibility of compressing these detailed holdings further, because there are gaps between the range and between both individual issues. Therefore, even with some itemization, this constitutes a compressed statement at the detailed level

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# Holdings Session 2

## Overview, Control and Location Fields

- How do we structure a holdings record?
- What is the link to the bibliographic record?
- What do we use fixed field codes for?

2-1

### **Session Contents:**

Questions for Session

Overview: Structure of the MFHD

Control Fields

Leader Elements: Type Code

Leader Elements: Encoding Level

Fixed-Length Data Elements—008

For Single-Part Items

For Multi-Part Items

For Serials

Notes

Location and Access

Examples

Exercise

### **Trainer Note:**

The Instructor may want to review the section on control numbers in the MFHD Format in paper or the Concise Holdings Format on the Web, <http://www.loc.gov/marc/holdings/echdcntr.html>. 008, Fixed Length Data Elements will be covered in detail, with mention of other control numbers through 852.

## Holdings Session 2

### Overview, Control and Location Fields

- How do we display location and call number information?
- What notes are useful?
- How can this information be utilized by automated systems?

2-2

#### **Warm Up Exercises (Face-to-face and Online):**

If the Pre-Workshop Exercises have not been handled yet, this is a good place to discuss them. Afterward, if the instructor has not already done so, he/she might now refer trainees to the appendices, which contain the Holdings Data Handbook. This will be a reference point and a guide in the exercises to come.

## Structure of the MFHD

- **Leader and Directory**
- **Variable Control Fields (001-008)**
  - aid retrieval
  - encode library policy
  - process information
  - apply Z39.71

2-3

### **Trainer Note:**

The structure of the MFHD record has roughly the same structure as that of the bibliographic record:

**1. Leader, Directory** --identify record

**2. Variable Control Fields** (001 through 008)

- they are useful for retrieval and data management
- identify library policies relating to item
- further specify record and item for processing purposes
- some values relate to Z39.71 standard.

## Structure of the MFHD

Variable Data Fields (010-880):  
Include control numbers, notes, and  
holdings data

010-099	Numbers & codes
5XX	Notes
8XX	Holdings data, location, call number and notes

2-4

### **Trainer Note:**

The structure of the MFHD record has roughly the same structure as that of the bibliographic record:

#### **3. Variable data fields (010-880)**

- describe item
- give location (for single part item); piece holdings (for multi-parts and serials); access information (for remote resources)
- most important fields shown on the screen, referred to in rest of session

# The Journal of ABC

2-5

**Trainer Note:**

This slide was first shown in Session 1.

It is the serial represented by the holdings record on the next slide.

## Sample MFHD Record & Resulting Display

Journal of ABC.

Type: y Encod.L: 4 Rec./Acq.: 4 Acq.Meth.: p Int.toCanc:  
GenRet: 8 Spec.Ret: Lang.: eng Sep/comp: 0 Copies: 1  
Completeness: 1 Lend: b Repr: a

004 \$a AA32059

007 \$a ta

852 51 \$b 30000 \$c Reading Room

853 20 \$8 2 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q \$x 03

866 41 \$8 1 \$a v.1-10(1990-1999)

863 41 \$8 2.1 \$a 11 \$b 1 \$i 2000 \$j 01/03 \$z Reserve

863 41 \$8 2.2 \$a 11 \$b 2 \$i 2000 \$j 04/06

-----  
Journal of ABC.

Location: GenLib Reading Room. Currently received. Shelved by title.

Holdings: v.1-10(1990-1999)

v.11:no.1(2000:Jan./Mar.) —Reserve

v.11:no.2(2000:Apr./Jun.)

2-6

### **Trainee Instructions (Face-to-face and Online):**

What do you notice about this record?

Have the trainees view the record and discuss their general discoveries/observations.

It is the holdings record for the serial represented on the previous slide.

### **Trainer Instructions (Face-to-face and Online):**

Possible items of note are highlighted in blue typefont on the next slide.

## Sample MFHD Record & Resulting Display

Journal of ABC.

Type: y Encod.L: 4 Rec./Acq.: 4 Acq.Meth.: p Int.toCanc:  
GenRet: 8 Spec.Ret: Lang.: **eng** Sep/comp: 0 Copies: 1  
Completeness: 1 Lend: b Repr: a

004 \$a AA32059

007 \$a ta

852 51 \$b **30000** \$c **Reading Room**

853 20 \$8 2 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q \$x 03

866 41 \$8 1 \$a v.1-10(1990-1999)

863 41 \$8 2.1 \$a 11 \$b 1 \$i 2000 \$j **01/03** \$z **Reserve**

863 41 \$8 2.2 \$a 11 \$b 2 \$i 2000 \$j **04/06**

-----  
Journal of ABC.

Location: GenLib Reading Room. Currently received. Shelved by title.

Holdings: v.1-10(1990-1999)

v.11:no.1(2000:Jan./Mar.) —Reserve

v.11:no.2(2000:Apr./Jun.)

2-7

### **Trainer Instruction (Face-to-face and Online):**

Instructors may refer to this record at any point to show how coding fits together.

### **Features of the record:**

Elements generating displays (in blue):

008:06 (Rec./Acquisitions status) -- Currently received

008:22-24 (Language) -- translates codes into natural-language names of months

852 1st indicator -- Shelved by title

852\$b -- Gen Lib (i.e., often a translation of a code)

852\$c -- Reading Room

866 (Textual Holdings Field) -- v.1-10 (1990-1999)

853 plus first 863 -- v.11:no.1(2000:Jan./Mar.) Reserve\*

(\*that special status could be coded specifically in an item field, which is not yet widespread in implemented systems.

Items are included in the appendices

853 plus second 863 -- v.11:no.2(2000:Apr./June)

## MFHD: Fixed-length Data (Tagged Display)\*

Type:\_ Encoding lvl:\_ Acquis. status:\_

Acquis. method:\_ Lang:\_ \_ \_ Compl:\_

Gen ret:\_ Spec ret:\_ \_ \_ Sep/comp:\_

Lend:\_ Repro:\_ Cancel:\_ Copies: \_ \_ \_

-----

\*Shows a hypothetical tagged screen--no  
specific system display intended!

2-8

### **Trainer Note:**

#### **The Holdings Fixed-Length Data Elements (a mixture of Leader & 008 Fields)**

#### **What the codes do:**

- Give information about the record and about the specific copy of the work whose holdings are being given.
- Codes may be sorted into indexes so that the record may be retrieved by someone looking for certain bibliographic characteristics, e.g., receipt, retention, and lending parameters.
- Codes may be used to compose local or national reports. Some relate to Z39.71 data definitions.

#### **What you see:**

The display onscreen is a *tagged and labeled display*. It is purely hypothetical., not reproduced from any system in existence.

Displays are proprietary. (One vendor's may not look like another's.)

Currently, vendors often use a *customized (usually GUI\*) interface*.

Some features likely to be seen in new systems:

graphic representation of data elements as icons, onscreen "objects"

rearrangement of data to suit vendor purposes

drop-down menus of clickable choices, or tables revealed by clicking on a field

context-sensitive help

\*graphic user interface, pronounced "gooey"

## Holdings Control Fields

<i>001</i>	<i>Control number</i>
<i>003</i>	<i>Control # ID</i>
<i>004</i>	Control number of related bibliographic record
<i>005</i>	<i>Date/Time of latest transaction</i>
<i>007</i>	Physical description fixed field

2-9

### Trainer Note:

#### **Holdings Control (00X) Fields**

- Many of these data elements are system-maintained.
- No indicators or subfield codes.
- Meaning determined by character position, so each character position must contain either a code or a fill character.

Note on font typing: Fields in italics are typically generated and maintained by the system. Fields in regular type may be generated by the system but may also allow users to edit or change the value in the field.

#### **004**

- Used with separate (not embedded) holdings record.
- The 004 usually serves as the link to the bibliographic record. This link is commonly also used for record exchange; however, in some systems, internal linking, and even exchanges could be done on some other data element--e.g., LCCN, CODEN, ISSN, or some of the numbers shown here or on the next screen.
- If this is the link in your system, deleting or altering this field should be done only when re-linking is intended!

#### **007**

- Codes copy-specific physical information that describes a format. This information may appear textually in the holdings note fields 841-843.
- Ordinarily matches 007 in bibliographic record.
- Together, 007 and associated notes can distinguish a separate version or format of a work (Multiple versions), i.e., the bibliographic record may describe the original format, and be linked to multiple holdings records for different versions, distinguished by 007 coding and notes. For paper serials, the most common value is **ta**. Microform starts with **h**. Other coded values are in the appendices.

## Other Control Numbers

010	LCCN
014	Linkage number (for other bibliographic agency)
020, 022, 024	Standard control numbers
027	Standard technical report no.
035	System control number

2-10

### **Trainer Note:**

On the screen are some further control numbers that can be used in holdings records.

These control numbers are often used to match records that migrate from one system to the next. For example, if a library sends its MFHDs from its local system to the OCLC union list, the 014 or the 035 are used to match and link the holdings record to a WorldCat bibliographic record.

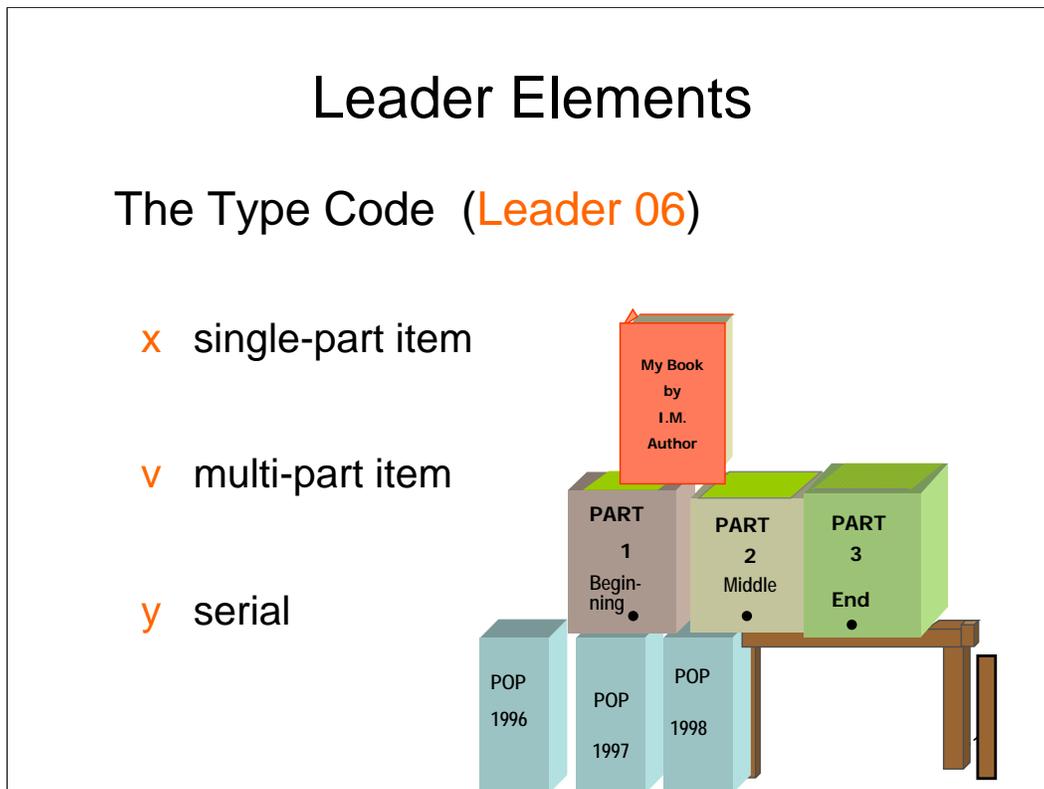
Note (in case anyone asks): if the library desires to batchload its MFHD records to OCLC, then the record **must** include the WorldCat record number in *either* the 014 or the 035. Check the OCLC documentation at <http://www.oclc.org/batchprocessing/options/holdings/localdatarecords/dataspecifications.htm> for full details on how to format the record number in each respective field.

### **Trainer Instructions (Face-to-face):**

Solicit from the trainees whether or not they understand all of the material in the session to this point.

### **Trainee Instruction (Online):**

Ask the trainees to signal that they understand all of the material in the session to this point, using the appropriate online tool.



### Trainer Note:

#### **Leader**

Two leader elements are commonly managed by staff working with holdings:

**Leader 06**, the **Type of Record** code, is a one-character code that indicates the characteristics of and defines the components of the record.

The byte is often system-set from elements in the bibliographic record. The system generates other Leader elements as well, but on the next screen, there is an editable Leader element: the Encoding level.

# Leader Elements

## Encoding Level (Leader 17)

- 1** Item, library
- 2** Item, library, report date, optional policies
- 3** Item, library, policies, summary holdings
- 4** Item, library, policies, detailed holdings
- 5** Item, library, policies, detailed holdings, and individual piece designations
- m** Mixed holdings
- z** Other holdings level

2-12

### **Trainer Note:**

#### **Leader 17, the Encoding level**

Encodes level of detail, or specificity, discussed earlier in connection with holdings display standards for the item as a whole. In the case of serials, **this would be the encoding level for the entire run of volumes held**. Single-part items may have a system-set default level of 1.

The instructor may want to refresh memory of the difficult distinction between Levels 3-4 (and 5 and m) for serials. The difference between 3 and 4 is the difference between a holding accurate to the volume level only, and a holding explicitly stating all gaps. It is the accuracy to the issue level, and not the itemized or summarized format, that distinguishes Level 4 from Level 3. Illustrate, if desired, on the flipchart for face-to-face or the “whiteboard” for the online software:

**v.1 [incomplete] v.2 v.3** --the first statement is encoding level 3

**v.4-10** -- this field, if holdings known to be complete, can be coded 4.

Level 5 adds a piece designation, or identifying number (a barcode or accession.number) which may reside in an attached item record if the holding is itemized

Level m shows that all of the holdings are not at the same level of specificity. May be used, for example, when retrospective holdings are added from a non-MARC source to a record for a currently received title.

## Receipt or Acquisition Status **008/06**

- 1 Other (None of codes appropriate)
- 2 Ceased or complete
- 3 On order
- 4 Currently received
- 5 Cancelled or not now receiving

2-13

### **Trainer Note:**

A library could use the **Receipt or Acquisition status** code to generate automatic notes for currently received or cancelled titles, or to index for automated response to a Z39.50 query. It is also crucial for union list formatting, if a library union lists its holdings with OCLC:

- If the serial is still published, but cancelled locally, the code is 5.
- If the serial ceases or changes title, the code is 2. (“Complete” here does not mean “held in full.” It means “no longer published.”)

Acquisition Method	008/07
<u>Code:</u>	<u>Definition:</u>
c	Cooperative or consortial purchase
d	
e	
f	
g	
m	
n	
p	
u	
z	

2-14

**Trainee Instructions (Face-to-face and Online):**

Mention that these codes are mnemonic, c = consortial purchase for example. Then have the trainees guess what the other codes represent and “fill in the blanks”.

**Trainer Note:**

Several mnemonic codes exist to indicate the **Method of acquisition**.

- c - Cooperative or consortial purchase
- d - Deposit
- e - Exchange
- f - Free
- g - Gift
- m - Membership
- n - Non-library purchase
- p - Purchase
- u - Unknown
- z - Other method of acquisition

## Acquisition Method

**008/07**

Code:    Definition:

<b>c</b>	<b>C</b> ooperative or consortial purchase
<b>d</b>	<b>D</b> eposit
<b>e</b>	<b>E</b> xchange
<b>f</b>	<b>F</b> ree
<b>g</b>	<b>G</b> ift
<b>m</b>	<b>M</b> embership
<b>n</b>	<b>N</b> on-library purchase
<b>p</b>	<b>P</b> urchase
<b>u</b>	<b>U</b> nknown
<b>z</b>	<b>O</b> ther

2-15

Answers to “Acquisition method quiz”.

Expected Acquisition End Date **008/8-11**

Date of expected last issue, OR

Date of cancellation of the order

**yymm** Date of last expected part or cancellation

**uuuu** To be cancelled, date unknown

**[blank]** No intention to cancel or not applicable

2-16

**Trainer Note:**

The **Expected Acquisition End Date** provides the date of cancellation of an order, or the date of the last issue, or date of expected receipt of that issue.

Note that it takes up 4 character positions in the 008 string.

## General Retention Policy

008/12

- 0 Unknown
- 1 Other general retention policy
- 2 Retained until updates received
- 3 Sample issue retained
- 4 Retained until replaced by microform
- 5 Retained until cumulation or replacement volume received
- 6 Retained for a limited period
- 7 Not retained
- 8 Permanently retained

2-17

### **Trainee Instructions (Face-to-face and Online):**

Have the trainees look at the values and their definitions, then offer up scenarios they can apply to the various values. For example, “2” would apply to a loose-leaf, “5” would apply to a CD-ROM, and “6” would apply to a newspaper or travel guide.

### **Trainer Notes:**

**General and Specific retention** codes show whether and for what period the serial is retained:

- Can generate notes.
- Could be read by union listing software.
- Permanent retention = 8.

## Specific Retention Policy **008/13-15**

**3 blanks** no specific retention policy

position 1 **l** latest OR **p** previous

position 2 **1-9** number of units

position 3 **m** **y** **e** **i** **s**

months years editions issues supplements

2-18

### **Trainee Instruction (Face-to-face and Online):**

“mini-exercise”. Present to the trainees the following scenario: your library keeps the latest two editions of Fodor’s travel guide to Rome. How would you code the specific retention policy?

### **Trainer Instruction (Face-to-face and Online):**

Using the flipchart (face-to-face) or “whiteboard” (online), write out the answer to the above mini-exercise: **L2E**

### **Trainer Note:**

A **Specific retention code** is used when General retention value is 6. Has three character positions--

- Either **p** (previous) or **l** (latest)
- Digits from **1 to 9**
- **i** (issue), **e** (edition), **y** (year), **m** (month), **s** (supplement)

If the General retention value is anything other than a 6 (an 8, for example), then the specific retention policy values are blank.

If the number of units to be retained exceeds 9, use a public note \$z in the 852 field (to be discussed later in this session).

# Completeness

**008/16**

An estimate of entire run or institutional holdings (all copies)

<b>0</b> Other	limited retention / no estimate of completeness
<b>1</b> Complete	95% or more
<b>2</b> Incomplete	50-94%
<b>3</b> Scattered holdings	Scattered
<b>4</b> Not applicable	Could be set by system for single-part items

2-19

## **Trainer Note:**

**Completeness** is not widely used according to surveys.

- Could be used, e.g., to sort interlibrary loan queries or Z39.50 retrievals.
- Difficulties in coding:
  - Split runs or multiple copies
  - Perhaps best to use *only* institutional level in this code--<possible discussion point?>
  - Changing percentages as more of the title is acquired, or gaps occur.

## Number of Copies Reported **008/17-19**

The number of copies represented by the holdings record

<b>001</b>	One copy reported
<b>002</b>	Two copies reported
<b>Etc.</b>	Etc.

2-20

### **Trainer Note:**

**Number of copies reported** is coded for one or multiple copies reported **on one MFHD record**.

Most systems will generate a default “001” for this element.

The definition of “a copy” of a serial differs from library to library, since in large libraries, many single runs may be held partially in more than one location. A multiple copy code should probably be reserved for those items where a substantial part of a title is held in multiple copies and the copies are on the same record. Probably most users will report their different copies on separate records.

The definition of “copy” is a possible discussion point.

Lending Policy 008/20	Reproduction Policy 008/21
<b>a</b> Will lend	Will reproduce
<b>b</b> Will not lend	Will not reproduce
<b>c</b> Will lend hard copy only	
<b>l</b> Limited lending policy	
<b>u</b> Unknown	Unknown

2-21

**Trainer Note:**

Here are values that are being coded in the 008 field to guide interlibrary loan and union listing operations.

On the basis of these codes, for example, OCLC can direct or “deflect” interlibrary loan requests to and from your library.

For example, if your library does not loan *or* copy for journal A, then you would code the MFHD as **bb** in the 008/20-21. But if your library does not loan but does copy for journal B, then you would code the MFHD as **ba** in the 008/20-21.

Deflection works approximately like this: the borrowing library puts your library code in the ILL request. The OCLC ILL system sees the library code, matches it to the 008/20 and 008/21 codes, then makes a decision whether to route it to your library’s lending file. If the system decides to deflect the request, it is not delivered to your lending file but is routed to the lending file of the next library in the lending string.

## Language

008/22-24

Systems can combine the language code and the numeric chronology or ordinal numeration into the desired language for display.

2-22

### **Trainer Note:**

The **Language** code will usually be the same as in the bibliographic record--but must match language of captions.

Function is to translate the *month* or *season* expressed in numeric form to the proper name according to the coded language , e.g., 01 translates to Jan., janv., enero, etc. (These patterns will be examined further in a later session).

## Language

008/22-24

Language code examples:

<u>Code</u>	<u>Chronology</u>	<u>Display</u>
eng	1991:01/03	1991:Jan./Mar.
fre	1991:01/03	1991:janv./mars

2-23

**Trainee Instructions (Face-to-face and Online):**

Ask the trainees what they notice about these two examples. The main thing they should notice is that the chronology is the same but the two displays are different.

**Trainer Note:**

The same “translation” rule applies to enumeration.

## Separate or Composite Copy Report **008/25**

### **0** Separate copy report

Each copy has a separate holdings record

### **1** Composite copy report

The holdings record is a consolidation of information about more than one copy

2-24

#### **Trainer Note:**

A **composite copy report** is ordinarily an institution-wide report of holdings, perhaps to a union list.

Most local reports are separate copy reports, but if a single holdings record reports multiple copies of the same serial title (or a substantial portion of it), the value 1 should be coded.

#### **Trainee Instructions (Face-to-face and Online):**

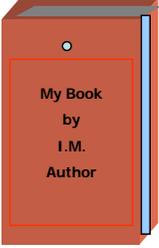
Pause for discussion. Possible discussion points:

Union lists in the past have traditionally preferred composite reports, but this may now be changing.

What has your library's past and/or current practice been?

Is a composite report a good idea for future practice? Why or why not?

## Holdings Fixed Fields for Single-part Item

Type	x	
Encoding level	1 or 2	
Receipt or acquisition status	2 complete	
General retention policy	8 permanently retained	
Lend, Repr., Copies	according to library's policy and holdings	
Most other codes do not apply		

2-25

### **Trainer Note:**

#### **Fixed fields for single-part item**

We will examine briefly how these codes would apply to a single-part item, multipart item, and serial.

The easiest way to compare the possibilities is to follow along in the *Handbook* (located in the appendices).

This is a single-part item, otherwise known as a monograph. (Type-=x). These would be typical codes for a monograph.

## Holdings Fixed Fields for Multi-part Item

Type = v

PART	PART	PART
I	II	III
Begin- ning	Middle	End
•	•	•

If you do not do checkin,  
you can use same set of codes as a  
single-part item (see the previous slide),  
plus the **Completeness** code.

2-26

### Trainer Note:

#### **Fixed field for multipart item**

This is a monographic set (type = v).

This record could use many of the fixed field codes.

A set would probably be treated like a single-part item, with minimal coding (perhaps just the codes mentioned in the previous slide plus the Completeness code) if it were acquired complete.

## Holdings Fixed Fields for Multi-part Item

Type = **v**

PART	PART	PART
I	II	III
Begin- ning	Middle	End
•	•	•

If you check in the item,  
then you can use same codes as a serial  
(see the next slide).

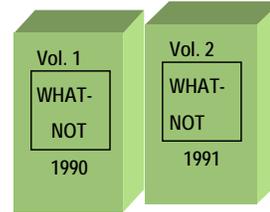
2-27

### **Trainer Note:**

#### **Fixed field for multipart item**

If a check-in record is set up for a finite, but ongoing, monographic multipart item, many of the serial codes become relevant, including Receipt or acquisition status, Acquisition method, and Cancel.

## Holdings Fixed Fields for Serials



Type: **y**

Encoding level: **1, 2, 3, 4, 5, or m**

Receipt or acquisition status:

**2** (ceased), **3** (on order), **4** (currently received),  
**5** (cancelled or not receiving)

Acquisition method: mnemonic codes

2-28

### **Trainer Note:**

Fixed fields for serials

The complete range of codes can be used for a serial. The type code is y.

According to the specificity and detail of the holdings report, the library would code its Encoding level as 1-4, or m for mixed levels.

The Receipt or Acquisition status code tells whether a serial is currently received, ceased, cancelled, or on order / not yet received..

The Method of acquisition code tells how the serial is acquired.

### **Trainee Instruction (Face-to-face):**

Ask the trainees whether or not they understand all of the material in the session to this point.

### **Trainee Instruction (Online):**

Ask the trainees to signal that they understand all of the material in the session to this point, using the appropriate online tool.

## Notes (Copy or Title Level)

- Note tags begin with **5** or **8**.
- Other local notes can be placed in subfields of location field (copy level) or piece holdings field (piece level).

2-29

### **Trainer Note:**

Note tags in a holdings record begin with either a 5 or an 8.

Tagged note *fields* have specific purposes:

- Other local notes at the copy level may be placed in note *subfields* of the location field (852).
- Notes at the piece level can go into the piece holdings fields (863-865) or textual holdings fields (866-868).

## Notes (Copy or Title Level)

- 538** System requirements
- 541** Immediate source of acquisition
- 561** Ownership and custodial history
- 583** Action note

Used to report processing, reference, and preservation actions in regard to material; 21 possible subfields

2-30

### **Trainer Notes:**

**Optional:** the instructor may mention that some bibliographic fields have equivalents in the holdings format with the same or different tags; 538; 541; 561; 533/843 (Reproduction Note); 540/845 (Terms Governing Use and Reproduction)>.

Some important note fields here and on the next screen.

**583 Action note** -- to record preservation, processing, and reference actions concerning an item:

- Many possible subfields (21 in all counting control subfields)
- Examples of actions: correspondence about material, repair, transfer, microfilming, boxing or binding, disposal.

## Notes (Copy or Title Level)

- 842** Textual physical form designator  
textual form of 007
- 843** Reproduction note  
like 533; used when bib. record describes original
- 844** Name of unit  
title of unit, e.g., Cases
- 845** Terms governing use & reproduction  
like 540; special copying, etc., restrictions

2-31

**Trainer Note:**

**842-845**

Eye-visible information relating to codes for physical description (007 and 008).

## Electronic Location & Access 856

- Used as a hotlink to many resources
- Repeatable in both the bibliographic and holdings formats when there are multiple access methods
- Though it often appears elsewhere, the 856 is fundamentally holdings data!

2-32

### **Trainer Note:**

#### **Location and Access Fields**

##### **Electronic (856)**

- Contains access information for locating electronic resources
- Used most often today directly as hotlink; repeatable for multiple means of access to equivalent information
- Many systems (and utilities) have chosen the bibliographic record for placement
- Primary relationship of this field is to holdings, hence terms “location” and “access”

## Electronic Location & Access **856**

By collocating electronic description and access, the placement of 856 in holdings:

1. Reduces confusion among formats in records
2. Facilitates easy modification of dynamic information
3. Aids the use of “single-record option” in electronic resource cataloging

2-33

### **Trainer Note:**

#### **Location and Access Fields**

#### **Electronic (856) cont.**

With the emergence of ERM systems, 856 is appearing more in holdings records rather than in bibliographic records.

Placing 856 in the holdings record helps to:

- Increase clarity by reducing confusion among descriptive data
- Facilitate record editing when access information changes
- Aid use of the single record option for electronic resource cataloging

## Electronic Location & Access **856**

By collocating electronic description and access, the placement of 856 in holdings:

4. Allows for specific holdings to be linked to an additional 856
5. Updates electronic holdings data automatically and in a timely manner
6. Presents different coverage data by various providers in a clear, single listing in the OPAC

2-34

### **Trainer Note:**

The 856 allows for specific holdings to be linked to an additional 856: for example, an 856 link to archival holdings may be different from the 856 link to current holdings.

### **Trainee Instruction (Face-to-face):**

If time permits, ask the trainees how their libraries are using the 856 field currently and discuss the various usages.

Ask the trainees to signal that they understand all of the material in the session to this point.

### **Trainee Instruction (Online):**

If time permits, ask the trainees how their libraries are using the 856 field currently and discuss the various usages.

Ask the trainees to signal that they understand all of the material in the session to this point, using the appropriate online tool.

## Holdings Location Field 852

- \$a Code of organization from MARC code list
- \$b Code for sublocation or collection
- \$c Shelving location
- \$h Call no. (classification part)
- \$i Call. no. (item part)
- \$j--m Call no. prefixes, suffixes, etc.
- \$t Copy no.
- \$x Non-public note
- \$z Public note



### **Trainer Note:**

#### **Location and Access Fields Non-electronic (852)**

- For a single-part item such as a monograph, the 852 field will be the only variable data holdings field.
- For serials at level 3 or 4, the 852 carries only location and call number (and sometimes notes), while information on the holdings of the various parts is given in specific piece holdings fields.
- \$a is an identifying code for the location as listed in *MARC Code Lists for Organizations*, or the name of the holding library, etc. Often this is a non-displaying, system supplied default. OCLC may require their own library code when inputting the record through Connexion, or when exporting to the union list; such a change could be effected through a translation table.
- \$b and \$c further specify where an item is shelved. In the OCLC environment \$b contains the holdings library code.
- \$h and \$i give the classification and work numbers and letters of the call number.
- \$j through \$m give the prefixes, suffixes, and shelving numbers and titles of the item.
- \$x and \$z are for notes composed by the library. They communicate information to staff or to the public about the resource at the copy level, or, if the report is a composite report, about all copies.

## Holdings Location Field Example

852 01 \$b 132000 \$c Index Table \$h Z1373  
\$i .15 \$k Ref \$z See Intl.Docs.Div. for  
documents



### **Trainer Note:**

#### **Location and Access Fields**

This is an example of an 852 field coded in an ILS. Note that there is no \$a, and \$b is a code that the library has developed that gives the location within the library for the item.

## Holdings Location Field Display Example

Index to Canadian documents.

Location: Main Reference Room, Index Table

Call no.: Ref Z1373 .I5

Note: See Intl.Docs.Div. for documents



### **Trainer Note:**

#### **Location and Access Fields**

This is how the data coded in the 852 field on the previous slide might display in the OPAC to the patrons. The somewhat cryptic code 132000 has been translated on display to “Main Reference Room, Index Table”.

## 852 Field Indicators

First Indicator (Shelving scheme). Values:

0	LC
1	DDC
2	NLM
3	Superintendent of Documents
5	By title
6	Classed separately
7	Source specified in \$2
8	Other

2-38

### **Trainer Note:**

#### **Indicators of the 852 field**

Specify the classification and shelving of a title:

- First – what classification system is being used, if any

## 852 Field Indicators

Second Indicator (Shelving order). Values:

- 1 By primary enumeration  
(most common value)
- 0 Classed separately
- 2 Shelved by secondary enumeration

2-39

### **Trainer Note:**

#### **Indicators of the 852 field**

Specify the classification and shelving of a title:

- Second – whether the series is shelved by its own volume number or by a secondary scheme. For example, that of a broader series whose numbering scheme is also present.

### **Trainee Instruction (Face-to-face):**

Ask the trainees whether or not they understand all of the material in the session to this point.

### **Trainee Instruction (Online):**

Ask the trainees to signal that they understand all of the material in the session to this point, using the appropriate online tool.

## An Example of a Complete MFHD Record for a Monograph

Local Holdings Record: Don't make a black woman take off her earrings	
OCLC 62755664 ISBN 1594489211 9781594489211 Dates 2006	
<a href="#">Summary</a>	PS3616.E795 D66 2006
<a href="#">Leader</a>	cx a2n
<a href="#">007</a>	ta
<a href="#">008</a>	0701312p 8 4001abeng0070213
<a href="#">852</a>	00 T@W \$b T@WA \$h PS3616.E795 \$i D66 2006

2-40

### **Trainer Note:**

A MFHD record for non-serials does not have to be lengthy. In fact, it needs only the fields we have covered in this session.

This record happens to come from the OCLC union list environment, but it could just as easily come from a local system or another union list.

Also note that the 852 \$a is the OCLC library code, and the 852 \$b is the OCLC holding library code.

### **Trainee Instruction (Face-to-face and Online):**

Ask the trainees for their observations about the record. Based on the material presented so far, what do they see? Remind them that this is an “open book” question. All we are looking for are general observations.

## An Example of a Complete MFHD Record for a CD

Local Holdings Record: Celtic bagpipes			
<b>OCLC</b>	43664750	<b>Dates</b>	1997
<a href="#">Summary</a>	CD Celtic Bagpipes		
<a href="#">Leader</a>	nx a2n		
<a href="#">007</a>	sd fungnn   eu		
<a href="#">008</a>	0701312g 8 4001bbeng0070131		
<a href="#">852</a>	60 T@W ‡b T@WA ‡l CD Celtic Bagpipes		
2-41			

**Trainer Note:**

This is another example of a MFHD record for a non-serial format.

**Trainee Instruction (Face-to-face and Online):**

Ask the trainees for their observations about the record. Based on the material presented so far, what do they see?

# Summary

- Codes in fixed fields and control fields are used to aid in local or remote retrieval, and in union listing
- Other codes aid in local management tasks

2-42

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## Summary

- The Type code (**Leader 06**) codes for single-part, multi-part, or serial items.
- Many codes can be used to generate notes.
- Notes can be public or staff notes, at the piece level or the copy level. This is determined by their tagging.

2-43

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# Summary

- The 856 fields are also holdings fields!
- The 852 field is the first holdings field proper. It carries the location and call number, if any, plus notes.

2-44

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# Exercise Example 1

## **JKL bibliography.**

Type: y Encl: 2 AqSt: 4 AcqM: p Canc: GenR:6  
 SpcR:l2y Comp:0 Cops:001 Lang:eng Lend: b Repr:  
 a

Sep/Comp:0

852 01 \$b 45678 \$kRef \$h Z7401 \$i .J54 \$z Request at  
 desk \$x Superseded eds. to Storage

## ***Might display to public as:***

JKL bibliography.

Loc: Science Library Ref Call no.: Z7401 .J54 Notes:  
 Currently received. Latest 2 years retained. Request at desk

2-45

## Example 1.

Here is an example of a limited-retention serial (General Retention=6).

Above, you see how it might display to staff; and below, to the public. For staff, Leader and 008 are combined in a labeled display. Some systems display them separately; in some you must execute a command to see the individual labels.

The first indicator of the 852 field is for the classification scheme. The second indicator shows whether it is shelved by primary or secondary enumeration or some other shelving order.

For users, some information comes from codes, other information is input as text.

The instructor may point out the general structure of the example, particularly 852 location, call number and prefix. However, some of this may also be discussed in relation to the exercise at the end of the session which is based on the two examples here and on the next screen.

# Exercise 1

Example 1. In the record for JKL bibliography:

1. Where do the following notes come from?
  - a. Currently received
  - b. Last two years retained (Note: involves 2 codes)
  
2. Identify each subfield in the 852. Why is the last subfield not displayed on the public screen?

2-46

**Trainer Instruction (Optional Face-to-face):**

If the trainees desire to do this as a group exercise, back up to the previous slide and have them call out the answers. Then mark the answers in their handbook.

***Trainer Instruction (Optional Online):***

If the trainees desire to do this as a group exercise, back up to the previous slide and circle or underline the answers using the drawing tool in the online software.

Another option is to draw lines between the links to demonstrate how the fields work together to generate the OPAC display.

## Exercise Example 2

### Review of XYZ.

Type: y EncL: 4 AqSt: 5 AcqM: g Canc: 000901 GenR:4  
SpcR: Comp:0 Cops:001 Lang:eng Lend: b Repr: b  
Sep/Comp:0

852 51 \$b 45000 \$c Periodicals Shelves \$l XYZ review \$x Do  
not order if no longer received as gift

### *Might display to public as:*

Review of XYZ.

Main Library Periodicals Shelves. Shelved by title. Shelving  
title: XYZ review. Library order cancelled: 09/01/00. *Note:*  
Retained until replaced by microform.

2-47

### **Example 2.**

This serial, which had been received in print as a gift, has now been cancelled, and the library system vendor has provided a public display of that information by working intensively with fixed field codes and control subfields.

## Exercise 2

Example 2. In the record for Review of XYZ:

3. Where do the following notes come from?
  - a. Shelved by title
  - b. Retained until replaced by microform
  
4. If we now need to classify this title in Dewey:
  - a. What data must we change?
  - b. Where must we add subfields, and what will they be?

2-48

### **Trainer Instruction (Optional Face-to-face):**

If the trainees desire to do this as a group exercise, back up to the previous slide and have them call out the answers. Then mark the answers in their handbook.

### **Trainer Instruction (Optional Online):**

If the trainees desire to do this as a group exercise, back up to the previous slide and circle or underline the answers using the drawing tool in the online software.

Another option is to draw lines between the links to demonstrate how the fields work together to generate the OPAC display



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# Holdings Session 3

## Coded Holdings

### Warm-up Exercises

- Where are the different places that serials holdings are on view?
- What is the viewer usually seeking in each case?

3-1

#### **Warm Up Exercises**

##### **Trainer Instructions (Optional: Face-to-face and online):**

Before class, locate some records as examples to show what holdings statements look like and where and how holdings may be recorded and displayed.

For example, use:

- OCLC WorldCat to show public display of local holdings (OCLC accession #24947684, Journal of second language writing)
- OCLC Connexion Browser Local Holdings Record to show “behind the scenes” coding of the same holdings statement. (<http://connexion.oclc.org> OCLC#24947684 (Set timeout for maximum))
- Local Catalog/holdings records to show where holdings are recorded, e.g., <http://magic.msu.edu/record=b3706227a>, title: Journal of Spanish Cultural Studies

##### **Trainee Instructions (Optional Face-to-face and online):**

Ask trainees to answer the questions verbally, using text chat, or write on the slide/whiteboard or flipchart:

- What are the different places that serials holdings are on view?
- What is the viewer usually seeking in each case?
- How well is the user satisfied?

##### **Trainer Instructions (Optional: online):**

If you want trainees to respond verbally and/or use text chat, insert a slide or whiteboard with one question on each so that you or your co-trainer can write down or summarize the answers as the trainees give their answers.

If you want all answers in writing, write each question on a separate slide/whiteboard in advance and ask the trainees to write their answers on it.

After getting answers, use the feature that allows you to share with trainees the open applications on your desktop to show one or two pre-selected titles from local catalogs to show holdings in “Library Has,” “Latest Received” (plus MARC view), item records [location=852].

**ALERT:** Some Websites, especially WebOPAC and OCLC, time out after inactivity, so the records you want to show may not be available when you want to show them. Note down the site URL, title, and/or record number to save time for retrieval just in case. Note as well that the examples may have changed (you may want to check them before the class or use your own examples).

## Coded Holdings

- Fields used for recording issue, volume, and summary holdings data
- Sequence of fields
- Display manipulation
- Gaps in holdings
- Changes in serial numbering

3-2

### **Trainer Note:**

In this session, we'll cover:

- how to record holdings data for issue, volume and summary in various fields,
- how to keep fields in order,
- What different display needs can be accommodated,
- how to record gaps in holdings, and
- how to handle changes in serial numbering.

Session content

1. Overview
2. Definitions and field structure
3. Linkage and sequencing
4. Recording captions and enumeration/chronology
5. Other captions
6. Special problems
7. Exercise
8. Indicator values
9. Exercise
10. Summary

## Recording Coded Holdings

In the MFHD, holdings are recorded in two different fields that are paired:

- Fields 853, 854, 855 include the captions and publication pattern.\*
- Fields 863, 864, 865 include the actual enumeration and chronology of an issue, volume, etc.

\*Publication patterns will be covered in Session 4. Patterns are omitted from Session 3 examples.

3-3

### **Trainer Note:**

Holdings can be recorded in paired fields or textual fields (866-868). We'll focus on the paired fields in this session.

The **paired field** concept is the heart of the Format. It allows great flexibility, with savings in staff time. On the other hand, it multiplies the pieces of data that have to work together for full functionality.

## Bibliographic Units and Fields

Different fields are used for:

- Basic units (853/863)
  - Basic work (e.g., the journal, directory, etc.)
- Supplements to the basic units (854/864)
  - Supplements to the basic unit that are not cataloged separately
- Indexes to the basic units (855/865)
  - Not serials with title “index” that constitute a basic unit (e.g., Index Medicus)

3-4

### **Trainer Note:**

A MARC holdings record may accommodate 3 types of publications associated with a title.

A *basic unit* is the title’s base publication.

*Supplement* and *index* units are used for supplementary materials and indexes included in the bibliographic record for a base publication; that is, no separate bibliographic record exists for the supplement or index.

The fact that a title may contain the word “index”-- or is an index-- does not mean that it would be coded in 855 and 865. The base monthly issues for *Index Medicus* would be coded in 853 and 863, while an index volume to volumes of the title would be coded in 855 and 865.

The same is true for titles that contain the word “supplement”. For these, the enumeration and chronology would be coded in the 853 / 863 and not the 854 / 864.

## Definitions: Caption Data (85X)

### Enumeration

#### caption:

word, phrase, or abbreviation used by publisher to designate each level of parts issued, e.g., v., no., Bd.

Volume 3  
Number 1

853 20 \$8 1 \$a v. \$b no.

3-5

### **Trainee Instructions (Face-to-face):**

Ask the trainee to identify the captions (i.e. the words Volume and Number). Then, using a laser pointer (or possibly a smart board) “draw” or line to the appropriate link (i.e. subfields a and b) to show correspondence.

### **Trainee Instructions (Online):**

Ask the trainee to use the appropriate tool and circle the captions (i.e. the words Volume and Number) and “arrow” or line to the appropriate link (i.e. subfields a and b) to show correspondence.

### **Trainer Note:**

85X are the first half of the pair.

The captions for enumeration are explicitly given.

In this example, volume is the 1<sup>st</sup> level of the enumeration caption (\$a) and number is the 2<sup>nd</sup> level (\$b).

The captions entered in the 85X field are used by systems for display of holdings. Each time a new issue is received or expected, only the numbering is entered, as the caption in the 85X field automatically is used for display.

## Definitions: Caption Data (85X)

### Enumeration

#### caption:

word, phrase, or abbreviation used by publisher to designate each level of parts issued, e.g., v., no., Bd.

Volume 3	June
Number 1	1999

### Chronology

#### caption:

name of a division of the year; understood, but not displayed!

853 20 \$8 1 \$a v. \$b no. \$i (year) \$j (month)

3-6

### **Trainer Instructions (Face-to-face):**

Point out the words June and 1999 and use the laser pointer (or possibly the smart board) to “arrow” to subfields i and j to show correspondence.

### **Trainer Instructions (Online):**

Use appropriate tool to circle the words June and 1999 and “arrow” to subfields i and j to show correspondence.

### **Trainer Note:**

Year is the 1<sup>st</sup> level of the chronology (\$i), and month is the 2<sup>nd</sup> level (\$j).

The captions for enumeration are explicitly given while those for chronology are given in parentheses so as not to display. This is because we say “volume” 1, and “number” 1, but not “year” 1999 nor “month” June!

The captions entered in the 85X field are used by systems for display of holdings. Each time a new issue is received or expected only the numbering is entered, as the caption in the 85X field automatically is used for display.

## Caption Abbreviations

- Use
  - AACR2R, Appendix B, or
  - ISO 832
- See inclusive list at:

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

On issue:                      Volume 1, number 2  
Abbreviated as:              **v.1**              **no.2**

3-7

### **Trainer Note:**

A caption is a word, phrase, or abbreviation indicating the *bibliographic unit* into which a serial or multi-part item has been divided by the publisher.

Captions are abbreviated using Appendix B of AACR2R or the ISO standard. The CONSER Publication Patterns and Holdings Project has an expanded list of captions available. If a caption is not found in the appendix it is used in full.

### **Trainer Instruction (Optional: Face-to-face and Online):**

If there is time, show the caption abbreviations Web site.

## 85X Field Structure

85X      \$8 a b u v c ... h i j ... m o t w x y

\$8	=	Field link
\$a-h	=	Enumeration captions such as v. no.
\$i-m	=	Chronology captions such as (year) (season)
\$o	=	Type of unit caption
\$t	=	Copy caption
\$u-y	=	Publication Patterns (Session 4)

### Trainer Instructions (Face-to-face and Online):

Use appropriate tool to point/"arrow", highlight and/or underline to link (sub)fields/indicators to the appropriate "labels" above or below.

Tag—85X      Indicators --\_\_

Linking field--\$8      Link number – [#]

Enumeration captions—abc...h

Chronology captions—ij...m

Pattern—uv (circle, and referring back to ab)

More pattern—wxy

### Trainer Note:

Fields 853-855 consists of the following subfields:

- appropriate tag
- indicator values (which will be discussed at the end of this session)
- \$8 and a linking number
- Enumeration subfields
  - six levels, \$a through \$f, alternative numbering in \$g and \$h
- Chronology subfields
  - \$i through \$k, alternative chronology in \$m
- In some cases, other descriptive words for types of supplements and indexes (\$o)
- The publication pattern for the serial (see Session 4). Note that some of the subfields (\$u, \$v) follow the part of the enumeration/chronology to which they apply, while others are added at the end of the field.

### Trainer Instruction (Face-to-face and Online):

Ask trainees to signal if everything is clear.

## Definitions (86X)

Volume 3	June
Number 1	1999

The data may be considered apart from the captions.

3-9

### **Trainer Note:**

Definitions of enumeration and chronology.

86X is the 2<sup>nd</sup> half of the paired holdings fields.

We previously defined enumeration and chronology **captions**. Here the definition is for the data that goes with them, the actual enumeration and chronology **data** found on the piece alongside the caption data. This data is input into a field paired with the caption field, tagged 86X.

## Definitions (86X)

*Enumeration:* “Designation reflecting the alphabetic or numeric scheme ... to identify the individual bibliographic unit or physical parts ....”

Volume 3	June
Number 1	1999

The data may be considered apart from the captions.

3-10

### **Trainee Instruction (Face-to-face and Online):**

Ask the trainees to indicate which items in the blue box represent enumeration, then circle based on their answer(s).

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, circle or underline the numbers 3 and 1.

### **Trainer Note:**

The definition for enumeration comes from the MARC Format for Holdings Data, Appendix E.

## Definitions (86X)

*Enumeration:* “Designation reflecting the alphabetic or numeric scheme ... to identify the individual bibliographic unit or physical parts ....”

Volume 3	June
Number 1	1999

The data may be considered apart from the captions.

*Chronology:* “The date(s) ... used by the publisher to help identify it or indicate when it was issued. ...may reflect the date of coverage, publication, copyright, or printing.”

3-11

### **Trainee Instruction (Face-to-face and Online):**

Ask the trainees to indicate which items in the blue box represent chronology, then use the appropriate tool and circle based on their answer(s).

### **Trainer Instruction (Face-to-face and Online):**

Circle June 1999.

### **Trainer Note:**

The definition for chronology comes from the MARC Format for Holdings Data, Appendix E.

## Enumeration and Chronology Fields (863, 864, 865)

Contain numeric, alphabetic, and/or date designation used on the bibliographic item, subfielded hierarchically for processing by computer:

Volume 3	June
Number 1	1999

863 \$8 1.1 \$a 3 \$b 1 \$i 1999 \$j 06

3-12

### **Trainee Instructions (Face-to-face and Online):**

Ask the trainees to guess which 863 subfields represent the enumeration and which represent the chronology. Then, based on their answers, use the appropriate tool to circle the relevant subfields.

### **Trainer Instructions (Face-to-face and Online):**

Circle \$a 3 \$b 1.                      Circle \$i 1999 \$j 06.

### **Trainer Note:**

#### **Composition of 86X**

A sample 863 field for Volume 3, Number 1 of the Journal of Soapbox Oratory is shown.

Each part of the numbering and date hierarchy is a separate data element within the holdings field.

It is matched with the corresponding 853 element and combined for display.

Use tool to point or underline 06. Notice the second level of chronology is expressed as a number. Both its input and display can be in natural language.

## 86X Field Structure

**86X**    **\$8 1.1 \$a b c ...h i j k ...m**

\$8 __	=	Field link and sequence
\$a-h	=	Enumeration data
\$i-m	=	Chronology data
\$o	=	Type of unit (not shown)
\$t	=	Copy no. (not shown)

3-13

### Trainer Instructions (Face-to-face and Online):

Use appropriate tools to link text with corresponding element(s).

### Trainer Note:

86X fields include:

- Appropriate tag
- Indicator values
- Link and sequence number in subfield 8 (853 has link number; 863 adds a sequence number)
- Enumeration subfields
  - six levels, **a** through **f**, alternative numbering in **g** and **h**
- Chronology subfields
  - chronology subfields **i** through **k**, alternative chronology in **m**
- Specific title information for supplements and indexes, in some cases.
- Copy numbers, if used.

### Trainer Instructions (Face-to-face and Online):

Ask trainees to signal if all is clear.

## Linkage and Sequencing

How paired fields are connected:

**\$8**

3-14

**Trainer Note:**

We are going to skip over the indicator values for now and come back to them at the end of this session.

We'll now examine how the pairing of 85X and 86X fields is accomplished by using subfield \$8.

## Linking with Subfield 8

853	\$8	1	\$a v. \$b pt.	[Caption field]
863	\$8	1.1	\$a 1 \$b 1	[Enumeration field 1]
863	\$8	1.2	\$a 1 \$b 2	[Enumeration field 2]

NISO display:      v.1:pt.1  
    v.1:pt.2

3-15

### **Trainer Instructions (Face-to-face and Online):**

Use appropriate tool, e.g., arrow, circle, line, to point and connect the linking numbers in 853 to the link numbers in the 863

Use appropriate tool to point and link the sequence numbers in the 863 repeats to show the relationship.

### **Trainer Note:**

The 853 contains subfield 8 as the first subfield with the linking number of 1.

The 863 fields also contain a sequence number after the linking number. This number determines the logical order that the field should display to end users. In the example, if the sequence numbers were reversed, the display would appear as:

v.1:pt.2  
 v.1:pt.1

## Putting 853 and 863 Together...

Volume 3	June
Number 1	1999

3-16

**Trainer Note:**

We are going to see how the caption fields and the enumeration/chronology fields look for this particular item when they are paired.

## Putting 853 and 863 Together...

Volume 3	June
Number 1	1999

853 \$8 1 \$a v. \$b no. \$i (year) \$j (month)

3-17

**Trainer Note:**

Note the linking number which we discussed earlier.

## Putting **853** and **863** Together...

Volume 3	June
Number 1	1999

**853** \$8 1 \$a v. \$b no. \$i (year) \$j (month)

**863** \$8 1.1 \$a 3 \$b 1 \$i 1999 \$j 06

3-18

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, circle \$8 in both fields to show the linking relationship.

### **Trainer Note:**

Enter corresponding enumeration and chronology in the 86X fields.

Here is how the caption field and the enumeration/chronology fields look when they are paired.

When the group is displayed, the captions from the 85X field will be displayed with the information from the 86X field, as shown in the next slide.

## Putting 853 and 863 Together...

Volume 3	June
Number 1	1999

853 \$8 1 \$a v. \$b no. \$i (year) \$j (month)

863 \$8 1.1 \$a 3 \$b 1 \$i 1999 \$j 06

NISO display: v.3:no.1(1999:June)

3-19

### **Trainer Note:**

Notice the use of parentheses to suppress chronological captions from display. Their function is not to place the chronological data within parentheses, although that is also done!

### **Trainer Instructions (Optional: Face-to-face and Online):**

Use a flipchart (face-to-face) or insert a (prepared) white/text board/slide (online) to present the following exercise on enumeration and chronology:

Code the following in 853/863.

Number 3 March 1999

853 \$a \$i \$j

863 \$a \$i \$j

2001 Volume 23 (annual publication)

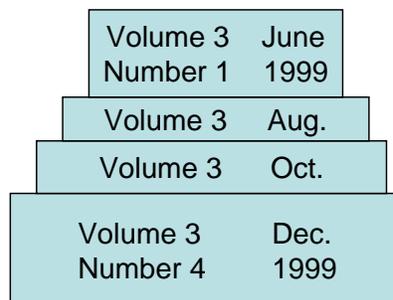
853 \$a \$i

863 \$a \$i

### **Trainee Instructions (Optional: Face-to-face and Online):**

Ask for volunteers to verbally supply the answers or write them on the white/text board (online).

# One to Many...



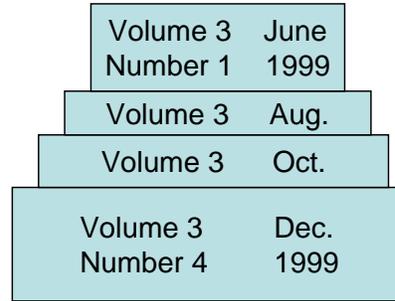
3-20

**Trainer Note:**

Multiple 86X fields may pair with a single 85X field. Here is an example.

## One to Many...

853 \$8 1 \$a v. \$b no. \$i (year) \$j (month)



3-21

**Trainer Note:**

When the captions and pattern are the same, one single 85X is all you need. Once the captions and pattern have been recorded, this field is not repeated for each issue.

## One to Many...

853 \$8 1 \$a v. \$b no. \$i (year) \$j (month)  
863 \$8 1.1 \$a 3 \$b 1 \$i 1999 \$j 06  
863 \$8 1.2 \$a 3 \$b 2 \$i 1999 \$j 08  
863 \$8 1.3 \$a 3 \$b 3 \$i 1999 \$j 10  
863 \$8 1.4 \$a 3 \$b 4 \$i 1999 \$j 12

Volume 3	June
Number 1	1999

Volume 3	Aug.
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Volume 3	Oct.
----------	------

Volume 3	Dec.
Number 4	1999

3-22

**Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, point to each 863 as you discuss the coding individually.

**Trainer Note:**

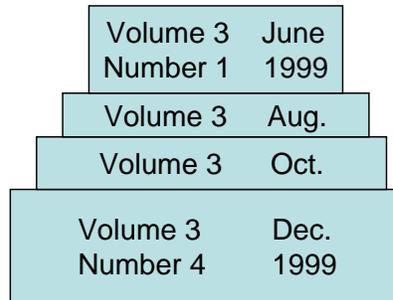
Once the captions and pattern have been recorded in the 85X, this field is not repeated for each issue.

## One to Many...

**853** \$8 1 \$a v. \$b no. \$i (year) \$j (month)  
**863** \$8 1.1 \$a 3 \$b 1 \$i 1999 \$j 06  
**863** \$8 1.2 \$a 3 \$b 2 \$i 1999 \$j 08  
**863** \$8 1.3 \$a 3 \$b 3 \$i 1999 \$j 10  
**863** \$8 1.4 \$a 3 \$b 4 \$i 1999 \$j 12

Possible display:

v.3:no.1(1999:June)  
 v.3:no.2(1999:Aug.)  
 v.3:no.3(1999:Oct.)  
 v.3:no.4(1999:Dec.)



3-23

**Trainer Note:**

When this group is displayed, the captions from the 85X field is displayed along with the information from each of the 86X fields.

Note that here the second level of chronology (month) is expressed as a number but displays in natural language to the patron. Control systems use the number to predict receipt, but both its input and its display may be in natural language if the system permits, with translation governed by the Language code in the MFHD fixed field.

# Recording captions and enumeration/chronology

3-24

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## Enumeration/Chronology Subfield Codes

(enumeration)

(chronology)

853 \$8 1 \$a - \$h ... \$i - \$m

863 \$8 1.1 \$a - \$h \$i - \$m

are correlated for display.

*However...*

3-25

### **Trainer Note:**

This slide shows overall correlation of the subfields of the 853 and 863 fields, as well as the six levels of hierarchy.

## Enumeration/Chronology Subfield Codes

- Subfields d - h and I are fairly rare.
- Below first level, enumeration and chronology data (86X) subfields can be dropped when holdings are compressed.
- But there is no need to drop the corresponding captions and pattern, particularly if you want to compress and expand your holdings display in the future.

3-26

### **Trainer Instructions (Face-to-face and Online):**

- In the 2<sup>nd</sup> bullet, emphasize or use the appropriate tool to underline “data.”
- In the last bullet, emphasize or use the appropriate tool to underline “there is no need to drop the corresponding captions and pattern.”

### **Trainer Note:**

Values below the third level, including the alternative enumeration and chronology subfields, will seldom be used.

Not every subfield needs to be present in a holdings statement. In particular, when compressing holdings, it is routine to drop internal 86X subfields.

Correlation between 85X and 86X fields is not strictly necessary if not needed for display or compression/expansion, BUT...

There is also no reason to drop the lower 85X captions and pattern when you compress and drop the corresponding 86X data. Retaining it keeps your options open for computer manipulation of your data (e.g., compression, expansion, linking). Systems must be able to retain captions with no corresponding holdings information.

## Subfield Codes (**\$a-\$m**)

### Example 1

*On issue:* June 15, 1998 volume 13 number 4 part 5

*Coded as:*

853 \$8 1 \$a v. \$b no. \$c pt. \$i (year) \$j (month) \$k (day)

863 \$8 1.1 \$a 13 \$b 4 \$c 5 \$i 1998 \$j 06 \$k 15

3-27

#### **Trainer Note:**

This an example of coding captions and chronology in the 853 and 863 fields. This same coding would apply to the 854/864 (supplementary material) fields.

In this case there are three levels of enumeration, coded in subfields a, b, c, and three levels of chronology, coded in subfields i, j and k.

This just coincidental, as the number of levels for enumeration and chronology do not have to correlate.

## Subfield Codes (**\$a-\$m**) Example 1

*On issue:* June 15, 1998 volume 13 number 4 part 5

*Coded as:*

853 \$8 1 \$a v. \$b no. \$c pt. \$i (year) \$j (month) \$k (day)

863 \$8 1.1 \$a 13 \$b 4 \$c 5 \$i 1998 \$j 06 \$k 15

Possible display (NISO): v.13:no.4:pt.5(1998:June 15)

Parentheses in 853 \$i-\$k suppress the display of chronological captions.

3-28

## Subfield Codes (**\$a-\$m**)

### Example 2

*On issue:* 1998 no. 1

*Coded as:* 853 \$8 1 \$a (year) \$b no.

863 \$8 1.1 \$a 1998 \$b 1

3-29

#### **Trainer Note:**

This is an example of a serial where the year serves as the highest level of enumeration and is coded in enumeration subfield a. In other words, it substitutes for the volume designation. Numbering is repeated within each year. Thus, both are given as enumeration.

## Subfield Codes (**\$a-\$m**) Example 2

*On issue:* 1998 no. 1

*Coded as:* 853 \$8 1 \$a (year) \$b no.

863 \$8 1.1 \$a 1998 \$b 1

*NISO display:* 1998:no.1

3-30

### **Trainer Note:**

In holdings display, “year” precedes no.1, instead of no.1(1998), since “year” serves as the highest level of enumeration.

### **Trainer Instructions (Optional: Face-to-face and Online):**

Use a flipchart (face-to-face) or insert a (prepared) white/text board/slide (online) to present the following exercise:

On issues:

OR

On issues:

no. 1 January 1998

No. 1/1998 January 1998

no. 2 April 1998

No. 2/1998 April 1998

no. 3 July 1998

No. 3/1998 July 1998

no. 4 October 1998

No. 4/1998 October 1998

no. 1 January 1999

No.1/1999 January 1999

Coded as: 853

863

[Answer: 853 \$a (year) \$b no. \$i (year) \$j (month)]

### **Trainee Instructions (Optional: Face-to-face and Online):**

Ask for volunteers to verbally supply the answers or write them on the white/text board (online).

## Subfield Codes (**\$a-\$m**)

### Example 3

*On issue:* May 1998 volume 13 number 14 (no. 2911)

*Coded as:*

853 \$8 1 \$a v. \$b no. \$g no. \$i (year) \$j (month)

863 \$8 1.1 \$a 13 \$b 14 \$g 2911 \$i 1998 \$j 05

3-31

#### **Trainer Note:**

Occasionally, a title may employ an alternate numbering scheme to identify its issues.

One set of numbering may identify the issue in a hierarchical manner. The other number may identify the number for this issue as the next continuous number for all issues published. The example shows both sets of numbering.

Two levels of enumeration coded in subfields a and b.

Two levels of chronology coded in subfields i and j.

Alternative numbering for specific piece in subfield g.

## Subfield Codes (**\$a-\$m**)

### Example 3

*On issue:* May 1998 volume 13 number 14 (no. 2911)

*Coded as:*

853 \$8 1 \$a v. \$b no. \$g no. \$i (year) \$j (month)

863 \$8 1.1 \$a 13 \$b 14 \$g 2911 \$i 1998 \$j 05

NISO display: v.13:no.14(1998:May)=no.2911

3-32

#### **Trainer Note:**

A system may have trouble either in interpreting or displaying alternate numbering schemes. This example may display as: v.13:no.14(1998:May)=no.2911

## Subfield Codes (**\$a-\$m**) Example 4

*On issue:* New series B number 12

*Coded as:* 853 \$8 1 \$a new ser.B:no.

863 \$8 1.1 \$a 12

3-33

### **Trainer Instructions (Face-to-face and Online):**

Use the appropriate tool to point to or underline the caption in 853 \$a as you explain.

### **Trainer Note:**

There is only one level of enumeration and one caption in this example.

The designation for a series is considered part of the caption.

This example illustrates the use of series designation and numbering. In the example, each issue for the title is individually numbered as the “new series B.” The numbers increment continuously. The publisher has not determined that after a certain number of issues a New series C will be created. As issues are received and checked-in, the numbers increment.

If the publisher should decide to create a New series C sometime in the future, a new 853 with a new linking number would be keyed.

## Subfield Codes (**\$a-\$m**)

### Example 4

*On issue:* New series B number 12

*Coded as:* 853 \$8 1 \$a new ser.B:no.

863 \$8 1.1 \$a 12

NISO display: new ser.B:no.12

3-34

#### **Trainer Instructions (Optional: Face-to-face and Online):**

Use a flipchart (face-to-face) or insert a (prepared) white/text board/slide (online) to present the following exercise:

On issue: Second series Volume 1 Number 1 1988

Coded as: 853

863

[Answer: 853 \$a 2nd ser.:v. \$b no. \$i (year)]

#### **Trainee Instructions (Optional: Face-to-face and Online):**

Ask for volunteers to verbally supply the answers or write them on the white/text board (online).

## Other Subfields

**t** - Copy caption (*optional in some systems*)

Example:

853 \$8 1 \$a v. \$b no. \$i (year) \$j (month) **\$t c.**  
863 \$8 1 \$a 5 \$b 15 \$i 2005 \$j 05 **\$t 2**

Possible display:

v.5:no.15(2005:May)**c.2**

3-35

### Trainer Note:

#### **t** - Copy caption

Subfield t in 85X corresponds to copy number in 86X \$t.

Your system or your institution may require that everything be identified by a copy number. In fields 853, 854 or 855, subfield t contains the *caption* for a copy number such as c. In fields 863, 864 or 865, subfield t contains the *actual number* of the copy.

## Other Subfields

- o - Type/title of unit

(until recently, used for supplementary material and index only [854/855, 864/865])

Example:

854 \$8 1 \$a (year) \$o Buyer's guide \$t c.

3-36

### Trainer Note:

#### o - Type of unit

Subfield o in 85X corresponds to 86X \$o (not shown here).

Subfield o always immediately follows the caption to which it refers.

In fields 854, and 855, subfield o indicates in free text the *type* of supplement or index that is held. In fields 864 and 865, subfield o indicates the *title* of the supplementary material or index.

If the title of the supplementary or index is different from the indication of the type, the title is recorded in subfield o of the 864 or 865.

There is no standard that prescribes the use of capitalization, punctuation, etc. for text in this subfield.

Subfield o has recently been defined for the 853 and 863 fields. It is now uniformly defined for all 85X and 86X fields. However, some systems have not yet implemented it for the 853 and 863. Check with your vendor to discover its implementation status.

## Other Subfields

Example:

854 \$8 1 \$a (year) **\$o Buyer's guide \$t c.**

864 \$8 1.1 \$a 1996 **\$t 2**

Possible displays:

1996 (Buyer's guide) c.2

SUPPLEMENTS: Buyer's guide: 1996 c.2

3-37

### **Trainer Note:**

A system may display this free text in your OPAC and/or with a fixed label.

Systems may display this as:

1996 (Buyer's guide) c.2    **OR**

SUPPLEMENTS: Buyer's guide: 1996 c.2

## Special Problems

- Dates as enumeration
- Gaps
- Changes in captions
- Further complexities: See Session 6

3-38

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## Dates as Enumeration

If a title has issues designated only with dates, the date moves into the enumeration subfield(s).

1998  
Annual Report

853 \$8 1 \$a (year)

863 \$8 1.1 \$a 1998

3-39

### Trainer Note:

#### **Dates as enumeration**

When there is no enumeration, the chronology moves into the enumeration subfields.

As in chronology, captions are suppressed from display by placing them within parentheses.

Some more unusual types of holdings with dates are covered in Session 6 on complex holdings.

## Gaps

1996	1998	2000
Annual Report	Annual Report	Annual Report

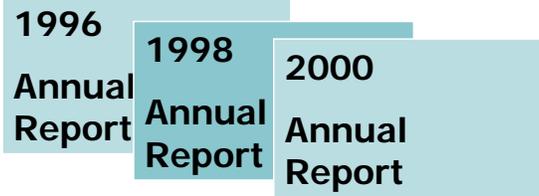
853	\$8 1	\$a (year)
863	\$8 1.1	\$a 1996
863	\$8 1.2	\$a 1998
863	\$8 1.3	\$a 2000

3-40

**Trainer Note:****Gaps**

In this example, 2 annual reports are missing in the holdings. The 1997 report was never received while the 1999 report was never published.

## Gaps



Use 863 \$w before the gap:

value g for gap/piece not held

value n for non-gap break/piece not published

853 \$8 1 \$a (year)  
 863 \$8 1.1 \$a 1996 \$w g  
 863 \$8 1.2 \$a 1998 \$w n  
 863 \$8 1.3 \$a 2000

3-41

### Trainer Note:

Gaps are noted with the use of a subfield \$w in the 863-865 field.

If the missing material was published and is simply not held, the value input is g. The subfield is placed on the line preceding the gap. You don't need to enter anything for the gap itself.

If the missing material was not published, the value input is n.

## Gaps

1996  
Annual Report

1998  
Annual Report

2000  
Annual Report

853 \$8 1 \$a (year)  
 863 \$8 1.1 \$a 1996 \$w g  
 863 \$8 1.2 \$a 1998 \$w n  
 863 \$8 1.3 \$a 2000

Display as: 1996,1998;2000

Use 863 \$w before  
the gap:

value g for gap/piece  
not held

value n for non-gap  
break/piece not  
published

Note punctuation

3-42

### Trainer Note:

The NISO displays for each of these values are:

- A gap displays as a comma,
- A non-gap break displays as a semicolon.

## Changes in Captions

Example: bd.1(1971/1972)-25(1995/1996)  
v.26(1996/1997)-

3-43

### **Trainee Instruction (Face-to-face and Online):**

Ask the trainees to look at the two holding statements and tell you what has changed with the captions. Then, based on their answer, use the appropriate tool to underline/highlight bd. and v.

### **Trainer Note:**

#### **Handling changes in captions and patterns**

This example shows that the caption has changed from bd. to v.

## Changes in Captions

Example: bd.1(1971/1972)-25(1995/1996)  
v.26(1996/1997)-

When captions or patterns change, a new 85X  
with a different linking number must be coded.

3-44

### **Trainer Note:**

#### **Handling changes in captions and patterns**

When either the *captions* (name of bibliographic unit) or the *pattern* (numbering scheme, frequency and other codes indicating issuance) change, a new 85X with a different linking number must be coded.

## Changes in Captions

Example: bd.1(1971/1972)-25(1995/1996)  
v.26(1996/1997)-

When captions or patterns change, a new 85X with a different linking number must be coded.

853 **\$8 1** \$a bd. \$b nr. \$i (year) \$j (month)

863 **\$8 1.1** \$a 1-25 \$i 1971/1972-1995/1996

853 **\$8 2** \$a v. \$b no. \$i (year) \$j (month)

863 **\$8 2.1** \$a 26- \$i 1996/1997-

3-45

### **Trainer Note:**

#### **Handling changes in captions and patterns**

When either the *captions* (name of bibliographic unit) or the *pattern* (numbering scheme, frequency and other codes indicating issuance) change:

Input a new 85X field with a higher link number, and start a new sequence of 86Xs with that link number, followed by a sequence number. Onscreen, there is an example of a changed caption from Swedish to English. The new 853 with English captions has link number 2 in subfield 8. The 863 holdings are compressed so have dropped the lower data (months).

Some systems allow restarting with sequence number 1; others require simply continuing to increment the sequence numbers regardless of the link. Either method should not be a problem, but migration of the data might be! This is a format harmonization issue.

Systems ordinarily do not require that the very next number be used; gaps can ordinarily be left between numbers so that material may be fitted in. But look for a system that allows sequence numbers to be easily reordered!

*Note on chronology caption: “(year/year)” is now discouraged because it may interfere with vendor functionality.*

## Exercise

You have a subscription to the Journal of Soapbox Oratory. You have received: v. 3, no. 1 (June 1999), v. 3, no.2 (August 1999), v. 3, no.3 (October 1999); v. 3, no. 5 (February 2000) and v. 3, no. 6 (April 2000). No issue was published for v. 3, no. 4. Using the Handbook, give the captions, enumeration, and chronology for the first 5 issues of receipt, corresponding to the 853 enumeration and chronology captions. Don't worry about indicators (that will come later).

853 \_\_ \$8 1      \$a              \$b              \$i              \$j  
 863 \_\_  
 863 \_\_  
 863 \_\_  
 863 \_\_  
 863 \_\_

3-46

### **Trainer Instructions (Options for Exercise: Face-to-face):**

1. Give trainees 10-15 minutes to do the exercises on their own. Then ask volunteers to write the answers on a flipchart.
2. Have the trainees pair up and do the exercises as a team. Then review the answers as a group.

### **Trainer Instructions (Options for Exercise: Online):**

1. Before class, place the content of this slide on a tool that allows writing online (e.g., whiteboard or text board). Discuss answers as needed.
2. Assign one 863 repeat to each trainee and have them write the answer on the slide, using the appropriate online tool.

### **Trainee Instructions (Options for Exercise: Online):**

1. Tell trainees to work on their own and that they will be asked to give answer in 5-8 minutes.
  - 1a. Ask different trainees to give answers verbally, one field per trainee, and the trainer will record the answer on the slide; OR
  - 1b. Ask a volunteer to write the answer on the slide.

## Exercise Answer

You have a subscription to the Journal of Soapbox Oratory. You have received: v. 3, no. 1 (June 1999), v. 3, no.2 (August 1999), v. 3, no.3 (October 1999); v. 3, no. 5 (February 2000) and v. 3, no. 6 (April 2000). No issue was published for v. 3, no. 4. Using the Handbook, give the captions, enumeration, and chronology for the first 5 issues of receipt, corresponding to the 853 enumeration and chronology captions. Don't worry about indicators (that will come later).

853 \_\_ \$8 1 \$a v. \$b no. \$i (year)\$j (month)

863 \_\_ \$8 1.1 \$a 3 \$b 1 \$i 1999 \$j 06

863 \_\_ \$8 1.2 \$a 3 \$b 2 \$i 1999 \$j 08

863 \_\_ \$8 1.3 \$a 3 \$b 3 \$i 1999 \$j 10 \$w n

863 \_\_ \$8 1.4 \$a 3 \$b 5 \$i 2000 \$j 02

863 \_\_ \$8 1.5 \$a 3 \$b 6 \$i 2000 \$j 04

3-47

### **Trainee Instructions (Face-to-face and Online):**

Ask trainees to signal if the answer is clear/understandable.

### **Trainer Instructions (Face-to-face and Online):**

Answer questions if there are any.

Take a break before continuing to indicators.

## Indicators for 85X

1st	Compressibility and expandability [853, 854 only] -- Can the data be compressed or expanded?
2nd	Caption evaluation [853, 854 only] -- Did you look at the piece?

3-48

### **Trainer Note:**

#### **Indicator values for 85X and 86X fields**

The 85X 1st indicator is based on the presence or absence of a publication pattern, which allows for compression or expansion of the data given in the corresponding 86X fields.

The 85X 2nd indicator shows whether actual pieces were examined and the captions are exactly as they appeared on the pieces.

There are no indicators for 855.

## Indicators for 86X

- |     |  |
|-----|--|
| 1st | Level of specificity<br>-- Is it detailed, summary, etc.?  |
| 2nd | Form of holdings<br>(compressed or uncompressed)<br>-- Is it one, or more than one,<br>physical piece (or volume)? |

3-49

### **Trainer Note:**

The 86X 1st indicator shows the levels of the data as we discussed earlier, but this time the level is in the context of the individual volume or issue.

The 86X 2nd indicator shows whether the holdings are already compressed and whether they are used for display.

The terms “uncompressed” and “itemized” are synonyms. Which term is used depends upon the document and/or personal preference.

## *Compression* vs. E-x-p-a-n-s-i-o-n (85X 1st indicator / 86X 2nd indicator )

### Compress:

To display a range of holdings in terms of the enumeration and/or chronology of only the first and last parts held

Example: v.1-v.4

3-50

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, underline/highlight “range,” “first” and “last.”

### **Trainer Note:**

#### **Compression**

Compression of holdings means that if a pattern is present, the system uses a **computer algorithm** to compress all the single issue lines (NISO level 4 or 5 holdings) of the MFHD record and collapse them into a range. A compressed holding makes a good first display, though other displays might be desirable for those seeking more detail. It is also good for reporting output. At its most advanced, compression takes account of breaks in the holdings, compressing statements around each break.

If more than one level of holdings is present, e.g., both volumes and numbers, it is necessary to input *pattern* elements so that the computer can calculate how to compress the statement. In other words, automated compression of holdings in more than one level is only possible by means of the publication pattern, acted upon by a computer algorithm.

## *Compression* vs. *E-x-p-a-n-s-i-o-n* (85X 1st indicator / 86X 2nd indicator )

Expand:

To display compressed holdings in an itemized, piece-by-piece or volume-by-volume format

Examples:

v.1 v.2 v.3 v.4  
v.1:no.1 v.1:no.2 v.1:no.3

3-51

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, underline/highlight “itemize,” “piece-by- piece” and/or “volume-by-volume.”

### **Trainer Note:**

#### **Expansion**

The concept of expansion is the exact reverse of compression, that is to take a compressed (range) holdings and create issue level or volume level statements.

Expansion also employs the publication pattern if two or more levels are present. Level 3 holdings can be expanded (but only to the volume level). Level 4 holdings can be expanded to the issue level if a publication pattern is present and all variations are correctly noted.

## 85X 1st Indicator Compressibility and Expandability [853, 854 Only]

- 0** Cannot compress or expand
- 1** Can compress but not expand
- 2** Can compress or expand
- 3** Unknown

3-52

### **Trainer Instructions (Face-to-face and Online):**

Use the appropriate tool to “point” each as you go over them.

### **Trainer Note:**

The 853 and 854 1st indicator is coded according to whether compression or expansion is possible.

Note that this indicator gives permission for a computer to compress or expand the OPAC display; it does not speak to whether the data itself is actually compressed or itemized. So, if the 85X indicator is set to **1** or **2**, and the data is already in compressed form, it would be compressed a second time for the display.

Index units cannot be compressed or expanded, so the first indicator is left blank for an 855.

See additional examples in the appendices.

# 85X 1st Indicator: 0

## Cannot Compress or Expand

Example:

853 00 \$8 1 \$a v. \$b no. \$i (year) \$j (month)

863 40 \$8 1.1 \$a 1 \$b 3-4 \$i 1994 \$j 07-10

863 41 \$8 1.2 \$a 2 \$b 1 \$i 1995 \$j 01

No pattern present

May display as:

v.1:no.3(1994:July)-v.1:no.4(1994:Oct.)

v.2:no.1(1995:Jan.)

3-53

### **Trainer Note:**

These holdings have no pattern present. Despite the detail given, they cannot be expanded or compressed.

Because the computer has no data on how many issues per volume, nor does it have a frequency (i.e., it lacks a pattern), it cannot tell whether it can compress these holdings further or expand them to full itemization. For example, it cannot tell whether or not volume 2, number 1 follows immediately after volume 1, no. 4. The missing values are some of the pattern elements that will be covered in Session 4.

First indicator 0 will often be used when manually inputting retrospective holdings without patterns.

## 85X 1st Indicator: 1

### Can Compress but Not Expand

Example:

853 10 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year)  
           \$j (month)                      No \$w, \$x, \$y

863 40 \$8 1.1 \$a 1 \$b 3-4 \$i 1994 \$j 07-10

863 41 \$8 1.2 \$a 2 \$b 1 \$i 1995 \$j 01

May display additionally as:

v.1:no.3(1994:July)-2:1(1995:Jan.)

3-54

#### **Trainer Instruction (Face-to-face and Online):**

The trainer may want to refer the trainees back to slide 8, where the pattern subfields (\$u - \$y) are initially mentioned (Mini-preview of the pattern elements). Note that we will fully define them in Session 4. For the moment, all we are focusing on is whether they are present or absent.

#### **Trainer Note:**

Now we add the data that there are four issues, numbered 1 to 4, within each volume.

These holdings may be compressed because the pattern for “no.” will tell the computer that there are four numbers to a volume and these issues are sequential. The computer can use the pattern algorithm to calculate that volume 2, number 1 should follow volume 1, number 4.

If the holding were a compressed holding and the computer were asked to expand it, however, it would need more information: the frequency of the serial, the calendar point at which the volume changeover takes place (called calendar change), and any variations to be reckoned in the numbering or chronology.

## 85X 1st Indicator: 2

### Can Compress or Expand

Example:

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year)  
                   \$j (month) \$w q \$x 01

863 40 \$8 1.1 \$a 1 \$b 3-4 \$i 1994 \$j 07-10

863 41 \$8 1.2 \$a 2 \$b 1 \$i 1995 \$j 01

May display additionally as:

Compressed: v.1:no.3(1994:July)-2:1(1995:Jan.)

Expanded:     v.1:no.3(1994:July)  
                   v.1:no.4(1994:Oct.)  
                   v.2:no.1(1995:Jan.)

3-55

#### Trainer Note:

A system could both compress and expand these holdings because, with the pattern of the *parts per volume* plus the *overall pattern elements* of frequency, calendar change, and variations (if any) in publication schedule.

There is enough information for the computer to make the necessary calculations. Also use this value if there is only one level (the first or highest level ) of caption data; i.e., only combinations of 85X \$a, \$i, \$g, and \$m and there are no missing issues in the lower levels of the hierarchy. (The first two subfields are the used for the first level captions of the main numbering; the latter two subfields are used for the first level captions of the alternative numbering, if any.)

## 85X 1st Indicator: **3** Unknown Compressibility

- It is unknown whether enumeration and chronology data in the linked 863 or 864 field can be compressed or expanded.
- This value is often the default value for the automated creation or conversion of holdings data.

3-56

### Trainer Note:

Conversion or creation programs used by systems will often ask that a default value be assigned to a particular field. This is asked because those systems use programs that validate indicators against a table of authorized values. When converting data from one system to another or creating holdings automatically from other system records, systems that use a validation table require a valid code.

Clean-up of these automated converted or created records may require manual resetting of indicator values.

### Trainer Instruction (Face-to-face and Online):

Have the trainees indicate that they understand the material presented thus far.

## 85X 2nd Indicator: Caption Evaluation [853/854 only]

Indicates:

- Whether the captions have been verified from the pieces
- How complete and accurate the captions are for the various levels of enumeration and chronology

3-57

Trainer Note:

The 85X second indicator communicates whether or not issues have been physically examined to determine captions and the levels of enumeration. This indicator is typically used for reporting or display purposes.

## 85X 2nd Indicator: Caption Evaluation

- 0** Captions verified;  
all levels present
- 1** Captions verified;  
all levels may not be present
- 2** Captions unverified;  
all levels present
- 3** Captions unverified;  
all levels may not be present

3-58

### Trainer Note:

853-854 second indicator values

If you are substituting English captions for foreign languages, use value 2 or 3.

Because the captions in an index holding refer to the volumes indexed, the second indicator is not used in an 855 field. In fact, both indicators are blank.

## 86X 1st Indicator Level of Specificity

<b>Blank</b>	No information provided
<b>3</b>	Summary holdings (first level only)
<b>4</b>	Detailed holdings (all levels, gaps)
<b>5</b>	Detailed with Piece Designation (usually for barcoded parts)

3-59

### Trainer Note:

#### **Indicators - First indicator**

The Z39.71 level of specificity for the data *in this repeat* (the enumeration and chronology in this range).

- Blank May be set during system conversion.
- Level 3 **summary holdings** - *only at the first (volume) level* [not valid for 865]  
If you know you have some part of a volume but you do not know which part
- Level 4 **detailed holdings** - *accurate to all levels of enumeration & chronology*  
You guarantee that all holdings are described accurately, including any gaps in holdings.
- Level 5 **detailed with piece designation** - *usually for barcoded parts*  
Field represents an itemized unit, and links to item information with a designation (barcode or accession). In updated systems, some item information is carried in 876, 877, or 878 field. (Items are discussed in the appendices).

## 86X 2nd Indicator Form of Holdings

- 0** Compressed; display is generated
- 1** Uncompressed; display is generated
- 2** Compressed; use textual display
- 3** Uncompressed; use textual display
- 4** Item(s) not published

3-60

### **Trainer Note:**

2 purposes for the indicator:

- 1) Tells whether the holdings statement represents:
  - a single physical unit, such as one issue or one volume
  - a range of physical units, such as a group of issues or volumes
- 2) Instructs the system whether or not this field should display in the online system.

Therefore **four** indicator values are needed (**0,1,2,3**) for the four possible combinations.

Whether you use **0** or **2**, **1** or **3** depends upon the presence or absence of an 866 field elsewhere in the record (866 is discussed in Session 5). Use **2** or **3** if an 866 is present; use **0** or **1** if 866 is not present. See additional examples in the appendices.

Coded holdings can be replaced with textual holdings fields for display, for reasons of readability, convenience, or other factors. This process will be more fully described in Session 5.

The additional value **4** is defined for items not published, but its use is unclear. It would be used in lieu of value 'n' in subfield \$w.

**Special case:** Holdings for indexes may not be compressed, nor may they display as "not published." Therefore the only values used with 865 are **1** and **3** (uncompressed).

## 86X 2nd Indicator 1 Example: Uncompressed Holding (Issue Level)

New holding at time of check-in

La Cultura  
Romana

Tomo IV  
Numero 1  
1 gennaio  
1997

853 \_ \_ \$8 1 \$a \$b \$i \$j \$k

863 \_ \_ \$8 1.1 \$a \$b \$i \$j \$k

3-61

### Trainer Instructions (Online):

Discuss 2nd indicator value 1 before 0 because that is the logical progression.

Before class, you may want to have this slide on a tool that would allow writing online so that you and trainees can fill in the holdings fields interactively.

### Trainer Note:

Fully itemized (uncompressed) holding (Check-in)

Value 1 is used in the 2nd indicator when there is no range expressed within the holdings statement.

Note that this example also includes interesting things such as roman numerals and Italian captions, which will be discussed a little later.

## 86X 2nd Indicator 1 Example: Uncompressed Holding (Issue Level)

New holding at time of check-in

La Cultura  
Romana

Tomo IV  
Numero 1  
1 gennaio  
1997

853 00 \$8 1 \$a t. \$b n. \$i (year) \$j (month)  
\$k (day)

863 41 \$8 1.1 \$a 4 \$b 1 \$i 1997 \$j 01 \$k 01

3-62

### Trainer Instructions (Face-to-face and Online):

Using the appropriate tool, underline or circle 863 second indicator.

### Trainer Note:

Fully itemized (uncompressed) holding (Check-in)

Value 1 is used in the 2nd indicator when there is no range expressed within the holdings statement (i.e. the 863 represents a single item).

## 86X 2nd Indicator 1 Example: Uncompressed Holding (Issue Level)

New holding at time of check-in

NISO display: t.4:n.1(1997:genn.1)

La Cultura  
Romana

Tomo IV  
Numero 1  
1 gennaio  
1997

853 00 \$8 1 \$a t. \$b n. \$i (year) \$j (month)  
\$k (day)

863 41 \$8 1.1 \$a 4 \$b 1 \$i 1997 \$j 01 \$k 01

3-63

### Trainer Instructions (Optional: Face-to-face and Online):

After showing the NISO display, you may want to show/share a local ILS check-in system where individual issue checked in is coded in MFHD, e.g., MARC display of a check-in card in Innovative Millennium.

### Trainer Note:

This example also includes interesting things such as Roman numerals and Italian captions. How to set the language code for display will be discussed a little later.

Also note that the leading zero in \$k is system dependent: some systems demand the leading zero be present, other systems do not need it.

## 86X 2nd Indicator 0 Example: Partial Compression (Volume-Level Holdings)

La Cultura  
Romana  
bound,  
and on the  
shelf...

<b>LA CULTURA ROMANA</b>  <b>4</b> <b>1-12</b> <b>1997</b> genn.- giugno  <b>937.35</b> <b>.C8</b>	<b>LA CULTURA ROMANA</b>  <b>4</b> <b>13-24</b> <b>1997</b> luglio-dic.  <b>937.35</b> <b>.C8</b>	<b>LA CULTURA ROMANA</b>  <b>5</b> <b>1-12</b> <b>1998</b> genn.- giugno  <b>937.35</b> <b>.C8</b>
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3-64

### **Trainer Note:**

#### **Partial Compression to Volume Level**

When a title is bound, the issue-level holdings may be partially or fully compressed.

Using partial compression, the library may choose to store holdings at the volume level in order to display circulation statuses, special piece level notes, or the like.

The physical volume may or may not be equivalent to the bibliographic unit. Here the volume has had to be split for reasons of size.

## 86X 2nd Indicator 0 Example: Partial Compression (Volume-Level Holdings)

853 20 \$8 1 \$a t. \$b n. \$u 24 \$v r \$i (year) \$j (month)  
\$k (day) \$w s \$x 0101

3-65

### **Trainer Note:**

- Let us first record the captions and pattern information in 853.
- First indicator is 2 because all pattern elements are present.
- Code s in \$w indicates it's a semimonthly publication.
- 0101 in \$x indicates the first level of enumeration changes on Jan. 1st.
- \$w and \$x will be discussed in the next session.

**86X 2nd Indicator 0 Example:  
Partial Compression (Volume-Level Holdings)**

853 20 \$8 1 \$a t. \$b n. \$u 24 \$v r \$i (year) \$j (month)  
\$k (day) \$w s \$x 0101

863 50 \$8 1.1 \$a 4 \$b 1-12 \$i 1997 \$j 01-06  
\$p10043235678

863 50 \$8 1.2 \$a 4 \$b 13-24 \$i 1997 \$j 07-12  
\$p11857763493

863 50 \$8 1.3 \$a 5 \$b 1-12 \$i 1998 \$j 01-06  
\$p13278765835

3-66

**Trainer Instruction (Face-to-face and Online):**

Use the appropriate tool to underline/Circle the indicators of 863s as you explain.  
Underline/Circle appropriate subfields as needed.

**Trainer Note:****Itemized holding at Volume Level (OPAC, Report, Circulation System).**

The 863s show volumes coded as bound (at the physical piece level). This is partial compression; it is also itemization! The “day” level is removed from the actual data in subfield \$k, and \$j becomes a range.

The definition of second indicators 0 and 1 has been unclear. We are now recommending that any holdings that contains a range, even an internal one, be indicated by second indicator 0. This workshop previously recommended using 1 when the range was simply an internal range but the piece was intended to be itemized. The change is made because theoretically the computer could uncompress this holding further to the individual issue level.

This is a degree of compression that would match the item record, and could be used in a system that could automatically compress such holdings (with a pattern present).

First indicator 5 shows that the fields contain or are linked to a piece designation (a barcode or other item information, subfield \$p). Subfield \$p in the newest systems may be moved to specific item fields 876-878.

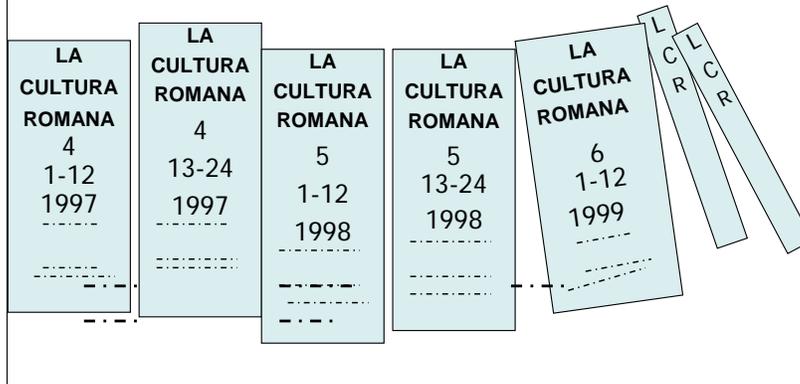
Though barcodes are illustrated here, holdings may be itemized without piece designations.

Second level of the holding (“no.”) retained and compressed (expressed as a range) because the twenty-four numbers have to be split between two physical volumes.

## 86X 2nd Indicator 0 Example: Full Compression (“Range” Holdings)

La Cultura Romana bound, and on the shelf...

(captions tomo and numero not on spines)



3-67

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, underline “Full” and “range.”

### **Trainer Note:**

When a title is bound, the issue-level holdings may be fully or partially compressed.

When a library has a range of holdings, such as this example, the holdings statement may be compressed (for readability) without listing every unit.

## 86X 2nd Indicator 0 Example: Full Compression (“Range” Holdings)

853 20 \$8 1 \$a t. \$b n. \$u12 \$v r \$i (year) \$j (month)  
\$k (day) \$w m \$x 0101

863 **40** \$8 1.1 \$a 4- \$i 1997-

3-68

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, underline or circle 863 2nd indicator, and then the hyphens to mark open holdings.

### **Trainee Instructions (Online):**

When done explaining, ask trainees to “text” in what the possible display may look like before showing the answer on the next slide.

### **Trainer Note:**

#### **Full Compression: Summary Holding**

Here is an example with data fully compressed from the issue or volume level to the level of a range of volumes. The second indicator in 863 is 0.

For the first time with Z39.71, it is permissible to code open holdings at Level 4. This coding is a guarantee (on your part) that all gaps will be entered specifically down to the issue level.

## 86X 2nd Indicator 0 Example: Full Compression (“Range” Holdings)

853 20 \$8 1 \$a t. \$b n. \$u12 \$v r \$i (year) \$j (month)  
\$k (day) \$w m \$x 0101

863 **40** \$8 1.1 \$a 4- \$i 1997-

Possible display:  
t.4(1997)-

3-69

**Trainer Note:**

**Remember:** It is not necessary to delete captions and patterns when you compress. A system should display only those captions accompanied by data. The captions and patterns are useful in expanding your data to the issue level.

Another option: 863 40 \$8 1.1 \$a 4- \$b 1- \$i 1997- \$j 01- to generate display of t.4:n.1(1997:genn.)- (Italian title/caption)

**Trainer Instruction (Face-to-face and Online):**

Have the trainees indicate that they understand the material presented thus far.

## Commonly-Used Indicator Values for Current Receipts

853	1st	<b>2</b>	Can compress or expand
	2nd	<b>0</b>	Captions verified; all levels present
863	1st	<b>4 or 5</b>	Detailed holdings
	2nd	<b>1</b>	Itemized holdings

3-70

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool:

- Underline “current receipts.”
- Use a “pointer” as you go over each.

### **Trainer Note:**

These examples show the indicator values most likely to use with current receipts.

## Commonly-Used Indicator Values for Retrospective Holdings

853	1st	<b>3</b>	Unknown compression and expansion
	2nd	<b>3</b>	Captions unverified; all levels may not be present
863	1st	<b>3</b>	Summary holdings with some missing issues, unspecified
	2nd	<b>0</b>	Range of volumes

3-71

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool:

- Underline “retrospective holdings.”
- Use a “pointer” as you go over each.

### **Trainer Note:**

These examples show the indicator values most likely to use with retrospective holdings.

## Ranges for Detailed Holdings

Some systems allow you to state a range of detailed holdings in the 86X fields. These statements are characterized by:

- Multiple hyphens in the 86X coding
- A single hyphen in the display

3-72

### **Trainer Note:**

One of the most helpful features of a few systems now in existence is the ability to “parse” a holdings statement around multiple hyphens. The end result in displays is that all the elements before a single hyphen are related to the beginning of the range, and all following the hyphen relate to the end of the range.

Without this functionality, incomplete volumes have to be “broken out” and stated separately, e.g., v.1(1991)-v.7(1997) v.8:no.1(1998:Jan.5)-v.8:no.10(1998:Apr. 18). It would be very desirable for all systems to learn how to enable us to create this kind of statement in a holdings record.

Verify with your system, as well as other systems that you may upload your holdings to such as WorldCat or other consortial database, that the system can handle multiple hyphens.

## Ranges for Detailed Holdings

Example of a “parsed” holdings statement:

853 00 \$8 1 \$a v. \$b no. \$i (year) \$j (month)  
\$k (day)

863 40 \$8 1.1 \$a 1-8 \$b 1-10  
\$i 1991-1998 \$j 01-04 \$k 06-18

May display as:

v.1:no.1(1991:Jan.6)-v.8:no.10(1998:Apr.18)

3-73

### **Trainer Instruction (Face-to-face and Online):**

Using the appropriate tool, circle the multiple hyphens in the 863 field, then circle the single hyphen in the display example. You may also want to draw lines between the hyphens to emphasize the point that multiple hyphens in the coding “collapse” into a single hyphen in the display.

## Summary

- Use 863-865 to code holdings for issues and volumes, as well as ranges of issues and volumes.
- Pair 863-865 with 853-855 captions for display.
- Codes distinguish base volumes (853/863), supplements (854/864), and indexes (855/865).
- One 85X field can be paired with many 86X fields.

3-74

### **Trainer Instructions (Face-to-face and Online):**

Use a laser pointer (face-to-face) or “pointer” (online) and/or underline as you go over each.

## Summary

- A link number of 85X is coded with a sequence number to display the proper captions and order the holdings sequentially.
- This number increments when captions or patterns change.

3-75

### **Trainer Instructions (Face-to-face and Online):**

Use a laser pointer (face-to-face) or “pointer” (online) and/or underline as you go over each.

## Summary

Data fields comprise:

- Six levels of enumeration
- Four levels of chronology, plus
- Alternative enumeration/chronology.

3-76

**Trainer Instructions (Face-to-face and Online):**

Use a laser pointer (face-to-face) or “pointer” (online) and/or underline as you go over each.

## Summary

Holdings can be coded at the:

- Issue level
- Physical volume level
- “Range” or summary level

All levels have different uses and functions.

3-77

**Trainer Instructions (Face-to-face and Online):**

Use a laser pointer (face-to-face) or “pointer” (online) and/or underline as you go over each.

## Summary

Indicators show the:

- Ability to compress
- Authoritativeness of captions
- Level of specificity
- Status of compression.

3-78

**Trainer Instructions (Face-to-face and Online):**

Use a laser pointer (face-to-face) or “pointer” (online) and/or underline as you go over each.

## Exercise

Here is the answer from our last exercise. Supply the appropriate indicator values (consider these issues as unbound). Then, using the space beneath the holdings, write in what the compressed data would look like.

853	\$8 1 \$a v. \$b no. \$i (year)\$j (month)
863	\$8 1.1 \$a 3 \$b 1 \$i 1999 \$j 06
863	\$8 1.2 \$a 3 \$b 2 \$i 1999 \$j 08
863	\$8 1.3 \$a 3 \$b 3 \$i 1999 \$j 10 \$w n
863	\$8 1.4 \$a 3 \$b 5 \$i 2000 \$j 02
863	\$8 1.5 \$a 3 \$b 6 \$i 2000 \$j 04

3-79

### **Trainer Instructions (Options: Face-to-face and Online):**

1. (Face-to-face and online): As a take-home exercise, set a deadline and allow time for yourself to review the answers before class so that you can address common mistakes and/or reinforce certain concepts if needed in the next class.
2. As an in-class exercise, instruct trainees to use flipchart (face-to-face) or white/text board (online) to record answers and save them to share with the class later.
3. (Online): set up “breakout rooms”, assign leader, move into each breakout room to monitor, give a 2-minute heads-up before bringing all back to the class.
4. (Face-to-face): have the trainees break up into teams and have them work on the exercises. Then bring them back to the class and review the exercises as a group.

### **Trainee Instructions (Options: Face-to-face and Online):**

1. (Online) As a take-home exercise, ask trainees to email answers to you by a certain time on a certain day in order to receive class credit.
2. As an in-class exercise, ask trainees to use the flipchart (face-to-face) or white/text board (Online) to record answers and post it to the group.

## Exercise Answers

853 00 \$8 1 \$a v. \$b no. \$i (year)\$j (month)

863 40 \$8 1.1 \$a 3 \$b 1-3 \$i 1999 \$j 06-10

\$w n

863 40 \$8 1.2 \$a 3 \$b 5-6 \$i 2000 \$j 02-04

3-80

**Trainer Note:**

First indicator in 853 is 0 because there is no pattern data.

**Exercise (Take Home)**

v.1 1979 no.1-4 Jan, Apr, June, Sept  
 v.2 1980 no.1-4 Jan, Apr, June, Sept  
 v.3 1981 no.1  
 v.4 1982  
 v.5 1983

v.6 1984 + Suppl. 1984 [how would you indicate where suppl. is?]  
 v.7 1985  
 1986 (no.1-4) Spr, Sum, Fall, Winter  
 Index v.1-5 1979-1983

Fill in holdings as far as you can. Summarize where possible, assuming regular numbering. Try with and without the "parsing around hyphens" feature (will need one more field for the latter.)

853 00 \$8 1 \$a v. \$b no. \$i (year) \$j (month)  
 853 00 \$8 2 \$a \$b \$i \$j  
 854 00 \$8 1 \$a ?  
 855 \$8 1 \$a ?  
 863 \_\_ \$8 \_\_\_\_ \$a ?  
 863 \_\_ \$8 \_\_\_\_ \$a ?  
 864 \_\_ \$8 \_\_\_\_ \$a ?  
 865 \_\_ \$8 \_\_\_\_ \$a ?

3-81

**Trainer Note:**

First indicator in 853 is 0 because there is no pattern data.



## Display of Title from Take-Home Exercise

1. Parsed:  
v.1:no.1 (1979:Jan.)-3:1(1981:Jan.),  
v.4(1982)-7(1985) 1986  
Suppl. 1984 <in v.6>  
Index v.1/5(1979/1983)
2. Unparsed:  
v.1(1979)-v.2(1980)  
v.3:no.1(1981:Jan.),  
v.4(1982)-7(1985) 1986  
Suppl. 1984 <in v.6>  
Index v.1/5(1979/1983)

3-83

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## Holdings Session 4: Publication Patterns (853, 854, 855 Fields, Subfields \$u - \$y)

- What are publication patterns?
- Where do you record publication patterns?
- How do systems predict expected issues?
- What happens when a publication changes frequency or publication pattern?

1

### **Holdings Session 4 -- Recording Patterns Contents**

Overview

A. Bibliographic units per next higher level: subfield \$u

B. Numbering continuity: subfield \$v

C. Frequency: subfield \$w

D. Calendar change: subfield \$x

E. Regularity pattern: subfield \$y

F. Other subfields: subfields \$t, \$o

G. Changes to publication patterns

Summary

Exercises

### **Trainer Instructions (Optional Face-to-face and Online)**

If you chose to do the exercises in Session 3 as a take-home, review the exercises with the trainees before beginning Session 4. The answers are at the end of Session 3.

### **Trainer Instructions (Face-to-face and Online):**

#### **Ask trainees:**

How many are currently using predictive check-in systems?

When issues change publishing patterns or numbering, what library operations are affected?

How do your users ask for a particular issue of a title?

#### **Trainer Note:**

Concept for the session

Patterns are recorded in MFHD using a logical structure of subfield codes.

The values entered in these fields are used by systems to correctly predict expected issues and for the proper display of captions and dates.

## Publication Patterns

- New ILS systems are making much greater use of predictive check-in
  - System anticipates the next issue(s) for rapid check-in
- Prediction is based on the pattern data from field **85X** subfields **u - y**

2

### **Trainer Note:**

Many new pattern subfields have been added to the MARC Format for Holdings, including subfields \$p, several values in \$y, and \$z.

Existing systems are in the process of implementing them.

## Publication Patterns

- Many systems do not fully accommodate all pattern provisions of the MFHD
- Yet, on the other hand, the Format also needs to recognize more patterns

3

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## Publication Patterns

Patterns are not required in 853/854 when:

- There is no need to compress or expand the holdings
- Only summary level holdings are present in the 863/864
- There is no need to do serials control functions, such as checkin, claiming, or binding

4

### **Trainer Note:**

This means that a computer should be able to compress v.1, v.2, v.3 into v.1-3, and then re-expand them, without the aid of a pattern!

After the publication pattern is used to predict the arrival of an issue, the values remain in the record. When the pattern is eventually closed, the pattern values may be used to govern the process of compression or expansion of the enumeration and chronology data. If there is no need to compress or expand holdings, it may be unnecessary to add pattern elements when holdings are being input retrospectively.

853 and 854 first indicator values are governed by the presence (or absence) of pattern elements, as explained in Session 3.

If holdings consist only of volumes without any lower levels, a pattern should not be necessary to compress them to a range and re-expand them to the volume level.

## Publication Patterns

Patterns are required in 853/854 when the library wants:

- To compress or expand the detailed holdings
- To do serials control functions such as predictive checkin, claiming, or predictive binding

5

### **Trainer Note:**

This means that a computer needs the pattern be able to compress v.1:no.1 through v.3:no.12 into v.1-3, and then re-expand them

When the pattern is eventually closed, the pattern values may be used to govern the process of compression or expansion of the enumeration and chronology data.

If lower levels of hierarchy are implied (at Level 4), they would need a pattern, and their captions would need to be present, to be displayed from a compressed statement.

## Publishing Pattern Elements

- **Number of units** for each part below first level, per next higher level
- **Numbering continuity**: whether the numbering restarts or is continuous
- **Frequency** (monthly, annual, etc.)

6

### **Trainer Note:**

The pattern concepts are highlighted in blue, and they will match the actual subfield codes presented on subsequent slides.

Pattern data elements. Constructing pattern data codes for the pattern of receipt of a title enables it to be predicted in a serials control system. The elements of the pattern are given on the next 2 slides. Some of them have extensive possibilities for coding. The slides to follow will elaborate on these concepts.

## Publishing Pattern Elements

- The **calendar change** or point in the calendar year when the highest unit increments
- **Variations** in intervals of publication
  - All values are used for predicting a next expected issue **IF** the publishing pattern is regular in nature.

7

### **Trainer Note:**

The pattern information in the MARC format for holdings is used in systems for predicting a next expected issue **IF** the publishing pattern is regular in nature. Remember, if you don't know when the next issue of the title is expected, a computer won't either!

## Finding a Pattern: Case 1

8

### **Trainee Instruction (Face-to-face and Online):**

Ask the trainees to tell you what they can about this journal, using the concepts and vocabulary presented in the previous two slides: designation, enumeration, chronology, pattern, frequency, regularity, captions, restarts, calendar change, pattern change. Indicate that there is an glossary in the appendices.

**Trainer Instruction (Face-to-face and Online):** For this segment, we are imagining putting holdings online for the first time, and doing some preliminary work identifying holdings information.

Trainees should be able to tell you that:

- it has one volume per year with six issues per volume and that the internal numbering restarts with each new volume
- it seems to be a regular bimonthly
- the new publication year starts in June
- that the next issue will probably be volume 4, no. 1 (June 2000)
- that, on the other hand, occasional variations could occur, such as a combined issue. Variations have to be watched to see if they recur regularly. If they do, the pattern is said to have changed.
- Since the first issue shown is volume 3, no. 1, there are probably previous issues--but we don't know whether the title was the same at that point. In holdings, you might want to leave room for them in case they are part of this title, and arrive later.

What's different here?

**Finding a Pattern:  
Case 2**

9

**Trainee Instruction (Face-to-face and Online):**

Ask the trainees to tell you what they can about this journal, using the concepts and vocabulary presented in the previous three slides: designation, enumeration, chronology, pattern, frequency, regularity, captions, restarts, calendar change, pattern change. Indicate that there is an glossary in the appendices.

**Trainer Instruction (Face-to-face and Online):**

Trainees should point out:

- there are four issues per year--a quarterly frequency
- there is no enumeration designation at the “volume” level
- the internal issue numbering, “number,” restarts here also, but this time when the year is completed
- the chronological divisions are “year” and “season”.
- it also takes four issues before the internal numbering restarts with number 1.

Now we will look at the pattern subfields individually.

## Publication Pattern Subfield Codes

### **\$u - \$y**

- \$u** Bibliographic units per next higher level
- \$v** Numbering continuity
- \$w** Frequency
- \$x** Calendar change
- \$y** Regularity pattern

10

### **Trainer Note:**

Here are the subfield codes associated with the pattern concepts we have been discussing.

The placement of \$u and \$v is immediately after the caption to which they refer. They also repeat.

The placement of \$w, \$x, and \$y is after the last chronology caption. They do not repeat.

## Bibliographic Units Per Next Higher Level Subfield \$u

- Specifies the total number of parts that comprise the next higher level of enumeration
- Not used with subfield \$a or \$g (highest level)

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### **Trainer Note:**

**Number of units per higher-level unit.** This element describes how many units will be published before the number of the level above increases by 1. The value is used as a trigger by systems. For example, if a title consists of “volumes” and “numbers”, and each volume consists of 12 numbers, the number of units for the numbers is 12. After 12 numbers have been received, the system automatically increments the volume number. The value in subfield u may help a system “know” when to increment the number for the next higher level of the hierarchy.



## Subfield \$u Example

On issue:

May 1998 volume 12 number 4  
[Monthly]

Coded as:

853 00 \$8 1 \$a v. \$b no. \$u 12 \$i (year)  
\$j (month)

13

### **Trainer Instruction (Face-to-face and Online):**

Explain to the trainees that for clarity, we show patterns only **up to** the part being discussed. To avoid confusion, indicators are assigned as if the pattern were as shown on screen, not as it hypothetically could be completed.

1st example:

A system counts the pieces, then automatically increases the volume number after receiving each 12th issue.

## Subfield \$u Example

On issue:

volume 21 number 4 part 5  
[4 numbers in a volume, but a varying  
number of parts in each number]

Coded as:

853 00 \$8 1 \$a v. \$b no. \$u 4  
\$c pt. \$u var\*

\*No prediction can be made on the basis of values var and und

14

### **Trainer Note:**

2nd example:

A system would not know when to increment the value in the 863 subfield b, corresponding to the caption “no.”, because the number of **parts** that make up each number, coded in 853 subfield c, varies. The incrementing of the value for each number would require manual intervention. However, after 4 numbers had been received, the system could automatically increment the **volume** number, because 4 numbers comprise a volume.

## Numbering Continuity Subfield \$v

One-character code indicating whether the numbering of the described level continuously increments or restarts

Values:

- c** Numbering increments continuously
- r** Numbering of unit restarts at the completion of the unit next above it

15

### **Trainer Note:**

**Numbering restarts or is continuous.** This element describes whether the numbering of internal parts goes back to 1 or continues to increment when the higher-level numbering increments; e.g., is it v.2:no.1 or v.2:no.13?

The **highest** level of the holdings hierarchy is, by its nature, *continuous*. But each **lower** level might be either *continuous* or *restarting*, depending on its behavior when the level above it increases. A system uses this field to predict the next expected issue number.

## Subfield \$v Example

On issues:

Volume 1 part 11

Volume 1 part 12

Volume 2 part 13

Volume 2 part 14

Volume 2 part 15

Coded as:

853 10 \$8 1 \$a v. \$b pt. \$u 12 \$v c

16

### **Trainer Note:**

1st example:

The highest level of enumeration automatically is considered to increment continuously.

In the example, the number of units present for each volume consist of 12. After every 12th issue is received the volume number increments but the numbering for each part increments continuously.

## Subfield \$v Example

On issues:

volume 21 number 3 part 1  
volume 21 number 3 part 2  
volume 21 number 4 part 1  
volume 21 number 4 part 2  
volume 22 number 1 part 1

Coded as:

853 10 \$8 1 \$a v. \$b no. \$u 4 \$v r  
\$c pt. \$u 2 \$v r

17

### **Trainer Note:**

2nd example:

The bibliographic units consist of 4 numbers per volume and 2 parts per number. The issue numbers restart with each volume and the part numbers restart with each issue.

## Frequency Subfield \$w

One-character code *or* a number  
indicating publication frequency

Codes are used for regular frequencies.

For example:

**a** - Annual    **b** - Bimonthly    **c** - Semiweekly    **d** - Daily  
**m** - Monthly    **q** - Quarterly    **x** - Completely irregular

18

### **Trainer Note:**

**Frequency.** This element describes how often a title is issued. This value may be plugged in automatically from the MARC bibliographic record frequency element or may have to be input manually. This information is used in systems in predicting expected issues. For example, if a title is coded as a monthly, after the March issue is received, the next expected issue would be the April issue.

The code is **not** related to a specific caption but to the “fundamental periodicity” of the publication itself--that is, to the number of issues per year. If there is a fundamental periodicity but some issues vary from it, use the code in \$x for the fundamental periodicity and use subfield \$y to code the variations.

Subfield \$w is input after the last chronology caption. The complete set of codes is contained in the appendices.

## Frequency Subfield \$w

A number is used to specify the issues per year when issues come regularly but there is no code established for their interval

For example: 5, 7, 13

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## Subfield \$w Example

On issue:

June 1999 volume 8 no.10  
[Monthly]

Coded as:

853 10 \$8 1 \$a v. \$b no. \$u 12 \$v r  
\$i (year) \$j (month) \$w m

20

**Trainer Note:** Again, please assume the whole pattern is present though only partially shown, for clarity.

1st example:

This publication has a regular publishing frequency of monthly; therefore subfield w contains the value *m*.

## Subfield \$w Example

On issue:

volume 21 number 3 May 1996  
[5 issues per year]

Coded as:

853 10 \$8 1 \$a v. \$b no. \$u 5 \$v r  
\$i (year) \$j (month) \$w 5

21

**Trainer Note:** Again, please assume the whole pattern is present though only partially shown, for clarity.

2nd example:

Each volume of the title consists of five numbers. There is no codable frequency for this issuance pattern; therefore a number value, 5, is entered in subfield w.

## Calendar Change Subfield \$x

- A two-character code identifies the month or season of the calendar change.
- A four-character code (*mmd*) identifies the month and the day of the calendar change.

22

### **Trainer Note:**

**Calendar change.** The calendar point when the highest level increments, which may correspond to a lower level value. For example, a quarterly may identify itself by volume and season. If the calendar change value is 23 (“fall”) the volume changes when the fall issue has been received. From two to four character positions may be used in this element; two for a month or season, four for an exact month and day. There may also be a string of values, separated by commas, when multiple volumes occur within a year.

A system uses this date information to predict the date associated with the changeover of the volume. This field could override subfield \$u (counting the number of parts which go to make up the volume) when that number varies from the usual.

## Calendar Change Subfield \$x

A month or day code of less than two digits is right justified, and the unused position contains a zero.

### Codes:

Month: 01 - 12                      Day: 01 - 31

Season: 21 (spring)      22 (summer)  
          23 (autumn)      24 (winter)

23

### **Trainer Note:**

**Calendar change.** The calendar point when the highest level increments, which may correspond to a lower level value. For example, a quarterly may identify itself by volume and season. If the calendar change value is 23 (“fall/autumn”) the volume changes when the fall or autumn issue has been received. From two to four character positions may be used in this element; two for a month or season, four for an exact month and day. There may also be a string of values, separated by commas, when multiple volumes occur within a year.

A system uses this date information to predict the date associated with the changeover of the volume. This field could override subfield \$u (counting the number of parts which go to make up the volume) when that number varies from the usual.

## Subfield \$x Example

On issue:

January 1999 Vol. 6 No. 1  
[Monthly]

Coded as:

853 20 \$8 1 \$a v. \$b no. \$u 12 \$v r  
\$i (year) \$j (month) \$w m \$x 01

24

### **Trainer Note:**

1st example:

Each new volume begins in January, so subfield **x** was coded with **01**. A system uses this field to automatically increment the volume numbering. In this example, the system would automatically increment the volume number for the January issue.

## Subfield \$x Example

Monthly, 2 v. per year. On issue:

volume 21 number 1 July 1996

...

volume 21 number 5 November 1996

volume 21 number 6 December 1996

volume 22 number 1 January 1997

Coded as:

853 20 \$8 1 \$a v. \$b no. \$u 6 \$v r  
 \$i (year) \$j (month) \$w m \$x 01,07

25

### **Trainer Note:**

2nd example:

This is a monthly publication which has 2 volumes per year. Each volume consists of 6 numbers. New volumes start in January and July; therefore subfield **x** is coded with **01** for January and **07** for July. When a January or July issue is checked-in, the volume number increases.

## Regularity Pattern Subfield \$y

- Indicates *regular exceptions* to a specific regular pattern (i.e., normalized irregulars).
- Describes the exceptions to the publishing pattern coded in subfield \$w (Frequency).
- Contains coding that specifies which issues are published or omitted.
- Codes are entered in this order:  
(publication code) (chronology code definition)  
(chronology code)

26

### **Trainer Note:**

Subfield **y** is used for those exceptions to a regular publishing pattern that occur on a predictable basis. These titles are what catalogers call “normalized irregulars.” For example, there may be a monthly that never publishes a July issue, or a quarterly that combines fall and winter issues. Subfield **y** uses a combination of three codes in this order:

**publication code** - telling whether the variation will be described in terms of publication or omission of publication

**chronology code definition** - specifying whether the term will be a month, month and day, season, etc.

**chronology code** - the exact calendar period when units are omitted or published.

A system uses this coding for predicting the issues that vary from the normal receipt pattern. True irregulars, those titles that you don't know when to expect the next issue or the title changes volume numbering at which are always a problem -- for us-- and for a computer.

Subfield **y** is used only for exceptions to a regular publishing pattern. For example if a title publishes as a monthly and issues are published every month subfield **y** would not be created.

## Regularity Pattern Subfield \$y

First code indicates whether the subsequent codes refer to issues that are omitted, published, or combined

### Publication code:

- o Omitted
- p Published
- c Combined

27

### **Trainer Note:**

The first two codes indicate whether and when something is or is not published. In most cases it is easier to identify when issues are published rather than when they are not.

Each system may have constructed the algorithm used for predicting expected issues differently and may have a preference for coding regularity in subfield y. It may be prudent to ask your system vendor how coding should be entered.

There have been a lot of additions to subfield y lately, but implementation is lagging. The MFHD Handbook in the appendices has the pertinent codes.



## Regularity Pattern Subfield \$y

The third code or set of codes (chronology code(s)) indicates when the issues are/are not published

Day: mo,tu,we,th,fr,sa,su      Days of the month: 01 - 31

Weeks of the year: 01 - 53      Months of the year: 01 - 12

Seasons:    21            22            23            24  
                  (spring)   (summer)   (autumn)   (winter)

29

### **Trainer Note:**

The third set of coding in subfield y indicates the specific calendar periods when an issue of a title is or is not published. Multiple codes are separated with a comma.

## Subfield \$y Example

The *Scuba Special Review* is published five times a year, in June, August, October, February, and April.

On issue: June 1999 volume 3 number 1

In 853: \$y pm06,08,10,02,04

p = published

m = following codes are for months

01 etc. = months when the serial is published

30

### **Trainer Note:**

The first code in subfield y is **p** for published and the second code **m** for the months of publication. The last coding string, to the end of the subfield, identifies the specific months numerically.

This is a nearly bimonthly publication, but since a December issue does not appear, a regularity pattern is needed.

### **Trainee Instruction (Face-to-face and Online):**

Ask the trainees what else do they notice about the coding of this \$y example? The primary thing to note is that 06 is the first chronology code in the sequence, and not 02.

This \$y example could also be coded another way. Ask the trainees to develop the alternate coding (\$y om12 ).

## Changes to Publication Patterns

- Like changes in *captions*, changes in *pattern* require a new **85X**
- Close the old and open a new **85X** any time a change occurs that would require different coding in the subfields

31

### **Trainer Note:**

A change in a pattern will probably require that holdings associated with the old pattern, coded in an 85X with a specific linking number, be closed.

A new 85X is opened with the new pattern, and the associated holdings all have the new linking number.

## Changes to Publication Patterns

- Examples of **85X** pattern changes:
  - Frequency changes
  - Issues start being combined or omitted
  - Numbering becomes continuous rather than restarting
- Subfield **\$3** may be input to aid staff by showing the duration of the pattern, if this is not clear from the **86X** fields.

32

### **Trainer Note:**

If the duration of the patterns is not clear from the holdings, a subfield 3 may be given to indicate this more clearly.

The next slide illustrates these concepts.

## Pattern Change Example

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year)  
\$j (season) \$w q \$x 21

863 40 \$8 1.1 \$a 1-10 \$i 1980-1989 \$w g

853 20 \$8 2 \$a v. \$b no. \$u 3 \$v r \$i (year)  
\$j (season) \$w q \$x 21 \$y ps21,22/23,24

863 40 \$8 2.1 \$a 13- \$b 3- \$i 1992- \$j 24-

33

### **Trainee Instruction (Face-to-face and Online):**

Instruct the trainees to study the coding in the 853/863 pairs and report their observations.

Ask them what they notice about the change in pattern and the gap.

Ask them how they would code the subfield \$3 in the respective 853 repeats.

### **Trainer Note:**

This minor change from a straight quarterly to a quarterly with a combined summer/fall issue has nonetheless required the closing of an old pattern and the opening of a new one.

## Pattern Change Example

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year)  
 \$j (season) \$w q \$x 21 **\$3 v.1-11**

863 40 \$8 1.1 \$a 1-10 \$i 1980-1989 \$w g

853 20 \$8 **2** \$a v. \$b no. \$u 3 \$v r \$i (year)  
 \$j (season) \$w q \$x 21 \$y ps21,22/23,24  
**\$3 v.12(1991-)**

863 40 \$8 **2.1** \$a 13- \$b 3- \$i 1992- \$j 24-

Possible display:

v.1(1980)-10(1989),  
 v.13:no.3(1992:winter)-

34

### **Trainer Note:**

In this case there was a gap in the library's holdings right during the period when the pattern was changing. Library has a gap from v. 11, no. 1 to v. 13, no. 2. They know that the new pattern first occurred during their gap. To show the data on the change, the library has coded a subfield 3.

Open holdings are now completely acceptable at level 4 and can be compressed to the highest level, i.e. just subfields a, i, [\$g and \$m if present]. This is described in Session 5 in more detail.

## Summary

Publication Pattern information is used for two major purposes:

- Compression and expansion of existing holdings in the OPAC display.
- Prediction of expected issues for checkin, and claiming of issues not received.

35

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## Exercises

1. Bimonthly: v. 47, no. 1, June 1991
2. Quarterly: v. 43, no. 1 Winter 1989
3. Monthly (does not publish Dec., June, July, and has a combined issue of Aug./Sept.: v. 12, no. 1, Jan. 1990)
4. Daily with a combined Saturday/Sunday issue: Friday Jan. 1, 1999

38

### **Options for Exercises:**

1. (Face-to-face and Online). Assign one exercise to each trainee in the class and have them work on it for 5-8 minutes. Then, using the appropriate tool, have the trainee write in the answer on the slide (online) or flipchart (Face-to-face).
2. (Face-to-face). If there are more than 8 trainees, assign people to work on an exercise in pairs or as a group. Then designate one person as the group “leader” to write the answer on the flipchart.
3. (Online). If there are more than 8 trainees and 2 instructors, group trainees into 2 to work on four exercises each. Then designate one person as the group “leader” to write the answers on the slide (online) and record them. This will work if the online software has a breakout room feature. If it lacks this feature, the trainees can (text) chat with each other individually.
4. (Face-to-face and Online). Have the trainees do the exercises overnight as a homework assignment. Then, before beginning Session 5, review the exercises as a group.









## A Guide to Patterns

- For a standard guide to pattern input, the following table, provided by VTLIS, Inc., is useful:

<http://www.loc.gov/acq/conser/patthold-PATTERNSvtls.html>

- **Cautionary Notes:**
  - Changes to MFHD have brought additional ways of handling some of these patterns
  - Progress in implementing patterns varies from system to system

43

### **Trainer Instruction (Face-to-face and Online):**

If time permits, click on the link in show mode to go to the pattern guide table on the Publication Patterns Initiative web site.

Remind trainees of the additional examples for some indicators in 85X/86X in the appendices.

### **Trainer Notes:**

For reference just in case, you may want to review 85X subfield p (Number of pieces per issuance).

Example from MFHD document:

853 20 \$8 1 \$a [ed.] \$b v. \$u 12 \$v r \$i (year) \$j (month) \$p 6 \$w f \$x 01

863 40 \$8 1.1 \$a 156 \$b 1-6 \$i 2001 \$j 01

863 40 \$8 1.2 \$a 156 \$b 7-12 \$i 2001 \$j 07

[This is a semiannual publication issued twice per year in January and July, with six issues published at each time. It restarts its volume numbering (second level enumeration) with every edition. The first level enumeration changes once per year at the turn of the calendar year.]

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## Holdings Session 5

### Textual Holdings

- How textual holdings are structured and linked
- How textual holdings are used alone and in combination with coded holdings

5-1

#### **Trainee Instructions (Face-to-face and Online):**

Informally, ask the question (perhaps building on previous discussions): Thinking of just the ways we display holdings information to users (local and remote, staff, etc.), could some of the needs of different users be met by different *displays* of the same holdings data?

## Textual Holdings

- Single fields which combine captions (if any) with enumeration and chronology data.
- They are for display only (no other functionality is possible).

5-2

### **Trainer Note:**

#### **Textual holdings Definition**

These are single fields used for display of holdings. Since they are textual strings, they cannot be manipulated by computer. For union listing OCLC considers a textual holding a lower routing priority in the automatic routing algorithm. Coded holdings are a higher routing priority.

They combine the caption data with the enumeration/chronology data in a single field.

## Textual Holdings

Depending on the linking number used, textual holdings can:

- Display as sole holdings
- Display in combination with coded holdings
- Replace the display of coded holdings with the same linking number

5-3

### **Trainer Note:**

Textual holdings have only the linking portion of the link and sequence number. They can be ordered by this number. Depending on the linking number used, textual holdings can:

- Display as sole holdings (link no. 0)
- Display between coded holdings
- Replace display of coded holdings with same link no.

These fields are often used for retrospective holdings, particularly when they must be migrated from non-MARC systems or uncoded fields. However, in some systems and collections, they are used for all holdings.

## Textual Holdings

Textual, or free-text, holdings use three tags (like coded sets of tags):

- 866 Basic bibliographic items
- 867 Supplements
- 868 Indexes

5-4

### **Trainer Note:**

Like other sets of fields in the Holdings Format, textual holdings come in threes:

- 866 for basic bibliographic items
- 867 for supplements
- 868 for indexes

## 866-868 Field Structure

86X	\$8	Link number
	\$a	Captions and enumeration/chronology
	\$x	Non-public note
	\$z	Public note

5-5

### **Trainer Note:**

In contrast to 863-865 holdings fields, textual fields have:

- Different indicator meanings (see following screens)
- Only linking numbers, without sequence numbers (their relationship\* to any 863-865 linking numbers determines the significance of the linking number for display)
- All holdings in one subfield \$a, including, in free-text form, both the captions and the enumeration-chronology

\*The relationship is complex; how it operates and results in display depends on system programming. Testing in migration is advised.

## 866-868 Indicators

<u>1st indicator</u>	<u>Field encoding level</u>
blank	No information provided
3	Holdings level 3
4	Holdings level 4
5	Holdings level 5

5-6

### **Trainer Note:**

The first indicator specifies the field encoding level.

Again, the levels indicate the degree of specificity of the holdings:

- Level 3 specifies summary holdings at the volume level only.
- Level 4 is for detailed holdings in compressed or uncompressed form.
- Level 5 is for detailed holdings with piece designations. The latter may be in linked item fields 876-878.

Often the default “No information provided” will be suggested when items are migrated. It would be valuable to assess the local holdings to judge whether it would be possible to assign one or more indicators during the migration.

## 866-868 Indicators

<u>2nd indicator</u>	<u>Type of notation</u>
0	Non-standard
1	ANSI/NISO Z39.71 or ISO 10324 (the current standard)
2	ANSI Z39.42 (the 1980 standard)
7	Other standard (e.g.: US Newspaper Program standard with subfield ‡2 usnp)

5-7

### **Trainer Note:**

The second indicator specifies the type of notation:

- If the holdings are not in standard form, they may be following a local standard.
- If they follow the Z39.71 standard or its international equivalent, ISO 10324, they adhere to the definitions of summary and detailed holdings given in that standard.
- If they follow Z39.42, they are probably older holdings that have never been updated according to later standards.

Some characteristics of Z39.42 holdings:

- Lack captions
- Volume listed only if more than 50% is held
- No detailed holdings
- Usually does not list supplements and indexes

Special standards can be noted with use of indicator 7 and a subfield 2 specifying the standard. USNP is probably the most common usage, but it is certainly not the only possible usage.

## 866-868 \$8 Subfield Structure

Link number meaning:

0	Display as sole holdings
unique no.	Display in combination with 863-865 holdings
same as 863-865	Display as substitute for the fields 863-865 with the same link number

5-8

**Trainer Note:**

For the “same as 863-865” scenario, the 2nd Indicators of the 863-865 are set to 2 or 3 (non-display).

### Example: Textual Holdings Displayed Alone- Dead Title

range at Level 3		866 31	\$8 0	\$a v.1(1899)-31(1930)	<div style="background-color: #808080; color: white; padding: 5px; font-size: small;">                 LADIES' WELFARE LEAGUE. JOURNAL             </div>
standard: Z39.71			\$z	Some issues missing	
		868 41	\$8 0	\$a v.1/25(1899/1924)	<div style="border: 1px solid black; padding: 2px; font-size: x-small;">                 HQ 235 .C44 Index v.1-25 1899-1924             </div>

5-9

**Trainer Note:**

**a. Display of 866-868 as sole holdings**

The first example is of a holding given entirely in Textual Holdings field 866.

Since there are gaps which cannot be specifically enumerated, but some of each volume is held, the basic bibliographic units are given at Level 3.

There is an index, enumerated at Level 4.

Note that the link number is 0, indicating that these holdings and no others will display.

**Example:  
Textual Holdings Displayed Alone-  
Dead Title**

range at Level 3	866 31	\$8 0	\$a v.1(1899)-31(1930)	LADIES' WELFARE LEAGUE. JOURNAL
standard: Z39.71			\$z Some issues missing	
	868 41	\$8 0	\$a v.1/25(1899/1924)	HQ 235 .C44 Index v.1-25 1899-1924

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May display as:  
v.1(1899)-31(1930) <Some issues missing>  
Indexes: v.1/25(1899/1924)

5-10

**Trainer Instruction (Face-to-face and Online):**

Use the appropriate tool to circle or highlight the display constant “Indexes” (illustrates that this system is translating the 868 tag into the phrase Indexes on display).

**Trainer Note:**

Some display features, like those in the angle brackets, will vary from system to system.

Constant data and display details for notes are supplied by the system.

## Exercise: Retrospective Holdings (Holdings for a Former or Ceased Title)

Enter the Summary Holdings for *Soviet Studies* according to Z39.71. Assume this library shelves its serials by call number.

**Call number:** D1 .S72

**Location:** LJM Main Collection

**Holdings in card file:** v.1-10,12-30  
1962/63-1972, 1974-1991 and  
“Cumulative Index” for volumes 1-30

5-11

### **Trainer Note:**

Mention to the trainees that, as they do this exercise, to be aware of non-standard notation in the card file that may need to be converted to standardized Z39.71 (a lot of card files preceded the existence of Z39.71).

Exercise			
852	_ _ \$a	\$b	\$h \$i
866	_ _ \$8	\$a	
868	_ _ \$8	\$a	\$z

5-12

**Trainer Instructions (Face-to-face):**

Do this as a group exercise, asking trainees to volunteer by calling out the answers and writing them on a flipchart.

When the answers are written on the flipchart, compare them to the answer slide (next) and compare/contrast the field coding.

**Trainer Instructions (Online):**

Do this as a group exercise, using the interactive capabilities of the online learning software you are using.

Have the trainees “take turns” filling in the blanks based on the call number, location, and holdings listed on the previous slide.

When this slide is filled in, compare to the answer slide (next) and compare/contrast the field coding.

## Exercise: Soviet Studies Answer

### OPTION 1 (Separate)

852 01 \$a LJM \$b Main \$h D1 \$i .S72

866 31 \$8 0 \$a v.1-10,12-30(1962/1963-1972,1974-1991)

868 41 \$8 0 \$a v.1/30 \$z "Cumulative Index"

### OPTION 2 (Adjacent)

866 31 \$80 \$a v.1(1962/1963)-10(1972),v.12(1974)-30(1991)

868 41 \$80 \$a v.1/30 \$z "Cumulative Index"

5-13

### **Trainer Note:**

Please note that there is more than one option for displaying this information, and even the onscreen examples do not exhaust the possibilities. For instance, omitting captions after hyphens and slashes is optional. However, libraries are encouraged to add captions for clarity, where warranted.

**Textual & Coded Holdings in Combined Display**

Journal of ABC									
<b>1</b>	<b>2</b>	<b>3</b>	<b>4</b>	<b>5</b>	<b>6</b>	<b>7</b>	<b>8</b>	<b>9</b>	<b>10</b>

JABC v.11no.2  
JABC v.11no.3

853 20 **\$8 2** \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q \$x01  
866 41 **\$8 1** \$a v.1(1990)-10(1999),  
863 41 \$8 2.1 \$a 11 \$b 2 \$i 2000 \$j 04/06  
863 41 \$8 2.2 \$a 11 \$b 3 \$i 2000 \$j 07/09

5-14

**Trainer Instruction (Face-to-face and Online):**

Using the appropriate tool, highlight or point to the comma at the end of the 866 to note the gap. Also note how the 866 combines with the 853/863 to give the full range of holdings for this title.

**Trainer Note:**

**b. Combined textual and coded holdings: Example 1: Backrun**

- Here is a picture of a journal run that we saw in Session 1, and its record.
- The Textual Holdings field is used for a back run of the serial.
  - may not be worth it to try to input a pattern not needed for check-in
  - The current issues being checked in have a pattern and regular coded fields.
- Notes on 866:
  - displays exactly as it is input
  - linking number is used without sequence number
  - linking number 1 places display before display from paired fields (linking number 2)
  - gap represented by explicit (textual) comma instead of generated by a coded subfield (\$w)
  - The 86X is ordered by link number, but in some systems it will be by tag.



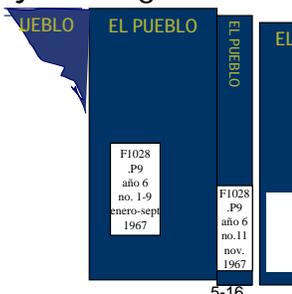
**Another Case for Combined Display**

853 20 **\$8 2** \$a año \$b no. \$u 12 \$v r ...

866 41 **\$8 1** \$a año 1:no.1(1961:enero)-  
6:9(1967:sept.),

863 41 \$8 2.1 \$a 6 \$b 11 \$i 1967 \$j 11 \$w g

863 40 \$8 2.2 \$a 7- \$i 1968-



**Trainer Instruction (Face-to-face and Online):**

Using the appropriate tool, circle or highlight the comma at the end of the 866 and the \$w g in the 863 to illustrate the different coding for the gaps, depending on whether the field is coded or textual.

**Trainer Note:**

**c. Combined coded and textual holdings: Example 2**

Another case where textual holdings fields are commonly used:

- Retrospective holdings for a serial still being checked in.
- The first five volumes are not shown in the graphic. Also, the pattern is complete though the end is not shown. (End of 853: \$i (year) \$j (month) \$w q \$x 01. N.b. We no longer propose \$j (month/month) or (season/season), because systems may not program prediction for it.
- A library might prefer the shorter display or easier work of a free-text holding, especially when working from retrospective lists.
- The different linking numbers of the paired fields and the textual holdings field will allow both to display.

## Another Case for Combined Display

853 20 \$8 2 \$a año \$b no. \$u 12 \$v r ...

866 41 \$8 1 \$a año 1:no.1(1961:enero)-  
6:9(1967:sept.),

863 41 \$8 2.1 \$a 6 \$b 11 \$i 1967 \$j 11 \$w g

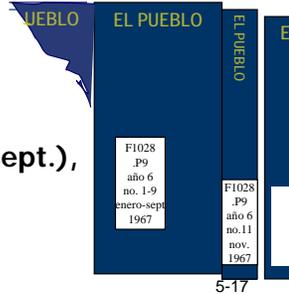
863 40 \$8 2.2 \$a 7- \$i 1968-

May display as:

**año 1:no.1(1961:enero)-6:9(1967:sept.),**

**año 6:no.11(1967:nov.),**

**año 7(1968)-**



### **Trainer Instruction (Face-to-face and Online):**

Using the appropriate tool, circle or highlight the two commas in the display portion of the screen to illustrate the fact that, although the coding for the gaps is different in the holdings statement, the display is ultimately the same (i.e., commas).

### **Trainer Note:**

There are gaps noted, but all are explicit. Though they are input differently, their display can be programmed to be identical.

Optionally note how display of months comes from both textual and coded (numeric) chronology (with the aid of the Language fixed field code).





## Exercise for Title: *Russian Studies*

852	__	\$a	\$b	\$h	\$i			
853	__	\$8	__	\$a	\$b	\$u	\$v	\$i
				\$j	\$w	\$x		
866	__	\$8	__	\$a				
863	__	\$8	__	\$a	\$b	\$i	\$j	
863	__	\$8	__	\$a	\$b	\$i	\$j	
863	__	\$8	__	\$a	\$b	\$i	\$j	

5-20

### **Options for Exercises:**

1. (Face-to-face). Do this as a group exercise, asking trainees to volunteer by calling out the answers and writing them on a flipchart. When the answers are written on the flipchart, compare them to the answer slide (next) and compare/contrast the field coding.
2. (Online). Do this as a group exercise, using the interactive capabilities of the online learning software you are using.
3. (Face-to-face and Online). Assign a field to a trainee, then have the trainees “take turns” filling in the blanks based on the call number, location, and holdings listed on the previous slide. When this slide is filled in, compare to the answer slide (next) and compare/contrast the field coding.
4. (Face-to-face and Online). Have the trainees take 5-10 minutes on their own to do the entire exercise, then compare their answer to the answer key on the next slide.



Textual Holdings Replacing Coded in Display	
v.1 1979 (no.1-4) Jan, Apr, Jun, Sep	Global events .
v.2 1980 " 1990	1992 no.1 2 3 4 1993 no. 1 2 3 4
v.3 1981 no. 2-3 1991	1994 1995
v.4 1982	no. 1 2 3 4 no. 1 2 3 4
v.5 1983 <u>For later holdings</u>	1996 1997
v.6 1984 <u>see check-in record</u>	no. 1 2 3/4 no.1 2 3/4
v.7 1985	1998 1999
1986 (no.1-4) Spr, Sum, Fall, Winter	no. 1 2 3/4 no.1 2 3/4
1987 "	
1988 no. 2-3	
1989	

*Global events* has two changes in captions & pattern:

1986 (from v. with months to year with internal seasons)

1996 (change to combined 3rd-4th issues)

5-22

**Trainer Note:**

2 changes in captions and pattern in this title from Session 3 take home exercise.

In order to fully understand the relationship, some time and slides will be spent here on the coded paired fields.

In case anyone asks: These two boxes attempt to replicate Cardex files that libraries used in the pre-automated environment.

## *Global Events: 853 Fields*

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month)  
\$w q \$x 01 \$y pm01,04,06,09 \$3 1979-1985

5-23

### **Trainer Note:**

From information on the previous slide, we know that check-in started in 1992. Retrospective input of earlier patterns might not be done in many libraries, but is included here for illustration.

## *Global Events: 853 Fields*

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month)  
\$w q \$x 01 \$y pm01,04,06,09 \$3 1979-1985

853 20 \$8 2 \$a (year) \$b no. \$u 4 \$v r \$i (year)  
\$j (season) \$w q \$x 21 \$3 1986-1995

5-24

### **Trainer Note:**

Major change: 1986

- Dropped volume numbers, used only a year with internal division into numbers.
- Seasons instead of months as designations:
  - The first pattern was linking number 1.
  - Because of the pattern change, a new linking number 2 is assigned.
  - A subfield \$3 helps a human reading the patterns understand quickly what the field applies to.

## *Global Events: 853 Fields*

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month)  
\$w q \$x 01 \$y pm01,04,06,09 \$3 1979-1985

853 20 \$8 2 \$a (year) \$b no. \$u 4 \$v r \$i (year)  
\$j (season) \$w q \$x 21 \$3 1986-1995

853 20 \$8 3 \$a (year) \$b no. \$u 3 \$v r \$i (year)  
\$j (season) \$w q \$x 21 \$y ps21,22,23/24 \$3 1996-

5-25

### **Trainer Note:**

Further change: 1996

- Combined third and fourth issues:
  - New linking number 3
  - Subfield \$y composed to show combined issues. **Note: With new codes in \$y, you could also use \$y cs23/24. (c=combined chronology)**

## *Global Events: 853 and 863 Fields*

853 20 **\$8 1** \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q  
\$x 01 \$y pm01,04,06,09 \$3 v.1-v.7

863 42 \$8 1.1 \$a 1-2 \$i 1979-1980 \$w g

863 42 \$8 1.2 \$a 3 \$b 2-3 \$i 1981 \$j 04-06 \$w g

863 42 \$8 1.3 \$a 4-7 \$i 1982-1985

853 20 **\$8 2** \$a (year) \$b no. \$u 4 \$v r \$i (year) \$j (season)  
\$w q \$x 21 \$3 1986-

863 42 \$8 2.1 \$a 1986-1987 \$w g

863 42 \$8 2.2 \$a 1988 \$b 2-3 \$i 1988 \$j 22-23 \$w g

863 42 \$8 2.3 \$a 1989-1995

853 20 **\$8 3** \$a (year) \$b no. \$u 3 \$v r \$i (year) \$j (season)  
\$w q \$x 21 \$y ps21,22,23/24 \$3 1996-

863 42 \$8 3.1 \$a 1996-

5-26

### **Trainer Note:**

Shown are the coded fields, tagged 863, that go with the 853 fields.

- In many libraries, these might be input as individual volumes, as bound.

- Paired field construction:

- “one to many.”

- The placement of the field types in relation to each other, the use of sequence numbers, and other elements of this staff display may vary from system to system.

- Note the indicators of the 863 fields.

- »first - level of specificity is 4, guaranteeing the completeness of all the units stated as held

- »second - compressed and suppressed from display in favor of the free text field with the same link number.

## *Global Events: Add 866 Freetext Fields*

866 31 **\$8 1** \$a v.1-7(1979-1985) \$z Some issues missing

866 31 **\$8 2 \$8 3** \$a 1986- \$z Some issues missing

863 42 \$8 1.1 \$a 1-2 \$i 1979-1980 \$w g

863 42 \$8 1.2 \$a 3 \$b 2-3 \$i 1981 \$j 04-06 \$w g

863 42 \$8 1.3 \$a 4-7 \$i 1982-1985

863 42 \$8 2.1 \$a 1986-1987 \$w g

863 42 \$8 2.2 \$a 1988 \$b 2-3 \$i 1988 \$j 22-23 \$w g

863 42 \$8 2.3 \$a 1989-1995

863 42 \$8 3.1 \$a 1996-

5-27

### **Trainer Note:**

There is a duplicate linking number in the 866 and the 853 fields listed on the previous slide; as a result, the 866 fields replace the 853/863 fields in the user displays.

- Textual field with linking number 1 replaces the first three 863's
  - replaces them in display
- The second textual field has two linking subfields, containing values 2 and 3.
  - in public display, replaces both 863 sets with those linking numbers .
- 866 first indicator is 3 (Level of specificity 3--gaps not given in detail)
  - i.e., both fields lack detail given in paired fields.

Now, using the 863 second indicator values, the online system suppresses the display of the 863 fields, and instead displays the textual holdings fields. The next screen shows this:

## *Global Events: Possible Displays*

Standard display:

v.1-7(1979-1985)<Some issues missing>

1986-<Some issues missing>

---

5-28

**Trainer Note:**

On this screen is a possible display.

Display from the textual fields is shown above the dashed line.

## *Global Events: Possible Displays*

Standard display:

v.1-7(1979-1985)<Some issues missing>

1986-<Some issues missing>

-----  
Alternate Display:

v.1(1979)-2(1980),

v.3:no.2(1981:Apr.)-3:3(1981:June),

v.4(1982)-7(1985)

1986-1987,

1988:no.2(1988:summer)-1988:no.3(1998:fall),

1989-1995

1996-

5-29

### **Trainer Note:**

On this screen is another possible display.

Display from the paired fields is shown below the dotted line. A library might want the longer display for users seeking exact (Level 4) holdings.

Really, the online system could evolve so that both of these displays were alternatives of each other. That would be one solution to the problem that we often need different kinds of displays for different purposes!

Though not apparently envisioned, the best option would be that the system could display the paired fields for users seeking more detail.

## Exercise for Title: *Books*

Note: *Books* later changed to *World Literature*. The library has a gap in its main holdings from 1932-1955.

Call number: Z1007.B7

Location: LJM, Literature Building

Holdings:

volume 1, 1931

volume 25-50, 1956-1981

& special supplement no.1-4, 1951-1954

5-30

### **Trainer Note:**

The “title change” aspect is not discussed within the exercise; however, it would be a good example for an illustration of the idea of a combined holdings display.

Remind the trainees that the data may be presented in non-standard notation, and they may need to convert it to standard Z39.71 notation.

## Exercise for Title: *Books*

852 \_ \_ \$a      \$b      \$h      \$i

866 \_ \_ \$8    \$a

867 \_ \_ \$8    \$a  
              \$z

5-31

### **Options for Exercises:**

1. (Face-to-face). Do this as a group exercise, asking trainees to volunteer by calling out the answers and writing them on a flipchart. When the answers are written on the flipchart, compare them to the answer slide (next) and compare/contrast the field coding.
2. (Online). Do this as a group exercise, using the interactive capabilities of the online learning software you are using.
3. (Face-to-face and Online). Assign a field to a trainee, then have the trainees “take turns” filling in the blanks based on the call number, location, and holdings listed on the previous slide. When this slide is filled in, compare to the answer slide (next) and compare/contrast the field coding.
4. (Face-to-face and Online). Have the trainees take 5-10 minutes on their own to do the entire exercise, then compare their answer to the answer key on the next slide.

## Exercise Answer: *Books*

### Desired Holdings Display:

Location: Long Library, Literature Building

Call Number: Z1007 .B7

Library Has: v.1(1931),v.25(1956)-50(1981)

Supplement: no.1(1956)-4(1959) "Special Supplement"

852 01 \$a LJM \$b Literature Building \$h Z1007 \$i .B7

866 41 \$8 0 \$a v.1(1931),v.25(1956)-50(1981)

867 41 \$8 0 \$a no.1(1956)-4(1959)

\$z "Special Supplement"

5-32

### **Trainer Note:**

In the answer screen, we have changed the 866 and display fields to conform more to the NISO standards, including putting quotation marks around the name of the supplement (if it were in an 864, it would be in a subfield \$o). It needs repeated emphasis that in textual holdings, it's WYSIWIG; the display will be exactly as it is input.

The \$8 0 indicates that it will display as sole holdings of this title.



## Exercise for Title: *World Literature*

852	__	\$a	\$b	\$h	\$i				
866	__ \$8	\$a		\$z					
853	__ \$8	\$a	\$b	\$u	\$v	\$i	\$j	\$w	\$x
853	__ \$8	\$a	\$b	\$u	\$v	\$i	\$j	\$w	\$x
863	__ \$8	\$a	\$b	\$i		\$j			
863	__ \$8	\$a	\$b	\$i		\$j			
863	__ \$8	\$a	\$b	\$i		\$j			
863	__ \$8	\$a	\$b	\$i		\$j			
863	__ \$8	\$a	\$b	\$i		\$j			

5-34

### **Options for Exercises:**

1. (Face-to-face). Do this as a group exercise, asking trainees to volunteer by calling out the answers and writing them on a flipchart. When the answers are written on the flipchart, compare them to the answer slide (next) and compare/contrast the field coding.
2. (Online). Do this as a group exercise, using the interactive capabilities of the online learning software you are using.
3. (Face-to-face and Online). Assign a field to a trainee, then have the trainees “take turns” filling in the blanks based on the call number, location, and holdings listed on the previous slide. When this slide is filled in, compare to the answer slide (next) and compare/contrast the field coding.
4. (Face-to-face and Online). Have the trainees take 5-10 minutes on their own to do the entire exercise, then compare their answer to the answer key on the next slide.

## Exercise Answer: *World Literature*

852 01 \$a LJM \$b Literature Building \$h Z1007 \$i .B7

853 20 \$8 2 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (season)  
\$w q \$x 21

853 20 \$8 3 \$a v. \$b no. \$u 6 \$v r \$i (year) \$j (month)  
\$w b \$x 02

866 31 \$8 1 \$a v.51(1982)-74(2005) \$z Some issues lacking

863 41 \$8 2.1 \$a 75 \$b 1 \$i 2006 \$j 21

863 41 \$8 2.2 \$a 75 \$b 2 \$i 2006 \$j 22

863 41 \$8 2.3 \$a 75 \$b 3 \$i 2006 \$j 23

863 41 \$8 2.4 \$a 75 \$b 4 \$i 2006 \$j 24

863 41 \$8 3.1 \$a 76 \$b 1 \$i 2007 \$j 02

5-35

### **Trainer Instruction (Optional: Face-to-face and Online):**

A public display is on the next screen. Once they have seen it, to help the class understand, you can go further with this exercise, asking them to show you how to input, and then suppress, Level 4 coded holdings for v.51-74. Because you want to suppress them, they must have a separate 853 \$8 1 even though the pattern does not change until 2007:

Holdings statement: volume 51-62,no.2, 1982-1993; volume 63-74 1994-2005

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (season) \$w q \$x 21

863 42 \$8 1.1 \$a 51-62 \$b 1-2 \$i 1982-1993 \$j 21-22 [this line has an incomplete v.62, so must be given at lower levels]

863 42 \$8 1.2 \$a 63-74 \$i 1994-2005 [this line is a complete range, so fully compressed]

The 866 is already coded with subfield \$8 1 so it will display instead of these holdings..



## Summary

- Captions and enumeration/chronology are input together
- No manipulation by computer is possible
- Textual holdings are often used for retrospective holdings

5-37

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## Summary

- Depending on the link number used, textual fields can:
  - Display as sole holdings  
(link no. 0)
  - Display interfiled with holdings
  - Replace display of coded holdings

5-38

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## Holdings Session 6 Special Problems

- Captions not ending in a period
- Supplements and indexes
- Ordinal numbers
- Numbers without captions
- Dates with internal numbering

1

### **Holdings Session 6 – Special Problems**

#### **Trainer Instructions (Optional: Face-to-face and Online):**

Use a flipchart (face-to-face) or insert a blank white/text board (online) to note down problem holdings that trainees will bring up. If any of the topics that arise are not covered here, discuss or research them later.

#### **Trainee Instructions (Optional: Face-to-face and Online):**

Ask trainees to talk about the “problem holdings” that have been most bothersome in their local libraries (their worst nightmare).

#### **Trainer Notes:**

Session Contents: How to record complex holdings?

- A. Captions not ending in a period
- B. Supplement and Index Holdings
- C. Dates as Enumeration and Dates as Divisions
- D. Roman Numerals
- Successive Series Numbering
- Ordinal Numbers
- G. Captionless Enumeration
- H. Enumeration with Symbols and Internal Hyphens
- I. Alphabetic Enumeration
- Alternative Enumeration
- Spanned Chronology



## Captions Not Ending in a Period

### Small problem

**año 1** looks a lot better than **año1**.

See ANSI/NISO Z39.71-2006, Section 5.5.4.2, for caption examples.

### Solution in programming

Tell the system to add a space at the end of any caption that lacks a final period.

3

### **Trainer Notes:**

#### **A. Captions not ending in a period**

This above is just a cautionary note.

This is a small problem that simply needs to be provided for in a system that uses NISO-style display.

Programmers must tell the system to add a space at the end of any caption that lacks a final period. See Z39.71-2006, Section 5.5.4.2., caption examples. Having this programmed in will save lots of work!

## Base Volume, Supplement, Index

**GENEALOGY BULLETIN**

Volume 2, no. 1  
Jan./Mar. 1986

Bulletin-- quarterly

**GENEALOGY BULLETIN**

*Volume 2      1986*  
*Supplement 1*  
*Research Notes -- June*

Supplement-- semiannual  
(arrives June and December)

**Genealogy Bulletin**

**Index**

Volumes 1 to 10  
1985-1994

Index: every ten years

4

**Trainer Instructions (Face-to-face and Online):**

Use appropriate tools to “point” as you go over each.

**Trainer Notes:**

**B. Supplement and Index Holdings**

We have covered the separate tags for base volumes, supplements, and indexes. Now we will look at them in operation.

1. In this title (Genealogy bulletin),

- there are base volumes made of quarterly issues,
- each volume has two semiannual numbered supplements,
- An index covers ten volumes.

## Supplement Holding

**GENEALOGY BULLETIN**

***Volume 2      1986***

***Supplement 1***

***Research Notes -- June***

Semiannual

Designation:

v.:suppl.(year:month)

5

### Trainer Notes:

2. Holdings statements for supplements. (854/864)

This designation has two levels of enumeration and two levels of chronology. The supplement is numbered and the volume it supplements is also numbered.

## Supplement Holding

**GENEALOGY BULLETIN**

**Volume 2 1986**

**Supplement 1**

**Research Notes -- June**

Semiannual

Designation:

v.:suppl.(year:month)

For a single supplement:

854 20 \$8 1 \$a v. \$b suppl. \$o Research Notes  
\$u 2 \$v r \$i (year) \$j (month) \$w f \$x 06

864 41 \$8 1.1 \$a 2 \$b 1 \$i 1986 \$j 06

6

### Trainer Instructions (Face-to-face and Online):

Using the appropriate tool, underline “single” to emphasize that this is for a single supplement issue.

### Trainer Notes:

Note subfield \$o, Type of supplement.

Indicators are 41, indicating Level 4, fully uncompressed holdings.

Remind trainees that the indicators in this example apply equally to the 853 / 854 and 863 / 864 fields.

# Supplement Holding

**GENEALOGY BULLETIN**

**Volume 2 1986**

**Supplement 1**

**Research Notes -- June**

Semiannual

Designation:

v.:suppl.(year:month)

For a single supplement:

854 20 \$8 1 \$a v. \$b suppl. \$o Research Notes  
\$u 2 \$v r \$i (year) \$j (month) \$w f \$x 06

864 41 \$8 1.1 \$a 2 \$b 1 \$i 1986 \$j 06

May display as:

v.2:suppl.1(1986:June) "Research Notes"

7

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## Supplement Summary

For multiple supplements:

v.1, supplement 1, June 1985 to  
v.5, supplement 1, June 1989

8

**Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, underline/highlight “multiple” to emphasize this coding is for more than one supplement.

## Supplement Summary

For multiple supplements:

v.1, supplement 1, June 1985 to

v.5, supplement 1, June 1989

**854** 20 \$8 1 \$a v. \$b suppl. \$o Research Notes  
\$u 2 \$v r \$i (year) \$j (month) \$w f \$x 06

9

## Supplement Summary

For multiple supplements:

v.1, supplement 1, June 1985 to  
v.5, supplement 1, June 1989

**854** 20 \$8 1 \$a v. \$b suppl. \$o Research Notes  
\$u 2 \$v r \$i (year) \$j (month) \$w f \$x 06

**864** 40 \$8 1.1 \$a 1-5 \$b1-1 \$i 1985-1989 \$j 06-06

10

### Trainer Notes:

#### 2. Supplements. (854/864 continued)

Not all systems are capable of displaying the complete holdings of this supplement from one field by parsing around the hyphen. Some would require two fields: vols. 1 through 4, and a separate vol. 5 no. 1. However, since at least one is capable giving a logical display to correspond to a legitimate Z39.71 display, we show the way it is done, and the results. Needless to say, this capability gives a library much more flexibility in inputting holdings.

## Supplement Summary

For multiple supplements:

v.1, supplement 1, June 1985 to

v.5, supplement 1, June 1989

**854** 20 \$8 1 \$a v. \$b suppl. \$o Research Notes  
\$u 2 \$v r \$i (year) \$j (month) \$w f \$x 06

**864** **40** \$8 1.1 \$a 1-5 \$b1-1 \$i 1985-1989 \$j 06-06

May display as:

SUPPLEMENTS: v.1:suppl.1(1985:June)-  
5:1(1989:June) "Research Notes"

11

## Cumulative Index Holding

**Genealogy Bulletin  
Index**  
Volumes 1 to 10  
1985-1994

Ten-year index

**855**      \$8 1      \$a v.      \$i (year)

12

**Trainer Notes:**

3. Index

The index is a single piece containing an index to the parts given.

No indicators in the 855.

Remind the trainees that there is the MARC handbook for coding the fields in the Appendices.

## Cumulative Index Holding

### **Genealogy Bulletin Index**

Volumes 1 to 10  
1985-1994

Ten-year index

**855** \$8 1 \$a v. \$i (year)

**865 41** \$8 1.1 \$a 1/10 \$i 1985/1994

May display as: INDEXES: v.1/10(1985/1994)

13

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, highlight the slashes.

### **Trainer Notes:**

#### 3. Index

A slash rather than a dash separates both the enumeration and the chronology of the first and last volume indexed. This is the NISO standard's way of indicating one bibliographic unit or any combined numbering.

Indicators of the 865 are 41, marking a detailed, uncompressed holding. The only valid second indicator for the 865 is 1 or 3.

## Captions for Supplements & Indexes

- It is allowable to use **Suppl. to v.** and **Index to v.** as captions for clarity.
- However, it is preferable that the system clearly show that the holdings are for indexes or supplements through interpretation of the coding.

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### **Trainer Notes:**

Though not documented in MFHD, captions like this have been used in many libraries. There is no reason why they should cause a problem, though the online system which has implemented MFHD would ordinarily display the words “Indexes” or “Supplements” so that specific captions would not be necessary.

If you do use such locally determined captions, document your practice and use them consistently.

## Combined Holdings

**853** 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year)  
\$j (month) \$w q \$x 01

**863 40** \$8 1.1 \$a 2- \$i 1986-

15

### **Trainer Notes:**

#### **Combined holdings**

This slide and the next three slides carry the example of the previous slides to its logical conclusion and give the OPAC display for holdings of:

- base volumes,
- supplements,
- and indexes.

This process assumes that all of the accompanying items are cataloged on the main record. Supplements and indexes cataloged separately will have their basic units coded in the 853/863, rather than 854/864 and 855/865.

## Combined Holdings

**853** 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year)  
\$j (month) \$w q \$x 01

**863 40** \$8 1.1 \$a 2- \$i 1986-

**854** 20 \$8 1 \$a v. \$b suppl. \$o Research Notes  
\$u 2 \$v r \$i (year) \$j (month) \$w f \$x 06

**864 40** \$8 1.1 \$a 1-5 \$b 1-1 \$i 1985-1988 \$ 06-06

16

## Combined Holdings

**853** 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year)  
\$j (month) \$w q \$x 01

**863 40** \$8 1.1 \$a 2- \$i 1986-

**854** 20 \$8 1 \$a v. \$b suppl. \$o Research Notes  
\$u 2 \$v r \$i (year) \$j (month) \$w f \$x 06

**864 40** \$8 1.1 \$a 1-5 \$b 1-1 \$i 1985-1988 \$ 06-06

**855** \$8 1 \$a v. \$i (year)

**865 41** \$8 1.1 \$a 1/10 \$i 1985/1994

17

### Trainer Notes:

#### **Combined holdings**

Special note:

Most systems can repeat sequence numbers as long as the tags are different.

Most will also allow you to continue incrementing the sequence numbers: i.e., the 864s and 865 could be numbered 1.2, 1.3, 1.4, etc.

## Combined OPAC Display (If Cataloged Together)

HOLDINGS: v.2(1986)-

SUPPL: "Research Notes"

v.1:suppl.1(1985:June)-

v.5:suppl.1(1989:June)

INDEX: v.1/10(1985/1994)

18

### **Trainer Notes:**

This screen shows how the previous holdings might display to the public.

# Exercise 1

**Three times a year with seasons:** Record holdings fields for these basic issues of a serial that publishes three times a year in Autumn, Winter, Spring. There is no Summer issue.

Vol. 1, issue 1 (Autumn 2002)

Vol. 1, issue 2 (Winter 2002)

Vol. 1, issue 3 (Spring 2003)

Also record a holding for the index designated: 2002/2003.

For both the serial issues and the index, code the second indicator of the 86x for uncompressed (itemized holdings), set to display.

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**Trainee Instructions (Face-to-face and Online):**

**Exercises Instructions (applied to **\*\*all\*\*** exercises in this session)**

Complete 86x fields to record holdings for each example.

Use your *Handbook* in the appendices and other resources provided to you.

The Publication pattern is provided for you.

Code the indicators for 86X as directed.

Use all necessary subfield codes.

Remember to code \$8.

Where directed, write how the holding will display. Use NISO conventions (see examples on the slides).

**Trainer Instructions (Face-to-face and Online):**

**Exercises Instructions (applied to **\*\*all\*\*** exercises in this session)**

Use your judgment as to the best method to conduct the exercises for this session, based on time, resources, or software features available (online). Possible methods include:

1. Doing the exercises as one group (answers may be put on the flipchart or whiteboard)
2. Breaking the class into 2 groups and doing them as individual groups if there are 2 instructors.
3. Doing the exercises individually and reviewing them as one group
4. Have the trainees do all the exercises on their own time and review them before proceeding to Session 7
5. Post the answers (the answer key is at the end of the session) and have the trainees explain the answers

## Exercise 1

Publication pattern, serial:

853 20 \$8 1\$a v. \$b issue \$u 3 \$v r  
 \$i (year) \$j (season) \$w t \$x 23 \$y os22

Publication pattern, index:

855 \$8 1 \$a (year) \$w a  
 86\_ 4\_ \$8  
 86\_ 4\_ \$8  
 86\_ 4\_ \$8  
 86\_ 4\_ \$8

20

### **Trainer Notes:**

We no longer recommend doubling the year. It may affect functionality in certain systems.

Answers:

863 41 \$8 1.1 \$a 1 \$b 1 \$i 2002 \$j 23

863 41 \$8 1.2 \$a 1 \$b 2 \$i 2002 \$j 24

863 41 \$8 1.3 \$a 1 \$b 3 \$i 2003 \$j 21

865 41 \$8 1.1 \$a 2002/2003

[Note that the link and even sequence number can be reused for base volumes, supplements, and indexes.]

## Holdings with Dates As Enumeration

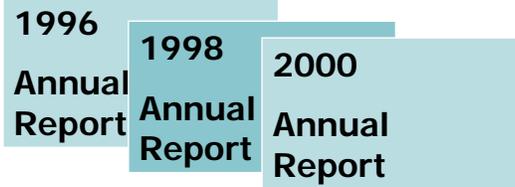
21

**Trainer Notes:**

**C. Dates as enumeration and Dates as division**

As stated in Session 3, dates may be used in enumeration subfields when there is no enumeration on the item.

## Holdings with Dates As Enumeration



853 20 \$8 1 \$a (year) \$w a  
 863 41 \$8 1.1 \$a 1996 \$w g  
 863 41 \$8 1.2 \$a 1998 \$w n  
 863 41 \$8 1.3 \$a 2000

22

### Trainer Notes:

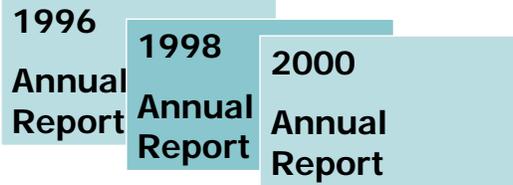
This slide also shows **Gaps**.

1997 was not received while 1999 was never published.

In order to show a **break** (displayed in the OPAC as a punctuation mark), insert a subfield \$w in the 86X:

- value *g* for **gap** (displaying as a comma),
- *n* for **non-gap break** or “issue(s) not published” (displaying as a semicolon).

## Holdings with Dates As Enumeration



853 20 \$8 1 \$a (year) \$w a

863 41 \$8 1.1 \$a 1996 \$w g

863 41 \$8 1.2 \$a 1998 \$w n

863 41 \$8 1.3 \$a 2000

May display as: 1996,1998;2000

23

**Trainer Notes:**

It's allowable to code gap and non-gap breaks together if that's the situation! i.e., with multiple subfields \$w generating both commas and semicolons.

## Dates with Divisions: Non-Chronological



24

### **Trainer Notes:**

Some non-print formats are especially likely to have a date as the primary division, with secondary divisions which are not chronological.

This example is a CD-ROM serial.

There is a second-level division (here, disc) which is not chronological.

### **Trainee Instructions (Optional: Face-to-face and Online):**

Based on previous discussions and examples, ask for a volunteer to verbally guess what the coding for the 853/863 might be for this issue.

### **Trainer Instructions (Optional: Face-to-face):**

Write the trainee's guess of the 853/863 coding on a flipchart.

### **Trainer Instructions (Optional: Online):**

Use the left side of the slide and have the trainees write out the coding of the 853/863.

## Dates with Divisions: Non-Chronological

853 20 \$8 1 \$a (year) \$b disc \$u 2 \$v r \$w f

863 41 \$8 1.1 \$a 1998 \$b 1

863 41 \$8 1.2 \$a 1998 \$b 2

863 41 \$8 1.3 \$a 1999 \$b 1

863 41 \$8 1.4 \$a 1999 \$b 2



### Trainer Notes:

#### **C. Dates as primary enumeration with a second level of regular numbers (CD-ROM example)**

In the case where there is no enumeration, and all the chronology elements move into subfields \$a-h, then the chronology pattern elements such as \$w \$x and \$y follow the enumeration pattern elements such as \$u and \$v.

Of course, this holding, if complete, could also be compressed.

## Dates with Divisions: Non-Chronological

853 20 \$8 1 \$a (year) \$b disc \$u 2 \$v r \$w f

863 41 \$8 1.1 \$a 1998 \$b 1

863 41 \$8 1.2 \$a 1998 \$b 2

863 41 \$8 1.3 \$a 1999 \$b 1

863 41 \$8 1.4 \$a 1999 \$b 2

May display as:

1998:disc 1

1998:disc 2

1999:disc 1

1999:disc 2



26

## Dates with Both Kinds of Division



27

### **Trainer Notes:**

Dates as primary enumeration with internal divisions that are both chronological and non-chronological. In this example, assume that the numbers restart with each year. If doing the optional exercise, convey this information to the trainees.

### **Trainee Instructions (Optional: Face-to-face and Online):**

Based on previous discussions and examples, ask for a volunteer to verbally guess what the coding for the 853/863 might be for this issue.

### **Trainer Instructions (Optional: Face-to-face):**

Write the trainee's guess of the 853/863 coding on a flipchart.

### **Trainer Instructions (Optional: Online):**

Use the right side of the slide and have the trainees write out the coding of the 853/863.

## Dates with Both Kinds of Division



853 20 \$8 1 **\$a (year)** \$b no.  
 \$u 4 \$v r **\$i (year)** \$j (season)  
 \$w q \$x 21

863 41 \$8 1.1 **\$a 1999** \$b 1  
**\$i 1999** \$j 21

28

### Trainer Notes:

Dates as primary enumeration with internal divisions that are both chronological and non-chronological

If the primary division is chronological (by year), but the internal divisions have both a number and a date designation, the year is repeated on both the enumeration side and the chronological side.

## Dates with Both Kinds of Division



853 20 \$8 1 \$a (year) \$b no.  
 \$u 4 \$v r \$i (year) \$j (season)  
 \$w q \$x 21

863 41 \$8 1.1 \$a 1999 \$b 1  
 \$i 1999 \$j 21

May display as:

1999:no.1(1999:spring)

29

### Trainer Notes:

When the statement is compressed, the entire chronology can be dropped, and the holdings statement for a complete volume will consist of the year only. For an incomplete year, the year and number will be given. (Programming would have to accommodate dropping chronology in compressed statements where \$a and \$i are both (year).

# Holdings with Roman Numerals

(semimonthly)

La Cultura  
Romana  
Tomo IV  
Numero 1  
1 gennaio  
1997

30

**Trainer Notes:**

D. Roman Numerals

**Trainee Instructions (Optional: Face-to-face and Online):**

Based on previous discussions and examples, ask for a volunteer to verbally guess what the coding for the 853/863 might be for this issue.

**Trainer Instructions (Optional: Face-to-face):**

Write the trainee's guess of the 853/863 coding on a flipchart.

**Trainer Instructions (Optional: Online):**

Use the left side of the slide and have the trainees write out the coding of the 853/863.

## Holdings with Roman Numerals

New holding at time of check-in (Italian title)

853 20 \$8 1 \$a t. \$b n. \$u 24 \$v r \$i (year)

\$j (month) \$k (day) \$w s \$x 0101 \$y pd01,15

863 41 \$8 1.1 **\$a 4** \$b 1 \$i 1997 **\$j 01 \$k 1**

(semimonthly)

La Cultura  
Romana

Tomo IV  
Numero 1  
1 gennaio  
1997

31

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, underline/circle “4” in 863 \$a and “IV” on the piece.

### **Trainer Notes:**

We saw this slide before in Session 3. Here it is again to illustrate some more common problems:

Roman numerals should be changed to Arabic according to the NISO display standards. This issue is under examination (Individual systems may allow either input or output (i.e., display) in Roman numerals and use a translation table to effect the translation).

The online system has translated the 863 \$j from a numeric value 01 (numeric values are necessary for prediction), into the Italian abbreviation for January. There is a third level of chronology, “day”, in this statement.

## Holdings with Roman Numerals

New holding at time of check-in (Italian title)

853 20 \$8 1 \$a t. \$b n. \$u 24 \$v r \$i (year)  
\$j (month) \$k (day) \$w s \$x 0101 \$y pd01,15

863 41 \$8 1.1 **\$a 4** \$b 1 \$i 1997 **\$j 01 \$k 1**

May display as:

t.4:n.1(1997:genn.1)

(semimonthly)

La Cultura  
Romana  
Tomo IV  
Numero 1  
1 gennaio  
1997

32

### **Trainer Notes:**

No colon displays between the month and the day according to the NISO standard.

NISO standard does not render foreign chronology according to vernacular rules (1 gennaio becomes genn.1.)

## Holdings with Successive Series Numbering

- Some serials, especially scholarly and society publications, come out in several successive series, for example, new ser., ser.3, ser.4....
- Combine the series designation with the next hierarchical unit designation in a single subfield. A colon (:) joins the two designations.

Examples: new ser.:v.1(1990)  
ser.2:v.3 (1995)

33

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tools, “point” as you go over each.

Underline new ser., ser.3, ser.4.

### **Trainer Notes:**

#### **E. Successive Series Numbering**

Series designations are common within numbering schemes, particularly those for scholarly and society publications from abroad; many are nineteenth-century or earlier publications.

## Holdings with Successive Series Numbering

VERHANDLUNGEN  
DER  
AKADEMIE  
VON WISSENSCHAFTEN  
Neue Folge IV.Bd  
1882

34

**Trainee Instructions (Optional: Face-to-face and Online):**

Based on previous discussions and examples, ask for a volunteer to verbally guess what the coding for the 853/863 might be for this issue.

**Trainer Instructions (Optional: Face-to-face):**

Write the trainee's guess of the 853/863 coding on a flipchart.

**Trainer Instructions (Optional: Online):**

Use the left side of the slide and have the trainees write out the coding of the 853/863.

## Holdings with Successive Series Numbering

853 00 \$8 1 \$a n.F.:Bd. \$i (year) \$w a  
863 41 \$8 1.1 \$a 4 \$i 1882

VERHANDLUNGEN  
DER  
AKADEMIE  
VON WISSENSCHAFTEN  
Neue Folge IV.Bd  
1882

35

### **Trainer Notes:**

Series designations:

- This is a German designation and its MFHD-coded equivalent.
- Note the combination of the series designation with the volume designation: n.F.:Bd. Because they represent two hierarchical levels, a colon separates them.
- Note the change from Roman numeral to Arabic, and the fact that Roman numeral IV. is an ordinal number but is not transcribed as such in the record. (Roman numerals will be discussed shortly).
- Ordinal numbers will be discussed after the exercise.

## Holdings with Successive Series Numbering

853 00 \$8 1 \$a n.F.:Bd. \$i (year) \$w a  
863 41 \$8 1.1 \$a 4 \$i 1882

May display as:  
n.F.:Bd.4(1882)

VERHANDLUNGEN  
DER  
AKADEMIE  
VON WISSENSCHAFTEN  
Neue Folge IV.Bd  
1882

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## Exercise 2

Record a holdings field for these basic issues of a serial that publishes monthly and uses the static series designation of **Series 3**.

Ser. 3 vol. 4, release 1 (January 2002)

Ser. 3 vol. 4, release 2 (February 2002)

Ser. 3 vol. 4, release 3 (March 2002)

Code the second indicator of the 86X for compressed holdings, set to display.

Write how this compressed holdings would display to the public.

37

**Trainer Instruction (Face-to-face and Online):**

See the trainer instructions under Exercise 1 for instructions or suggestions on how to conduct this exercise.

## Exercise 2

Publication pattern:

853 20 \$8 1 \$a ser. 3:v. \$b release \$u 12  
\$v r \$i (year) \$j (month) \$w m \$x 01

86\_ 4\_ \$8

Display:

38

**Trainer Notes:**

“Series 3” is incorporated as part of the first level of enumeration in \$a of the 853 publication pattern field.

Answers:

863 40 \$8 1.1 \$a 4 \$b 1-3 \$i 2002 \$j 01-03

Display:

ser.3:v.4:release 1(2002:Jan.)-4:3(2002:Mar.)

## Ordinal Numbers

- Often recorded as a volume + cardinal number  
e.g., record “4. Band” and “1. año” as  
Bd. 4 and año 1
- Both word orders are often acceptable in the languages involved
- No choice in word order, however, when combining designations like n.F.:Bd.
- There is a special provision that can be used where a caption *follows* an ordinal number

39

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tools:

- Underline Bd.4 and año 1.
- “Point” as you go over each.

### **Trainer Notes:**

#### **F. Ordinal Numbers**

Often, we transcribe “4. Band” and “1. año” as a volume + cardinal number, rather than as an ordinal number + volume:

Bd. 4

Año 1

We can do this because this other syntax/word order is also acceptable in the languages involved.

If we combine designations like n.F.:Bd. as in the example on the previous slide, we have no choice but to use the syntax n.F.:Bd.4, rather than n.F.:4.Bd., which is on the piece.

In most cases where a caption *follows* an *ordinal* number, we can use the special provisions for ordinal numbers so that we can transcribe the numbering as we find it. See example on the next slide.

## Holdings with Ordinals

**12th Edition 1990**

*P. Sarmiento's  
Guide to  
Colonial Mexico*

**14th Edition 1997**

*P. Sarmiento's  
Guide to  
Colonial Mexico*

40

**Trainer Instructions (Face-to-face and Online):**

Use appropriate tools to underline or circle the ordinal numbers.

## Holdings with Ordinals

**12th Edition 1990**

*P. Sarmiento's  
Guide to  
Colonial Mexico*

**14th Edition 1997**

*P. Sarmiento's  
Guide to  
Colonial Mexico*

853 10 \$8 1 \$a **+ed.** \$i (year) \$w x

41

### **Trainer Notes:**

The screen shows how to code the holding of an edition with a reversal of the usual syntax and an ordinal number (This is an irregular, so there is no pattern).

In order to change the form of the number and its position, insert a *plus sign* before the caption in the 85X.

## Holdings with Ordinals

**12th Edition 1990**

*P. Sarmiento's  
Guide to  
Colonial Mexico*

**14th Edition 1997**

*P. Sarmiento's  
Guide to  
Colonial Mexico*

853 10 \$8 1 \$a **+ed.** \$i (year) \$w x

863 41 \$8 1.1 \$a 12 \$i 1990 \$w g

863 41 \$8 1.2 \$a 14 \$i 1997

42

## Holdings with Ordinals

**12th Edition 1990**

*P. Sarmiento's  
Guide to  
Colonial Mexico*

**14th Edition 1997**

*P. Sarmiento's  
Guide to  
Colonial Mexico*

853 10 \$8 1 \$a **+ed.** \$i (year) \$w x

863 41 \$8 1.1 \$a 12 \$i 1990 \$w g

863 41 \$8 1.2 \$a 14 \$i 1997

May display (by means of language code) as...

12th ed.(1990),

14th ed.(1997)

43

### **Trainer Notes:**

With programming, the online system uses the ordinal form of the number and changes its position to preceding the caption. The language code determines the form of the ordinal: whether, e.g., 1. or 1st.

## Exercise 3

Record holdings fields for this English-language academic serial that comes out in annual volumes with an issue each semester. Note that this campus has only two semesters.

Vol. 10, 1st semester      September 2000

Vol. 10, 2nd semester     January 2001

Vol. 11, 1st semester     September 2001

Compress volume 10. Itemize the first semester of volume 11. Write how this should display to the public.

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**Trainer Instruction (Face-to-face and Online):**

See the trainer instructions under Exercise 1 for instructions or suggestions on how to conduct this exercise.

## Exercise 3

Publication pattern:

853 20 \$8 1 \$a v. \$b +semester \$u 2 \$v r  
 \$i (year) \$j (month) \$w 2 \$x 09 \$y pm09,01

86\_ 4\_ \$8

86\_ 4\_ \$8

Display:

45

**Trainer Note:**

This is not strictly semi-annual.

Answers:

863 40 \$8 1.1 \$a 10 \$i 2000-2001

863 41 \$8 1.2 \$a 11 \$b 1 \$i 2001 \$j 09

Display: v.10(2000-2001)

v.11:1st semester(2001:Sept.)

## Captionless Enumeration



Many serials have enumeration alone, with no caption.

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### **Trainer Notes:**

#### **G. Captionless Enumeration**

#### **Trainee Instructions (Optional: Face-to-face and Online):**

Based on previous discussions and examples, ask for a volunteer to verbally guess what the coding for the 853/863 might be for this issue.

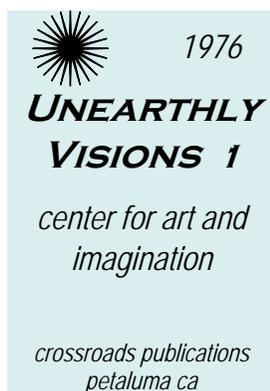
#### **Trainer Instructions (Optional: Face-to-face):**

Write the trainee's guess of the 853/863 coding on a flipchart.

#### **Trainer Instructions (Optional: Online):**

Use the right side of the slide and have the trainees write out the coding of the 853/863.

## Captionless Enumeration



Many serials have enumeration alone, with no caption. The symbol for this is (\*) – non-displaying caption.

853 20 \$8 1 \$a (\*) \$i (year)

863 41 \$8 1.1 \$a 1 \$i 1976

May display as: 1(1976)

47

### Trainer Notes:

This is an irregular with no pattern and a single issue held. The library displays the holding without captions by enclosing an asterisk, denoting “no caption,” inside parentheses.

## Exercise 4

Some enumerations are not preceded by a caption. We use the convention of (\*) to indicate that no caption is present for this part of the enumeration. The example used for this exercise is an annual with number and year.

20 // 2000

21 // 2001

22 // 2002

Code the second indicator of the three 86x for uncompressed, use textual display. Give a textual holding that would correspond to this range. (Be sure to check the *Handbook* for the meaning of the indicators in the textual field.)

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### **Trainer Instruction:**

See the trainer instructions under Exercise 1 for instructions or suggestions on how to conduct this exercise.

## Exercise 4

Publication pattern:

853 20 \$8 1 \$a (\*) \$i (year) \$w a

86\_ 4\_ \$8

86\_ 4\_ \$8

86\_ 4\_ \$8

86\_ \_\_\_ \$8

49

Answers:

863 43 \$8 1.1 \$a 20 \$i 2000

863 43 \$8 1.2 \$a 21 \$i 2001

863 43 \$8 1.3 \$a 22 \$i 2002

866 41 \$8 1 \$a 20-22(2000-2002)

Display: 20-22(2000-2002)

(could also be keyed in adjacent format: 20(2000)-22(2002))

### **Trainer Notes:**

For captionless ordinal numbering, use the plus sign in parentheses. For example, 1st Annual Conference on... 1992, is coded as:

853 20 \$8 1 \$a (+) \$i (year) \$w a

863 41 \$8 1.1 \$a 1 \$i 1992

## Symbols, Hyphens, Coding Challenges

- NISO standards prescribe hyphens as connectors within holdings statements.
- Some serials have symbols as captions, internal hyphens, and other coding challenges.
- Unofficially, the Publication Patterns Initiative substitutes a period for the hyphen so as to distinguish them from ranges.

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### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, “point” as you go over each. Underline/highlight “a period.”

### **Trainer Notes:**

#### **H. Enumerations with symbols and internal hyphens**

Sometimes the “caption” is not a word but a symbol. One common symbol is the number sign, #. It is allowable as contents of a caption subfield.

NISO standards prescribe the hyphen as a connector between the beginning and the end of a holdings statement expressed as a range.

But hyphens are also found as part of printed enumerations.

We suggest using the period as a substitute for the hyphen. A computer will try to interpret the hyphen as signifying a compressed holdings statement.

Note: This is one of the many cases where a compressed statement could not be given in coded fields, because it would be ambiguous. It would have to be given in textual holdings fields (perhaps with explanatory notes). Ideally, MFHD and NISO would have reserved punctuation such as hyphens to prevent ambiguity.

# Symbols, Hyphens, Coding Challenges



Weekly Intelligence Notes #24-00  
June 17, 2000

51

**Trainee Instructions (Optional: Face-to-face and Online):**

Based on previous discussions and examples, ask for a volunteer to verbally guess what the coding for the 853/863 might be for this issue.

**Trainer Instructions (Optional: Face-to-face):**

Write the trainee's guess of the 853/863 coding on a flipchart.

**Trainer Instructions (Optional: Online):**

Use the left side of the slide and have the trainees write out the coding of the 853/863.

## Symbols, Hyphens, Coding Challenges



Weekly Intelligence Notes #24-00  
June 17, 2000

853 20 \$8 1 \$a # \$i (year) \$j (month) \$k (day)  
\$w w \$x 0107  
863 41 \$8 1.1 \$a 24.00 \$i 2000 \$j 06 \$k 17

52

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, underline/circle #24-00 on the piece.

# Symbols, Hyphens, Coding Challenges



# AFIO

Weekly Intelligence Notes #24-00  
June 17, 2000

853 20 \$8 1 \$a # \$i (year) \$j (month) \$k (day)  
\$w w \$x 0107

863 41 \$8 1.1 \$a 24.00 \$i 2000 \$j 06 \$k 17

May display as: #24.00(2000:June 17)

53

## Alphabetic Enumeration

- Publishers sometimes do not use numbers but letters or other non-Arabic numbering schemes as enumeration
- Use \$z in the 85X field to indicate the numbering scheme is alphabetic or other non-Arabic enumeration
- Use alphabetic or other non-Arabic enumeration in the 86X exactly as it is given on the item

54

### **Trainer Notes:**

#### **I. Alphabetic enumeration**

Another problematic situation in some systems!

Check the MARC21 documentation or the appendices for details on how to code \$z (not explained fully here in the interests of managing time).

## Alphabetic Enumeration

OCEANOGRAPHIC  
RESEARCH MONTHLY

Volume A1, Number 1  
Oct. 1982

Marine Biology

OCEANOGRAPHIC  
RESEARCH MONTHLY

Volume B1, Number 1  
Oct. 1982

Marine Geology and  
Physiography

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### **Trainer Note:**

This is not a common title / part title situation. “Oceanographic Research Monthly” is the bibliographic title; “Marine Biology” and “Marine Geology and Physiography” are section titles that are repeated on subsequent issues and, thus, require a single holdings record.

### **Trainer Instructions (Optional: Face-to-face and Online):**

Another problematic situation in some systems!

If time permits, go to the MARC website

(<http://www.loc.gov/marc/holdings/hd853855.html>), and look up the coding for 85X \$z

### **Trainee Instructions (Optional: Face-to-face and Online):**

Based on previous discussions and examples, ask for a volunteer to verbally guess what the coding for the 853/863 might be for this issue.

### **Trainer Instructions (Optional: Face-to-face):**

Write the trainee’s guess of the 853/863 coding on a flipchart.

### **Trainer Instructions (Optional: Online):**

Use the bottom of the slide and have the trainees write out the coding of the 853/863.

## Alphabetic Enumeration

OCEANOGRAPHIC  
RESEARCH MONTHLY

Volume A1, Number 1  
Oct. 1982

Marine Biology

OCEANOGRAPHIC  
RESEARCH MONTHLY

Volume B1, Number 1  
Oct. 1982

Marine Geology and  
Physiography

853 10 \$8 1 \$a v. \$b no. \$i (year) \$j (month) \$x 10

**\$z dclatn \$o Marine Biology**

853 10 \$8 2 \$a v. \$b no. \$i (year) \$j (month) \$x 10

**\$z dclatn \$o Marine Geology and Physiography**

863 41 \$8 1.1 \$a A1 \$b 1 \$i 1982 \$j 10

863 41 \$8 2.1 \$a B1 \$b 1 \$i 1982 \$j 10

56

### Trainer Notes:

Another problematic situation in some systems!

dclatn decoded: d = combined numbering and lettering

c = upper case

latn= Latin lettering

## Alphabetic Enumeration

OCEANOGRAPHIC  
RESEARCH MONTHLY

Volume A1, Number 1  
Oct. 1982

Marine Biology

OCEANOGRAPHIC  
RESEARCH MONTHLY

Volume B1, Number 1  
Oct. 1982

Marine Geology and  
Physiography

May display as:

v.A1:no.1(1982:Oct.) Marine Biology

v.B1:no.1(1982:Oct.) Marine Geology and  
Physiography

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## Alternative Enumeration

Some kinds of publications have two numeric systems:

- It is not always necessary to record both
- If both systems are important, use the subfields for alternative enumeration, **\$g-h**, and alternate chronology, **\$m**

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### **Trainer Notes:**

#### **J. Alternative enumeration.**

In special cases, as with monographic or other series, and some foreign scholarly or legal publications, there is more than one numeric system at work.

Particularly where there is a broader and a narrower aspect to the publication, both systems may be important.

Subfields \$g and \$h are for alternative enumeration.

Subfield \$m is for a single level of alternative chronology..

## Alternative Enumeration

ANNALS OF  
RELIGIOUS  
HISTORY  
NEW SERIES 33  
OLD SERIES vol. 149

59

**Trainee Instructions (Optional: Face-to-face and Online):**

Based on previous discussions and examples, ask for a volunteer to verbally guess what the coding for the 853/863 might be for this issue.

**Trainer Instructions (Optional: Face-to-face):**

Write the trainee's guess of the 853/863 coding on a flipchart.

**Trainer Instructions (Optional: Online):**

Use the left side of the slide and have the trainees write out the coding of the 853/863.

## Alternative Enumeration

853 20 \$8 1 \$a new ser. **\$g old ser.:v.** \$w a

863 41 \$8 1.1 \$a 33 \$g 149

ANNALS OF  
RELIGIOUS  
HISTORY  
NEW SERIES 33  
OLD SERIES vol. 149

60

### **Trainer Note:**

This example is also another example of the successive series scenario. Note that \$g has the caption for the old series joined to the caption for the new series with a colon (:).

## Alternative Enumeration

853 20 \$8 1 \$a new ser. **\$g old ser.:v.** \$w a

863 41 \$8 1.1 \$a 33 \$g 149

May display as:

new ser.33=old ser.:v.149

ANNALS OF  
RELIGIOUS  
HISTORY  
NEW SERIES 33  
OLD SERIES vol. 149

61

### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, circle the equal sign.

### **Trainer Notes:**

#### **J. Alternative enumeration.**

The NISO display of the two systems together is with an equals sign to show the equivalency. Therefore, it is important that the two numbers cover the same unit of publication.

True alternative numbering is illustrated by an overall series which is divided into chronological series 1, series 2, series 3, etc. Each volume bears its number in both the larger and the smaller series.

Sometimes the alternate enumeration is in another numbering scheme (Roman, etc.). If this is the case, convert all non-Arabic numbering to Arabic numbering.

## Exercise 5

Code the holdings for a title that has both a new series designation and a whole series designation. This series is now complete. Since it was all received years ago, no publication pattern was entered.

853 00 \$8 1 \$a **new ser.:no.** \$g **no.** \$i **(year)**

The volumes have two numbering systems: no. 1 1884 (no. 142 of entire series) to no. 80 1957 (no. 222 of entire series). Code this numbering in compressed format. Write how it should display to the public.

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**Trainer Instruction (Face-to-face and Online):**

See the trainer instructions under Exercise 1 for instructions or suggestions on how to conduct this exercise.

## Exercise 5

853 00 \$8 1 \$a new ser.:no. \$g no.  
\$i (year)

86\_ 4\_ \$8

Display:

63

Answers:

863 40 \$8 1.1 \$a 1-80 \$g 142-222  
\$i 1884-1957

Display:

new ser.:no.1(1884)-80 (1957) =no.142-222

## Summary

- Captions not ending in a period
- Supplements and indexes
- Holdings with dates as enumeration
- Roman numerals
- Holdings with successive series numbering

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**Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, “point” as you go over each.

**Trainer Notes:**

So, now you know how to deal with situations in these areas.... (Continued onto the next slide)

## Summary

- Ordinal numbers
- Captionless enumeration
- Symbols, hyphens, coding challenges
- Alphabetic enumeration
- Alternative enumeration

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### **Trainer Instructions (Face-to-face and Online):**

After going over this list, go back to the flipchart (face-to-face) or the white/text board (online) to discuss problem holdings trainees mentioned but not covered in this session.

### **Trainer Notes:**

At the beginning of this session, someone also mentioned such-and-such is also problematic or he/she doesn't know how to handle it. Here is how....

## Exercise 6: Spanned Chronology

When the chronology includes more than one year or more than one month or one day, use a slash ( / ) to indicate the span.

*Scenario:* You are recording holdings for a quarterly serial that uses the following spans:

Vol. 4, no. 1 (Feb./Apr. 2001)

Vol. 4, no. 2 (May/July 2001)

Vol. 4, no. 3 (Aug./Oct. 2001)

Vol. 4, no. 4 (Nov. 2001/Jan. 2002)

66

### **Trainer Notes:**

#### **K. Spanned Chronology**

Here is a situation we haven't discussed--**Spanned chronology**.

Some systems may have trouble predicting correctly because they do not support the use of slashes in the captions and in the 86X, but the standard allows for the use of this punctuation mark to indicate spanned chronology on the individual item.

In some instances, the system supports spanned months only in certain increments, e.g., Jan.-Mar, Apr.-June, July-Sept., Oct.-Dec.

**Be sure to test your system to determine whether or not it can handle the use of the slash for spanned chronology!**

As a workaround, for a periodical with one of its issues bridging two years, you may be able to predict for the first year, but after the "bridge" issue arrives, you will need to alter the holdings manually by typing in the last year, e.g., 2000/2001.

## Exercise 6: Spanned Chronology

Publication pattern:

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r

**\$i (year) \$j (month)**

**\$w q \$x 02**

**\$y pm02/04,05/07,08/10,11/01**

67

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## Exercise 6: Spanned Chronology

Code the issues as they would be generated by the system.

Code the second indicator of the 86x for uncompressed (itemized holdings).

What could you do to make the last issue display correctly?

86\_ 4\_ \$8

86\_ 4\_ \$8

86\_ 4\_ \$8

86\_ 4\_ \$8

68

Answers:

863 41 \$8 1.1 \$a 4 \$b 1 \$i 2001 \$j 02/04

863 41 \$8 1.2 \$a 4 \$b 2 \$i 2001 \$j 05/07

863 41 \$8 1.3 \$a 4 \$b 3 \$i 2001 \$j 08/10

863 41 \$8 1.4 \$a 4 \$b 4 \$i 2001 \$j 11/01

To alter the 4th statement:

1. Change \$i 2001 to \$i 2001/2002. [Will not look perfect!]
2. Include entire chronology in subfield \$i and use natural language chronology: \$i 2001:Nov./2002:Jan. or \$i 2001/2002 \$j Nov./Jan.

## Discussion: Possible Enhancements for MFHD & Holdings

- Provisions for less common situations
- Clarification of some coding situations
- Better implementations in library systems
- Open discussion within the community on how MFHD and holdings should evolve.
- Other?

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### **Trainer Instructions (Optional: Face-to-face and Online):**

1. If time and interest permit, ask the trainees to suggest any enhancements or changes they would like to see to MFHD. Write down the suggestions on the flipchart (face-to-face) or whiteboard (online) or other appropriate place in your online software.
2. You may want to check the needs assessments that the trainees filled out and submitted to determine other possible enhancements to the two holdings standards or to generate further discussion.

### **Trainer Notes:**

There are provisions for less common situations in the MARC Format for Holdings Data (MFHD).

Some coding situations need clarification in MFHD, and many others need better implementations in our systems.

This is an area where librarians, vendor representatives, standards experts, and system designers must open discussion with each other.

## Exercise 1 Answers

863 41 \$8 1.1 \$a 1 \$b 1 \$i 2002 \$j 23

863 41 \$8 1.2 \$a 1 \$b 2 \$i 2002 \$j 24

863 41 \$8 1.3 \$a 1 \$b 3 \$i 2003 \$j 21

865 41 \$8 1.1 \$a 2002/2003

Note that the link and sequence numbers  
can be reused for base volumes,  
supplements, and indexes.

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## Exercise 2 Answers

863 40 \$8 1.1 \$a 4 \$b 1-3 \$i 2002 \$j 01-03

Display:

ser.3:v.4:release 1(2002:Jan.)-4:3(2002:Mar.)

71

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## Exercise 4 Answers

863 43 \$8 1.1 \$a 20 \$i 2000

863 43 \$8 1.2 \$a 21 \$i 2001

863 43 \$8 1.3 \$a 22 \$i 2002

866 41 \$8 1 \$a 20-22(2000-2002)

Display: 20-22(2000-2002)

Note: Could also be keyed in adjacent  
format

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## Exercise 5 Answers

863 40 \$8 1.1 \$a 1-80 \$g 142-222  
\$i 1884-1957

Display:

new ser.:no.1(1884)-80(1957)=no.142-222

74

## Exercise 6 Answers

863 41 \$8 1.1 \$a 4 \$b 1 \$i 2001 \$j 02/04

863 41 \$8 1.2 \$a 4 \$b 2 \$i 2001 \$j 05/07

863 41 \$8 1.3 \$a 4 \$b 3 \$i 2001 \$j 08/10

863 41 \$8 1.4 \$a 4 \$b 4 \$i 2001 \$j 11/01

To alter the 4th statement:

1. Change \$i 2001 to \$i 2001/2002. [Will not look perfect!]
2. Include entire chronology in subfield \$i and use natural language chronology:  
\$i 2001:Nov./2002:Jan.  
\$i 2001/2002 \$j Nov./Jan.

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# Holdings Session 7

## Trends & Issues in MARC 21 Holdings

- CONSER Publication Patterns Initiative
- Publication history
- Current issues with MARC 21 Holdings

1

### **Trainer Note:**

CONSER Publication Patterns Initiative: a shared pattern archive

Publication history: emergence of the “publication history” concept and “super-record” proposal. What is it? How can we benefit from it?

Current issues: interfaces, relationship to bibliographic data, relationship to item data, etc.

## Holdings Session 7

### Trends & Issues in MARC 21 Holdings

- “Compliance” with MARC 21 Holdings
- Features to look for when shopping for a system
- MARC 21 holdings format problems & changes
- Other?

2

#### **Trainee Instructions (Face-to-face and Online):**

Ask the trainees if they have noticed other trends, or if they have other issues with MARC holdings that are not on the list.

#### **Trainer Instructions (Face-to-face and Online):**

Write out any trainee suggestions on the flipchart (face-to-face) or your software’s whiteboard (online) for further discussion.

## The CONSER Publication Patterns Initiative

- Pattern and holdings archive
- Benefits
- Project experiment
- Other activities
- Participation

3

### **Trainee Instructions (Face-to-face and Online):**

Ask trainees to share with class verbally (face-to-face) or via chat/text (online) about their own libraries' process of pattern creation and sources of pattern data.

### **Trainer Instructions (Face-to-face and Online):**

After trainees provide input, comment on the idea of having the current pattern available along with the bibliographic record and the use libraries could make of this information.

### **Trainer Note:**

- A. The Pattern Archive Idea and its Benefits (i.e., Why is a pattern and holdings archive desirable)
- B. The CONSER Publication Patterns and Holdings Project
  1. The Plan
  2. The Benefits (goals)
  3. The Experiment (i.e., What is the project experiment?)
  4. Beyond the Experiment (i.e., What other activities does the Project have?)
- C. Contact Information and Documentation (i.e., How do libraries join and participate?)

### References

The trainer may wish to review the description of the Project on the CONSER web site, <http://www.loc.gov/acq/conser/pathhold.html>, particularly the "Frequently Asked Questions" and "Guidelines for Input."

## The Pattern Archive Idea

- Automated check-in and the MARC standard inspired libraries to call for an archive of publication patterns for libraries to share.
- CONSER task force in early 90's tried to establish such an archive. Though the attempt failed, the benefits remained clear.

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### **Trainer Note:**

#### The Pattern Archive Idea and its Benefits

Automated check-in starts with a *publication pattern*, which resides in the online serials control system and is used to predict the arrival of the next issue and what that issue's numbering will be.

Especially with the standardization provided by the MARC Format for Holdings, automated check-in brought the possibility of sharing patterns among libraries, which otherwise would have to create each pattern separately. Several articles explored the possibilities but also raised questions:

- Who would provide the data?
- Who would manage it?
- How would it be funded?
- How would standards and quality control work?
- How would wide access be preserved?
- Just Patterns? Or Pieces Published, too?

In fact, a CONSER project was launched in the early 90s to establish an archive of patterns only, not tied to specific journal titles. The main reason this limited project lapsed was the still sparse use of the USMARC Format for Holdings Data. However, the benefits of sharing patterns remained clear to libraries seeking to automate their serials management processes.

## Benefits for Libraries

### Patterns:

- Create once, use multiple times
- Communicate seamlessly between systems
- Enable prediction locally
- Enable accurate pattern for display
- Enable compression/expansion of holdings

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### **Trainer Note:**

The benefits applied to both patterns and holdings.

For patterns, once acquired, the library has an accurate pattern for display and compression/expansion of the OPAC holding.

## Benefits for Libraries

### Holdings:

- Determine what has been published
- Pinpoint when pattern began
- Ensure coordination of changes in pattern and holdings

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### **Trainer Note:**

The benefits applied to both **patterns** and **holdings**.

For **holdings**, libraries have most need for the data on first issue.

## Benefits for Serials Community

- Make data compatible across all systems
- Division of labor of pattern creation
- Widest possible access to information

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**Trainer Note:**

These became the goals of the new CONSER project.

## Project Experiment

- Give libraries practice using MFHD
- Improve MFHD
- Discuss and promote better system implementations of MFHD
- Document and test MFHD

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### **Trainer Note:**

The current rapid spread of the MARC Format for Holdings Data in libraries and library systems gave the Task Force the opportunity to adopt it as the Project standard:

To give libraries practice in using the format

To help improve the format

To discuss and promote better implementations in systems

To provide libraries with documentation and full understanding of the MARC Holdings format, thus ensuring fuller use and testing of existing functionality.

## Project Experiment

- MARC-based holdings are embedded in bibliographic records
- OCLC, which hosts the CONSER database, defines field 891 for embedding MFHD holdings fields
- Documentation is on the CONSER website

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### **Trainer Note:**

CONSER in 1999 undertook a new project to add both patterns and holdings to the CONSER database. One of the options for holdings fields, in the Format, is to embed them inside bibliographic records--and that is the mode in the new Project.

The CONSER database is hosted by OCLC; so early on, OCLC was asked to be a participant in the Task Force. Other participants included interested librarians, representatives of library systems, serials jobbers, bibliographic utilities, and standards committees. Though OCLC was already using the regular holdings fields for another purpose, they offered to define a new local field 891 for embedding regular holdings fields. Use of OCLC had other benefits:

It was a widely used database for sharing.

With minimal programming, a system could achieve automated transfer of data between a local database and the utility, and back again.

Historically, WorldCat's limited record size was a constraint on adding full holdings, so the project was limited to current serials only. The space limitation changed in 2005 but the CONSER documentation still states to add 891 fields to current serials only.

**The Experiment:** The kernel of the Publication Patterns and Holdings Project was the CONSER Experiment. Documentation was written and posted to the CONSER web site, including a FAQ and editing guidelines for the project. A small, but growing, number of participating libraries began to enter data into actual records on June 1, 2000.

## The CONSER Experiment

- Libraries replace records in WorldCat to add pairs of 891 fields
  - Field 1--captions and pattern (i.e., the parts and how they are issued)
  - Field 2--enumeration and chronology data for the first issue in that pattern
- Data available for cut & paste or other ways of importing into local systems

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### **Trainer Instructions (Face-to-face and Online):**

Using the appropriate tool, underline or highlight “captions and pattern” and “enumeration and chronology.”

If time permits, ask the trainees if their library is currently using this data, and if so, how it is using the data.

### **Trainer Note:**

#### **The Experiment**

The libraries in the project use CONSER Enhance authorizations to add data to WorldCat records. This data consists of paired fields both tagged 891:

- Field 1 contains the *captions and pattern* (i.e., the parts and how they are issued)
- Field 2 contains the *enumeration and chronology* data for the first issue in that pattern

When other libraries use the record, the holdings pattern and first issue data are available for import into a local system.

## The First Pattern Entered!

*Heart failure reviews* (OCLC #35601086)

891 30 **\$9 853** \$8 1 \$a v. \$b no. \$u 4 \$v r

\$i (year) \$j (month) \$w q \$x 03

891 41 **\$9 863** \$8 1.1 \$a <5> \$b <1>

\$i <2000> \$j <03>

Input by: University of Cincinnati Health Sciences Libraries

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### **Trainer Note:**

This is a picture of the first pair of 891 fields added to a record; note the record title (*Heart failure reviews*) and the WorldCat accession number. This record was edited by the University of Cincinnati Health Sciences Libraries.

As we have learned, 891 fields are input to carry the data. The first 891 fields carry the captions and pattern; the second carry the enumeration and chronology of the first issue available. The user's lack of certainty that the issue given was really the first issue in the pattern is indicated in the usual CONSER manner, by the use of angle brackets.

The first indicator for 891/853 was mistakenly entered as 3. It should have been 2.

Follow-up note: VTLS, Innovative, and ExLibris have been able to import this holdings data from OCLC into their MFHD-based serials control systems.

Innovative Interfaces has a loader for the data.

### **Trainee Instruction (Face-to-face and Online):**

Have the trainees refresh their memories here by having them explicate the pattern, which is a very simple quarterly beginning in March of the year.

## How OCLC Members Participate

- Most use a Connexion macro designed by Robert Bremer (OCLC) which creates 891 fields from the data in the bib. record
- May use cut and paste from local systems

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### **Trainer Note:**

The Library of Congress is one of the participants in the Experiment. It enters publication patterns and holdings in two ways, by:

- Manual coding directly into the tagged fields
- Automated transfer of data from the Library's Voyager system

Other participants use various methods of entering the data. The macro "Generate891" provided by OCLC has been rewritten for the Connexion system. Please note that due to the implementation of the CONSER Standard Record, the macro may not work as desired.

Cutting and pasting from MARC holdings in your own or another local system also works.

One of the earliest libraries to use the MARC Format for Holdings was Harvard University. Their database of 120,000 patterns in MFHD was used selectively to "seed" the OCLC serials database with over 40,000 current patterns. All of their patterns end with the word <provisional> in angle brackets.

Since the implementation of the CONSER standard record, Robert Bremer's is not as effective (it requires more manual editing).

## Task Force Activity Beyond the CONSER Initiative

- Ongoing discussion (e.g., NASIG and ALA)
- SCCTP holdings workshops
- Participation of:
  - OCLC
  - potential data providers such as serials subscription agents
  - major library system vendors

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### **Trainer Note:**

Several other tasks were carried out with the object of:

- Making the Format complete, accurate, and programmable;
- Improving Format documentation, implementation, and evaluation

Along with librarians, ongoing discussion is being carried out with the participation of:

- OCLC
- Potential data providers, such as Publication Access Management Services (PAMS) and serials subscription agents;
- Most of the major library system vendors.

OCLC has adopted MFHD. At some time, the patterns embedded in the 891 *may* become part of a new, independent but linked holdings system. The final form of OCLC's new holdings system, and how the patterns will be permanently stored, is not yet clear. OCLC is currently investigating all options, while going ahead with its Local Holdings system as rapidly as possible.

The major system vendors do support the holdings format to a considerable degree. This is very promising for the future.

## Documentation on the CONSER Web Site

- *Publication Pattern Initiative: Frequently Asked Questions*
- *Guidelines for Input of Captions/Patterns and Holdings Data*
- Pattern guide tables, examples, sample records, etc.

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

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### **Trainer Note:**

Documentation for the Project is on the CONSER Web Site includes the resources listed on the slide as well as several other features we'll talk about shortly.

## How to Participate?

Contact to apply or ask questions:

CONSER Coordinator

**Les Hawkins**

[lhaw@loc.gov](mailto:lhaw@loc.gov)

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**Trainer Note:**

Any library interested in participating in the project or wanting to find out more about it, is invited to contact Les Hawkins, the CONSER Coordinator, at the Library of Congress.

## Publication Pattern History

- Some MFHD data elements are universal in nature (i.e. the same from library to library)
- Captions, patterns, and actual issue data of publications as they come from the publisher are “universal holdings”

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**Trainer Note:**

“Publication History” is a still-emerging concept, an outgrowth of CONSER’s publication patterns and holdings experiment.

## Publication Pattern History

- A CONSER task force also wanted to consider the possible use of this data to make holdings data easier to share and more intelligible in all the arenas where it is found
- The concept was renamed from “universal holdings” to “publication pattern history”

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## Publication Pattern History and the Super-Record Proposal

- Creating a “serials super-record” at the “work level” of a serial
- Linked to all successive titles and their publication pattern histories

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## Publication Pattern History and the Super-Record Proposal

- Linked to each format and their publication pattern histories
- Generating a FRBR-like, flexible, unified display

[http://www.lib.unc.edu/cat/mfh/serials\\_approach\\_frbr.pdf](http://www.lib.unc.edu/cat/mfh/serials_approach_frbr.pdf)

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### **Trainer Note:**

The super-record is a way to achieve the elusive benefits of FRBR in the world of serials, which is now fragmented not only by formats and packages of content, but by our successive entry cataloging conventions. Programming would create a kind of tree structure to bring the different titles together in a combined display, with the holdings for all successive titles in a unified display.

## Current Issues with MFHD

How many holdings records (i.e. one, multiple, or other) does your library have for the following scenarios:

1. Multiple copies
2. Multiple versions or formats

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### **Trainer Instructions (Optional, if time permits: Face-to-face and Online):**

(Face-to-face) Verbally ask the following questions and discuss the results with the class.

(Online) If your online software has the capability, create an multiple-choice survey for a poll with the following questions and discuss the results with the class:

- How many holdings records does your library create for multiple copies of an item?  
a) 1 b) multiple c) Other d) I don't know.
- How many holdings records doe your library create for multiple versions/formats of a title? a) 1 b) multiple c) Other d) I don't know.

Another option is to post the questions on a flipchart (face-to-face) or another slide (online) and ask trainees to signal/"raise hands" as each choice is presented.

### **Trainer Note:**

Though one holdings record per copy or format is the norm, there are two exceptions:

1. If all the other elements (e.g., location, call number), are the same, copies may be recorded together, using the copy subfield 86X \$t.
2. If making an institutional report, it may be desirable to combine all holdings.  
(Distinguishing the formats is probably still desirable. e.g. union lists; short reports to be inserted in local finding aids or commercial indexing services)

If the library has multiple versions or formats of the item, should it create one holdings record (for all versions), or multiple holdings records for each version (one per format)?

Possible discussion points:

- What would a composite (multi-copy) report look like?  
(and, particularly if there are technical folk in the audience):
- Could one be generated from separate holdings records?

## Current Issues with MFHD

Electronic Resources (e-journals, e-books, etc.).

Should the library create a holdings record for:

- All electronic items? Or just some?
- Locally-stored electronic items?
- Some other variation?

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### **Trainer Instructions (Optional: Face-to-face and Online):**

(Face-to-face) Verbally ask the following questions and discuss the results with the class.

(Online) If your online software has the capability, create an multiple-choice survey for a poll with the following questions and discuss the results with the class:

- Does your library create holdings for electronic items?  
a) all b) some c) none d) other e) I don't know

Another option is to post the questions on a flipchart (face-to-face) or another slide (online) and ask trainees to signal/"raise hands" as each choice is presented.

### **Trainee Instructions (Face-to-face and Online):**

Ask the trainees to explain in more detail their answers and discuss with the rest of the class.

### **Trainer Note:**

Some libraries are not creating holdings records for electronic items at all. Instead, the information is recorded in their ERM (Electronic Resources Management) module. Another option is that libraries sometimes create holdings for fulltext journals only but not for accompanying materials.

## What Is “Compliance” with MARC 21 Holdings Format?

For a current, working definition of compliance, see:

[www.loc.gov/acq/conser/  
patthold-MHLDdefinition.html](http://www.loc.gov/acq/conser/patthold-MHLDdefinition.html)

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### **Trainer Note:**

Libraries seek to purchase systems that are fully compliant with MFHD, but what is compliance?

This is not a formal or absolute definition of compliance. It is, however, an excellent starting point for a discussion between libraries and system vendors as to how well or how completely a particular system has implemented the MFHD standard.

## Features to Look for When Shopping for a System

- Provide for all MFHD elements
- Import / export MFHD records
- Display MFHD codes on command or by default
- Sequence fields correctly for public display

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### **Trainer Note:**

These are specific questions a library can ask a vendor when trying to determine how well or how fully the vendor's system has implemented the MFHD. Again, this is just a starting point to a more detailed discussion.

## Features to Look for When Shopping for a System

- Enable user-composed macros
- Make data available to all processing
- Predict future issues
- Generate summary holdings
- Have extra functionality, e.g. reorder fields

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### **Trainee Instructions (Optional: Face-to-face and Online):**

As time and resources permit, ask the trainees what other features would or should libraries add to this list? Have the trainees talk about their desired features.

### **Trainer Instructions (Optional: Face-to-face and Online):**

Build a list of desired additional features on the flipchart (face-to-face) or in your software's whiteboard (online).

## MARC 21 Holdings Format Problems & Changes

- Standard does not yet account for all types of serial frequencies or patterns of publication.
- As a pattern or frequency is identified, MARBI makes additions or modifications to the MFHD.

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### **Trainer Note:**

Again, the MFHD is a currently evolving standard that doesn't yet cover all types of serial frequencies or patterns of publication.

As a pattern or frequency is identified, the library community adds to or modifies the MARC 21 Holdings format to account for it an enable prediction.

### **Trainee Instructions (Optional: Face-to-face and Online):**

Ask the trainees about their most urgent problems with input of data: What isn't working well? Others trainees may be able to provide a solution.

### **Trainer Instructions (Optional: Face-to-face and Online):**

As time and resources permit, add trainees list of problems to the flipchart (face-to-face) or whiteboard (online).

Alternatively, you could point out the MARC Format help on <http://www.loc.gov/acq/conser/patthold-PATTERNSvtls.html> and <http://www.loc.gov/acq/conser/patthold-853-examples.html>, provided by John Espley of VTLS to the Publication Patterns Initiative.

## Workshop Discussion

What else would you like to discuss about holdings records that we have not yet covered?

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### **Trainee Instructions (Face-to-face and Online):**

Ask trainees if they are aware of and/or would like to discuss any other holdings-related trend or issue.

### **Trainer Instructions (Face-to-face and Online):**

Use a flipchart (face-to-face) or white/text board (online) to record what issues the trainees may bring up. One possible topic is the 876-878 fields for Item Records.

## Summary

- Automated check-in would be greatly facilitated if libraries could share publication patterns and holdings data.
- Beyond the Experiment, CONSER has set up groups to assess the MFHD, its documentation, and the needs of its users for both functionality and data.

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## Summary

- The MFHD is actively changing to account for more functions, more patterns of publication, and wider implementations.

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### **Trainer Instructions (Face-to-face):**

Mention the workshop evaluation in their packet and ask them to fill it out and turn it in.

### **Trainer Instructions (Online):**

Post the link to the workshop evaluation.

### **Trainee Instructions (Face-to-face and Online):**

Ask trainees if they have any questions.

Tell trainees what'll take place afterwards, e.g., take the workshop evaluations, receive workshop completion certificate, etc.

If desired, ask trainees to keep in touch if they have questions.





**852 Location****1st indicator Shelving scheme** [Classification system, etc.]**[blank]** No information provided**0** LC**1** DDC**2** NLM**3** SuDocs**4** Shelving control no.**5** Title**6** Shelved separately**7** Source specified in subfield \$2 below**8** Other scheme**2nd indicator Shelving order** [for serials and multipart items]**[blank]** No information**0** Not by enumeration**1** Primary enumeration**2** Secondary enumeration

<b>\$8</b>	<b>Link and sequence number</b> —for sequencing multiple holdings records	<b>\$l</b>	<b>Shelving title</b>
<b>\$a</b>	<b>Holding institution or library</b>	<b>\$m</b>	<b>Call number suffix</b> [Ex.: 'Vault']
<b>\$b</b>	<b>Sublocation or collection</b>	<b>\$p</b>	<b>Piece designation</b> [barcode]
<b>\$c</b>	<b>Shelving location</b>	<b>\$q</b>	<b>Piece physical condition</b>
<b>\$h</b>	<b>Call number, classification part</b>	<b>\$x</b>	<b>Nonpublic note</b>
<b>\$i</b>	<b>Call number, item part</b>	<b>\$z</b>	<b>Public note</b>
<b>\$k</b>	<b>Call number prefix</b> [Ex.: 'Ref']	<b>\$2</b>	<b>Source of scheme</b> indicated by first indicator 7

**853 Captions and pattern for basic volumes; 854 Captions and pattern for supplements***\*Note: occurs in pairs with 863 and 864***1st indicator Compressibility and expandability****0** Cannot compress or expand**1** Can compress but not expand**2** Can compress or expand**3** Unknown--(default)

[i.e., enough information is present in captions & pattern to enable manipulation by computer algorithm: pattern subfields \$u-v for each level below first to be compressed] plus \$w,x,y as appropriate

**2nd indicator Caption evaluation****0** Verified, all levels present**1** Verified, may not have all levels present**2** Unverified, all levels present**3** Unverified, may not have all levels present**855 Captions and pattern for indexes***\*Note: occurs in pairs with 865***Both indicators blank** [index holding statement cannot be compressed/expanded by computer]**Subfields of 853, 854, 855:****\$8 Link no.** [for sequencing of piece holdings; changes in caption and pattern may require new link numbers. Combined with a sequence number in 86X fields.]**\$a First level of enumeration** [such as v., t., ser., etc.]

[If value is in ( ) parentheses, it does not display]

**\$b Second level of enumeration****\$c Third level of enumeration****\$d Fourth level of enumeration** [may rarely have \$e and \$f for a total of six levels]

[Following each level of enumeration lower than the first, elements of pattern, \$u and \$v, may be used, which enable prediction of receipt and compression or expansion:]

**\$u Number of units per next higher level** [e.g., number of \$b received before \$a increments; if varied or undetermined, use var or und ]

**\$v Numbering continuity** [c increments continuously; r restarts at completion of unit]

**\$g Alternative numeration, first level** [Secondary numbering scheme]

**\$h Alternative numeration, second level**

**\$i First level of chronology** [usually (year)]

**\$j Second level of chronology** [such as (month) or (season)]

**\$k Third level of chronology** [such as (day)] [Rarely, a fourth level will be given in \$l]

**\$m Alternative numbering scheme, chronology**

**\$n Pattern note** designates issue on which statement is based

**\$p - Number of pieces per issuance**

**\$t Copy number caption**

**\$o Type of supplement or index** [854, 855; immediately follows caption to which it refers]

[Elements of pattern that apply to the whole serial]

**\$w Frequency** [identical to codes for Frequency element in the bib record, or # of units if no frequency applies; x if completely irregular] [See Page Following This Handbook]

**\$x Calendar change** [point of calendar at which numbering at the highest level increments; two or four digits—two if month or season, four if month/day. Repeatable for multiple volumes within a year]

**\$y Regularity pattern** [in three parts]:

1. **Publication code** (1 char pos) **o** (omitted) or **p** (published)

2. **Chronology code definition** (1 char pos) **d**(day), **m**(month), **s**(season), **w**(week)

3. **Chronology code** *See Page Following This Handbook*

4. **Enumeration code** (3 char. pos.: Pos. 1 :c(combined) ; Pos. 2 :e (enumeration);

Pos.2:1,2,3(etc.)) [Pos. 3 is a number designating level of enumeration of regularly combined issues]

**\$z Numbering scheme** (6 char. pos.)

1. **Type of designation** (on single level of numbering

**a** numeric **b** alphabetic **c** combined, number first **d** combined, letter first **e** symbol or special character

2. **Case**

**a** no case **b** lower case **c** upper case **d** mixed case

3. **Script code/Type code** [4-character code from list at: <http://www.unicode.org/iso15924/iso15924-codes.html>]

**\$3 Materials specified** [i.e., the range of volumes to which the field applies]

**856 Electronic Location and Access** [Data necessary to access an electronic resource. Identical to field as found in bibliographic records]

**863, 864, 865 Enumeration & chronology of basic volumes, supplements, and indexes**

**1st indicator Field encoding level.**

[blank] No information--default

**3 Holdings level 3** [i.e., "incomplete" or open entry at the first level of enumeration only]

**4 Holdings level 4** [unit (e.g., volume), or all units within range, complete as given]

**5 Holdings level 5** [Level 4 plus barcodes]

**2nd indicator Form of holdings**

[blank] No information provided

**0 Compressed** [i.e., expressed as a range] [0 and 2 cannot be used with indexes, 865]

[Computers can not compress or expand index holdings statements unambiguously.

Give compressed index data in Textual holdings field 868]

**1 Uncompressed** [i.e., one physical (holdings) unit]

**2 Compressed; use textual display** [instructs computer to suppress display of holdings statement in favor of a textual holdings field (866-868) with the same linking no.]

**3 Uncompressed; use textual display** [one unit; display to be suppressed as above]

**4 Items not published** [cannot be used with indexes, 865]

**Subfields of 863, 864, 865**

**\$8 Link & sequence number** [1.1, 1.2, 1.3, etc.; linking number may be a higher number if units being coded are not the first published in the title]

**\$a First level of enumeration** [to go with caption in 853 \$a ]

**\$b Second level of enumeration** [to go with caption in 853 \$b ] [etc. through \$f]

**\$g First level of alternative enumeration** [Secondary numbering scheme]

**\$h Second level of alternative enumeration**

**\$i First level of chronology** [to go with caption in 853 \$i]

**\$j Second level of chronology** [to go with caption in 863 \$j ] [etc. through \$k]

[Months and seasons may be in natural language, or represented by numeric codes: 1-12; 21-24.]

**\$m Alternative numbering scheme, chronology**

[There need not be a lower level of enum/chronology to match each particular caption in the 85X fields.]

**\$t Copy number**

**\$o Title of supplement or index** [if different from the Type of ... specified in 854 & 855]

**\$w Break indicator** [g gap, n nongap, i.e., due to unpublished or misnumbered parts]

**\$x Nonpublic note**

**\$z Public note**

**866-868 Textual holdings [Free text]**

[these display alone, in addition to, or instead of, coded enumeration and chronology. May also display non-holdings data, e.g., notes; for basic bibliographic units, supplements, indexes]

**First indicator**

**[blank]** No information provided

**3 Holdings level 3** [i.e., bib. units may be incomplete or given as open entry at the first level of enumeration only]

**4 Holdings level 4** [unit (e.g., volume), or all units within range, complete as given]

**5 Holdings level 5** [Level 4 plus barcodes]

**Second indicator**

**0 Non-standard** [not formulated according to standard; or not holdings]

**1 ANSI Z39.71** [formerly Z39.44 or Z39.57]

**2 ANSI Z39.42** [earlier serial summary holdings display standard, minus captions and allowing open entry; no guarantee of completeness of units]

**7 Source specified in subfield 2**

**Subfields of 866-868**

**\$8 Link and sequence number** [determined by the following conditions]

**Link no. 0** [used when 866 carries the only holdings, or only holdings intended for display. All 863-865 second indicators should be coded 2 or 3 (non-displaying)]

**Link no. duplicates link no. of 853-855 and 863-865 fields** [used when textual holding should replace 86X field(s) for display. Related 86X fields have second indicators 2 or 3. The link numbers to be replaced may be repeated in single textual holdings field or given in separate fields]

**Link no. is unique and [in sequence with] 863-865 fields** [display is generated from all fields]

**\$a Textual holdings**

**\$x Nonpublic note**

**\$z Public note**

**876-878 Item Information** [Management data, including relatively permanent changes in status]

**[Both indicators blank]**

**Subfields of 876-878**

**\$8 Link and sequence number**

[duplicates nos. of related 863-865]

**\$a Internal item number**

**\$b Cancelled/invalid internal item no.**

**\$c Cost**

**\$d Date acquired**

**\$e Source of acquisition**

**\$h Use restrictions**

**\$j Permanent item status**

**\$l Temporary location** [e.g., Reserve]

<b>\$p Piece designation</b> [barcode]	<b>\$2 Source of notation</b>
<b>\$ Canceled/invalid piece designation</b>	<b>\$3 Materials specified</b> [used when specifying only a portion of range referred to, or when linking to Textual Holdings field]
<b>\$t Copy number</b>	
<b>\$x Nonpublic note</b>	
<b>\$z Public note</b>	

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## From: CONSER Patterns and Holdings Project Guidelines

### 853-855 \$w - Frequency (NR)

A one-character alphabetic code or a number that indicates the publication frequency of the item. Subfield \$w is not related to a specific caption. It is input following the last chronology caption used. Specific publishing pattern information is contained in subfield \$y (Regularity).

- Codes
  - Codes used for frequencies that have a fundamental periodicity.
  - a - Annual
  - b - Bimonthly
  - c - Semiweekly
  - d - Daily
  - e - Biweekly
  - f - Semiannual
  - g - Biennial
  - h - Triennial
  - i - Three times a week
  - j - Three times a month
  - m - Monthly
  - q - Quarterly
  - s - Semimonthly
  - t - Three times a year
  - w - Weekly
  - x - Completely irregular
- Number
  - A number is used to specify the issues per year when no codable periodicity exists. Because subfield \$w is variable in length, no leading zero is used for a single-character number.

### 5.2.9. Subfield \$y - Regularity pattern:

A regularity pattern subfield is needed only for serials whose periodicity varies from the normal pattern for the frequency by regular omissions or combined numbers. This subfield is composed of codes which are in three parts:

*a publication code:*

**c** combined  
**p** published  
**o** omitted

*a chronology code definition:*

**d** day  
**m** month  
**s** season  
**w** week

*a chronology code:*

**Table I. Chronology Codes**

Chronology Code Definitions	Pattern	Chronology Code	Meaning
<b>d</b>	dd	su	Sunday
<b>m</b>	MM	09	Sept.
<b>d</b>	MMDD	0925	Sept. 25
<b>s</b>	SS	22	Summer
<b>w</b>	wwdd	03we	3rd Wed. of month
<b>w</b>	MMWWdd	0599tu	last Tue. in May
<b>w</b>	MMwwdd	0802we	2nd Wed. in Aug.

**Table 2. Chronology Pattern Definitions**

Pattern	Code Type	Alpha/numeric	Possible values
dd	day	alpha	mo-su
DD	day	numeric	01-31
ww	week	numeric	01-53
WW	week	numeric	99, 98, 97, 00, 01, 02, 03, 04, 05
MM	week	numeric	01-12
SS	season	numeric	21,22, 23, 24

**Table 3. Specific Value Definitions for Chronology**

Day of Week	Week	Month
<b>mo</b> – Monday	<b>01-53</b>	<b>01-12</b>
<b>tu</b> - Tuesday		
<b>we</b> - Wednesday		
<b>th</b> - Thursday		
<b>fr</b> - Friday		
<b>sa</b> - Saturday		
<b>su</b> - Sunday		
<b>Week of Month</b>	<b>Season</b>	<b>Day of Month</b>
99 – Last	21 – Spring	01-31
98 - Next to Last	22 - Summer	
97 - Third to Last	23 - Autumn	
99 – Last	24 - Winter	
00 – Every		
01 - First		
02 - Second		
03 - Third		
04 - Fourth		
05 - Fifth		

The enumeration type code is structured as <Publication Code><Enumeration Code Definition><Enumeration Code>,< Enumeration Code>

The enumeration code definition indicates whether the subsequent codes represent enumeration rather than chronology. When code "e" is used, an additional numeric code is added to indicate the level of enumeration to which the regularity applies:

e1 enumeration, first level  
e2 enumeration, second level

The enumeration code indicates the designation of the issues of the item for which regularity pattern information is provided. Multiple designations are separated by a comma. A slash (/) is used to designate a combined issue.

Note that enumerative values for titles which have continuous numbering (subfield \$v, code c) must be entered in terms of the number of issues expected to be published to allow issue prediction to occur.

Conventions:

Two-character alphabetic or numeric codes are used for days, weeks, months, and/or seasons. A code of less than two digits is right justified and the unused position contains a zero. Multiple codes are separated by a comma. A slash (/) is used to designate combined issues. Values can be repeated, if multiple issues are to be received within the same defined time period.

The Regularity pattern codes are controlled by an authoritative list maintained at the Library of Congress. Guidelines for their use can be found at: [http://lcweb.loc.gov/marc/chrono\\_patterns.html](http://lcweb.loc.gov/marc/chrono_patterns.html). Questions on coding patterns or establishing new ones may be addressed by contacting the Network Development and MARC Standards Office ([marc@loc.gov](mailto:marc@loc.gov)) or the CONSER Pattern Holdings Task Force ([CONSERHOLD-L@cornell.edu](mailto:CONSERHOLD-L@cornell.edu)).

# SCCTP Serials Holdings Workshop

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## Appendix 2: Pre-Workshop Exercises

Please print out the following exercises and complete as many of as you can. The purpose of these exercises is to help you determine what areas you may want to pay particular attention to during the workshop.

Bring the completed exercises and any questions you may have with you to the workshop to facilitate discussion about the examples during the scheduled sessions.

Please also note that information used in these exercises may have been altered to illustrate various points of practice.

---

1)

Cover:

### **Today's Education**

The Journal of the National Education Association

Contents page:

The Annual of the National Education Association  
1982-83                      Volume 71, Number 3

### **Today's Education**

Verso of contents page:

Published once a year by ...  
(ISSN) 0271-3573

Your library has a subscription to this title starting with this issue. Your library has retained all issues. List the information about your holdings you would expect to enter into a holdings record.

---

---

---

---

2) List as many library functions that you can think of that are affected by having holdings recorded in your library system.

---

---

---

---

3) The following title is issued annually.

CD-ROM label: **Who's Who in Canadian Business**  
17th Edition 1997

ISSN 1209-8299

What is the caption for this issue? \_\_\_\_\_

What is the abbreviation for the caption? \_\_\_\_\_

What is the enumeration for this issue? \_\_\_\_\_

What is the publishing frequency for this title? \_\_\_\_\_

4)

Title page: **Trends in  
Cognitive  
Sciences**

REFERENCE EDITION

Volume 1

1997

Elsevier Science

Your library only retains the latest 2 years of this title. How do you communicate that information to your users?

\_\_\_\_\_

Would you expect the holdings record to contain that information for you? Yes No

5)

Title 1: **Marriage and divorce statistics**  
New issue: **Marriage, divorce and adoption statistics**

When a serial title changes is a new holdings record required? Circle one: Yes No

Why? \_\_\_\_\_

6)

Title 1:           **Architectural Review**  
                           Volume 17, April 1910

New issue:       **Architectural Review**  
                           New Series, Volume 1, January 1912

Would the appearance of different captions require a new holdings record? Circle one: Yes No

Why? \_\_\_\_\_

7)

Title 1:           **Australian Review of Fiction**  
                           Volume 1, number 1 Spring 1957

Your library has scattered holdings for this title. Some of the back volumes are retained on microfilm and others are bound volumes. Your library has just started to receive issues after a 3 year gap. You are about to add all the holdings for this title into your automated system for the first time.

At what level or levels would your holdings be entered? I.e., would you want either summary (range) or itemized (piece by piece) holdings here? \_\_\_\_\_

Why? \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_



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## Appendix 2: Pre-Workshop Exercise Answers

### SCCTP Serials Holdings Workshop

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1)

Cover: **Today's Education**  
The Journal of the National Education Association

Contents page: The Annual of the National Education Association  
1982-83                      Volume 71, Number 3

### **Today's Education**

Verso of contents page: Published once a year by ...  
(ISSN) 0271-3573

Your library has a subscription to this title starting with this issue. Your library has retained all issues. List the information about your holdings you would expect to enter into a holdings record.

Location	Call number	Issues held	Issue numbers	Receipt status	Physical format
----------	-------------	-------------	---------------	----------------	-----------------

2) List as many library functions that you can think of that are affected by having holdings recorded in your library system.

Serials check-in	Labels	OPAC		
Circulation	ILL	Bindery	Reports	

3) The following title is issued annually.

CD-ROM label: **Who's Who in Canadian Business**  
17th Edition 1997

ISSN 1209-8299

What is the caption for this issue? Edition

What is the abbreviation for the caption? ed.

What is the enumeration for this issue? 17th

What is the publishing frequency for this title? annual

4)

Title page: **Trends in  
Cognitive  
Sciences**

REFERENCE EDITION  
Volume 1  
1997  
Elsevier Science

Your library only retains the latest 2 years of this title. How do you communicate that information to your users?

In a note that appears on the bibliographic record in our online catalog

Would you expect the holdings record to contain that information for you? Yes

5)

Title 1: **Marriage and divorce statistics**  
New issue: **Marriage, divorce and adoption statistics**

When a serial title changes is a new holdings record required? Circle one: Yes

Why? Because when a title changes a new bibliographic record is created and the holdings for each title are linked to the bibliographic record.

6)

Title 1: **Architectural Review**  
Volume 17, April 1910  
New issue: **Architectural Review**  
New Series, Volume 1, January 1912

Would the appearance of different captions require a new holdings record? Circle one: No

Why? Because the holdings are still attached to the same title and there is a way in the holdings record to note the new caption.

7)

Title 1:                   **Australian Review of Fiction**  
Volume 1, number 1   Spring 1957

Your library has scattered holdings for this title. Some of the back volumes are retained on microfilm and others are bound volumes. Your library has just started to receive issues after a 3 year gap. You are about to all the holdings for this title into your automated system for the first time.

At what level or levels would your holdings be entered? (Probably) summary and detailed

---

Why? Detailed holdings result from the check-in process. Once issues are checked in, it is up to the individual library how to handle data in the OPAC. Holdings are usually at least partially summarized, to the volume level; in many catalogs they are further summarized to the level of a range. The library will base its decision on what the holdings are needed for: a quick look, management of individual pieces, or detailed reports to union lists, for example.

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## Appendix 3: Post-Workshop Exercises

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Note: The answers to these exercises are available from: [http://www.loc.gov/acq/conser/sctcp/post\\_ans-Hold.html](http://www.loc.gov/acq/conser/sctcp/post_ans-Hold.html)

---

### Post-Workshop Exercises

#### Contents

1. Standards and Holdings
2. Libraries and Standards
3. Coding Records

#### 1. Standards and Holdings

List the standards that are used by libraries for entering and recording holdings.

#### 2. Libraries and Standards

List as many library system functions as you can that are affected by the holdings format.

List as many reasons as you can why libraries should use the standards.

#### 3. Coding Records

Code the following examples.

##### Example 1

Cover:



Your library has holdings from volume 1 number 1, January 1989. The title is classified using the LC call number: GV561 .S761 and is bound through Volume 11. Summarize the volume holdings in a textual field, but itemize the issue information.



v.1 1979 (no.1-4) Jan, Apr, Jun, Sep v.2 1980 “ v.3 1981 no. 3 v.4 1982 v.5 1983 v.6 1984 + Suppl. 1984 v.7 1985 1986 (no.1-4) Spr, Sum, Fall, Winter	1987 “ 1988 no. 2-3 1989 + Index 1979-1988 1990 1991 For later holdings see check-in record

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q \$x 01

863 \_ \_ \$8 \_ \_ \$a \$i \$w

863 \_ \_ \$8 \_ \_ \$a \$b \$i \$j

863 \_ \_ \$8 \_ \_ \$a \$i

854 20 \_ \$8 \_ \_ \$a (year)

864 \_ \$8 \_ \$a

853 \_ \$8 \$a (year) \$b no. \$u 4 \$v r \$i (year) \$j (season) \$w q \$x 21

863 \_ \$8 \$a \$w

863 \$8 \$a \$b \$i \$j \$w

863 \$8 \$a

855 -- \$8 \$a v. \$i (year/year)

865 \$8 \$a \$i



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## Appendix 4: Additional Examples for Some 85X/86X Indicators

### 853/854 1st indicator: 0 Cannot compress or expand

853 03 \$8 1 \$a (year)

853 00 \$8 1 \$a v. \$b no. \$i (year) \$j (month)  
[with only one issue in hand and frequency unknown]

854 00 \$8 1 \$a v. \$b suppl. \$i (year) \$j (month) \$k (day)

### 853/854 1st indicator: 1 Can compress but not expand

853 10 \$8 1 \$a (year) \$b (month) \$w a

853 10 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month)

853 10 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q

853 10 \$8 1 \$a ed. \$i (year) \$j (month) \$w a

### 853/854 1st indicator: 2 Can compress or expand

853 20 \$8 1 \$a ed. \$i (year) \$w a

853 20 \$8 1 \$a no. \$i (year) \$w x (only 1 level)

853 20 \$8 1 \$a (year) \$b (month) \$w m [assuming \$x 01 as default]

853 20 \$8 1 \$a (year) \$b (month) \$w f \$x 06 \$y pm01/06,07/12  
[On issues: Jan.-June 2005, July-Dec. 2005]

853 20 \$8 1 \$a v. \$i (year) \$j (month) \$w m \$x 05

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$w q

853 20 \$8 1 \$a v. \$b no. \$u 12 \$v r \$g no. \$i (year) \$j (month) \$w m \$x 01

See <http://www.loc.gov/acq/conser/pathhold-853-examples.html> for more examples.

### 86X 2nd indicator: 2 Compressed, use textual display

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q \$x 03

863 42 \$8 1.1 \$a 8-10 \$b 1-4 \$i 1976-1978 \$j 03-12

853 20 \$8 2 \$a v. \$b no. \$u 2 \$v r \$i (year) \$j (month) \$w f \$x 03

863 42 \$8 2.1 \$a 11-14 \$b 1-2 \$i 1979-1982 \$j 03-09 \$w g

853 20 \$8 3 \$a v. \$i (year) \$w a

863 40 \$8 3.1 \$a 16-23 \$i 1984-1991

**866 31 \$8 1 \$8 2** \$a v.8(1976)-v.14(1982)

Display: v.8 (1976)-v.14 (1982),v.16(1984)-v.23(1991)

**86X 2nd indicator: 3 Uncompressed, use textual display**

853 20 \$8 1\$a (year) \$w a

863 43 \$8 1.1 \$a1983 \$w g

863 43 \$8 1.2 \$a1985 \$w g

863 43 \$8 1.3 \$a1987

863 43 \$8 1.4 \$a1988 \$w g

863 43 \$8 1.5 \$a1990

**866** 31 \$8 0 \$a 1983-1990 \$z Some issues lost

## Appendix 5: History of Holdings Standards

### A. NISO Holdings Standards

The perception of holdings as purely local delayed the rise of standards for decades. And yet in some aspects, such as that of a title as it comes from the publisher, the record of volumes and years is as universal as the bibliographic information. Contrast this situation with the decades of work on standards for every aspect of the bibliographic record, so that we have worked out the meaning of every bit of syntax and punctuation, and plentiful documentation exists for each part of the record and each code. Holdings standards did not arise until the 1980s, and they followed an era which depended on manual input of holdings in free style. There is still a lot of resistance to incorporating standards for something so “local” as holdings into our large bibliographic utilities such as OCLC. In fact, OCLC defined the MARC Format for Holdings fields as “local” fields and uses them only for local output, excluding them from the master record. Now that they have entered again, even though it has to be through embedding in other fields, there is definitely hope that more influential groups will be using the format, looking out for its improvement, and promoting its use nationwide.

The first standards were **display** standards: **Z39.42** and **Z39.44**. As explained in the session, this meant that they dealt with the content of a holdings statement and how it should be presented, whether manually, electronically, or some other way. The later Format dealt only with identifying the parts of the statement to communicate it electronically. So the first thing to stress is that even though the Format and NISO standards were developed in coordination, neither requires the other. The MARC Format for Holdings is capable of generating any display according to the programming provided by whatever software is in use in the library.

#### a. Z39.42 (1980), Serial Holdings Statements at the Summary Level

ANSI Committee Z39 (Information Standards), Subcommittee 40, finished this standard and had it promulgated in 1980. There were “three levels of specificity” in this standard:

–Level 1: identified only *item and holding institution*

–Level 2: added *date of recording* and optional *notes on retention policy and completeness*, among other values

– Level 3: was the first to give *actual holdings*. The detail was similar in its roughness to the manual statements of the era (printed union lists, card files, paper, computer-output microfiche). Note the absence of captions such as volume and number; the open holding indicated by a hyphen, and the lack of supplements or indexes.

Ex.        1-3,5- 1975-1977,1979

Quick definition: A **summary statement** records the first and last parts of a range of units only, rather than listing all the units. A statement listing all the units would

be *itemized*, which is not provided for in this standard. It is important to realize that a volume is listed--as complete--if 50% or more of it is held. If less than 50% is held, the volume is omitted entirely. In other words, there is no detail whatsoever below the level of the volume, and even the volume level is up to fifty per cent approximation.

Though the standard is long superseded, data conforming to it is being loaded even today into online systems. This is why the 866-868, often used for retrospective holdings, allows the coder to specify this standard in the second indicator value.

#### **b. Z39.44 Serial Summary and Detailed Holdings**

This standard was called the NISO holdings display standard at the Summary and Detailed Level because the ANSI Subcommittee Z39 became the National Information Standards Organization, or NISO, around 1983, while this standard was being worked on by Subcommittee E. It started out to be a standard for detailed holdings, but as it became clear that the two levels would contradict each other, the decision was made to replace the earlier standard and add a new fourth level. At the same time this work was proceeding, another group outside NISO was working on the MARC Format for Holdings. Though there was some collaboration, the two groups did not really work together.

The standard looks different in that the numbering now includes captions (vol., no., tome, anno, etc.) Underlying differences are even greater, because now, a volume is listed if any part of it is held, rather than only if 50% or greater portion is held. There is now a fourth level, so this level 3 is the successor to the previous standard.

At Level 3, the summary level, options exist for displaying the data, one (Option B) that looked more like the previous standard:

##### **Level 3, Option B: v.1-v.5 (1980-1984)**

and one newer form (Option A) that—except for spacing/punctuation—looks more like the enumeration and chronology syntax in the bibliographic record (the 362 field).

##### **Level 3, Option A: v.1(1980)-v.5(1984)**

There is also a new fourth level of specificity, which guarantees the completeness and accuracy of the holdings statement to the issue level, for detailed holdings. Full detail at the issue level is now possible. The format at Level 4 is akin to that of Level 3, Option A, with *adjacent* presentation of enumeration and chronology.

##### **Level 4 (Detailed) v.1:no.1(1995:Jan.)-v.2:no.1(1996:Jan.), v.2:no.3(1996:Mar.)-v.3:no.12(1997:Dec.)**

When holdings are given in detail, some detail can be *compressed*. If *complete*, a compressed statement would look very much like a summary statement at Level 3. The difference is that at Level 4, the completeness of each unit given is guaranteed.

If there is a gap, it must be explicitly expressed in the holdings statement. Moreover, it is to be expressed “positively,” in terms of the units held, not units missing. At Level 4, the complete range between each gap is expressed as in this example, with the complete designation of each issue given before and after the gap:

**v.1:no.1(1995:June-v.1:no.3(1995:Aug.),v.1:no.5(1995:Oct.)-  
v.1:no.7(1995:Dec.),v.1:no.9(1996:Feb.)-v.1:no.12(1996:May)**

Holdings with many gaps could end up looking very crowded. Some libraries tried to follow Level 4 holdings standards, except in simplifying the notation of multiple gaps (particularly within a single volume:

**v.1:no.1-3,5-7,9-12(1995:June-Aug.,Oct.-Dec.,1996:Feb.-May)  
or simply v.1:no.1-3,5-7,9-12(1995-1996)**

At Level 4, there were no options for display. Since open holdings were not allowed at this level, the statement also had to be constantly updated as issues were added. This was almost always done manually because so few systems had this capability.

During the creation of Z39.44, another unrelated group began working on the communication standard, the *MARC Format for Holdings*. Though there was some cross-checking, the two groups did not formally work together.

### **c. Z39.57 (Holdings Statements for Non-Serial Items (1989))**

Belatedly, a monographic standard was added to the serials standard. Its conventions were mostly compatible with the serials standards that had preceded it. The monographic standard used some punctuation of its own which in the later standard has also been adopted for display of serial holdings.

The same year that this standard came out was the year the Holdings Format came out in its revised and expanded form, as the *MARC Format for Holdings Data*.

At this point, the library world began a debate whether it was better to continue two standards or to combine the standards into one. Certainly, the existence of only one Holdings Format was an influence, as was format integration on the bibliographic side. The International Standards Organisation (ISO) also had a single summary holdings standard for all formats.

Eventually, the subcommittee called Standards Committee AL was formed in 1995 and considered whether to revise Z39.44 or make an entirely new standard. They decided on the latter course.

#### **d. Z39.71 (Holdings Statements for Bibliographic Items (1999))**

The new standard was approved in March of 1999. It is “instantly” downloadable from NISO’s Web site, at [www.niso.org](http://www.niso.org). The latest arrangement on the NISO web site is that though hard copy costs \$55, a downloaded PDF version is available for free!

Level 4:

**v.1:no.1-2:1(1995:Jan.-1996:Jan.) OR  
v.1:no.1(1995:Jan.)-2:1(1996:Jan.)**

This standard is described in Session 1. The following are important features for serials:

- It handles all formats, so that serials and multipart, for example, can be handled the same way.

- Some provisions and punctuation in earlier standards are made obsolete but may be retained in older holdings displays.

- The new standard was intended to be pragmatic, based on common sense, and minimally disruptive to current practice. It is also much more flexible than any of the earlier standards, with options for presentation even at the highest level. This makes it easier to customize for each library’s needs.

- This standard seems to recognize the trend that more and more libraries seem to be itemizing their serial holdings in OPAC displays, so it gives more examples and guidelines for this type of display. A holdings statement can also be partly itemized, partly compressed. A space or line break separates items within an itemized statement.

- Some of the distinctions in layout which made it easy to tell which standard and which level of the standard was being used are now optional or gone altogether. This may make it harder to distinguish, for example, between Level 3 and Level 4 holdings. MARC coding, if fully used and visible, can fill this information gap.

### **B. The MARC Format for Holdings**

Impetus for a MARC format for holdings grew out of the desire of a regional group of libraries to share periodical holdings information, particularly of their scientific and technical periodical literature, in the early eighties. Eight southeastern research libraries, members of ASERL, agreed among themselves to design a software program to communicate periodical holdings information among their institutions. They obtained a

Title IIC grant in October 1981. A first edition of the documentation was produced in 1984. The software was produced, and the libraries contracted with SOLINET to put the program into production with a union catalog for the participants. The result was LAMBDA, which lasted for a few years in the mid-eighties, and attracted nationwide notice, though little emulation. Eventually, LAMBDA had to be abandoned as the capacity to maintain it was ending and none of the campuses could take it over. Some of the member library data that it held, however, was able to be transferred into MARC-based holdings in the OPACS of the home institutions.

Through arrangement with the Library of Congress, and continuing cooperation with the Z39 Committee and with MARBI, the group was eventually commissioned to develop their creation into a new MARC Format, covering both serial and non-serial items. The new work was initially called the *MARC Format for Holdings and Locations*, or MFHL (1986). It was revised and expanded as the *MARC Format for Holdings Data* (1989). The description of this Format is the subject of the bulk of this course, so we will not cover it here.

There were hindrances to the development and widespread use of the Format. One of those was the reluctance of the bibliographic utilities to adopt it. OCLC had its own pre-MFHL software underlying its Union List subsystem, and declined to change over to MARC—or even to adopt a newer or higher-level display standard. Programmers seemed to find the Format a hard nut to crack.

For the time being, its spread was very slow, with VTLIS for several years the only national ILS producer who offered a fairly full implementation. As early adopters, they had legacy codes and data to contend with when the standard was later updated; with this standard, however, this did not happen too often! Some in-house models based on the early software were in use, as at the University of Kansas, but these developed apart from the check of the standard and adopted their own features. Gradually, in the nineties, MARC Holdings implementations, varying in completeness, were developed for, among others, NOTIS, DRA, SIRSI, Geac, Innovative Interfaces, Dynix, ExLibris, and Endeavor Voyager. Now interest began to mount in the field for the missing features which were such a widespread problem in most implementations.

In analogy with its sister formats, MFHD has in 1999 assumed the “MARC21” prefix to its name for the new millennium. With the turn of the year 2000, many new systems and many updated or completely rewritten systems are now being built or coming on the market, having had a fresh look at the standard. The hope of all those participating in the CONSER Publication Patterns and Holdings Task Force is that developmental difficulties in the Format, its implementation, and its documentation will be talked out among the experts and the users, so that we all can benefit from better products and a clearer idea of how to use them.

Source: Rosenberg, Frieda. “Managing Serial Holdings,” in: *Managing Serials*, ed. Marcia Tuttle. Greenwich, Conn.: JAI Press, 1996.

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## Appendix 6: Other Holdings Applications (MFHD-compatible)

This appendix contains information on OCLC's Local Holdings Records and the various components of the emerging ONIX for Serials standards.

### A. OCLC Local Holdings Records

With its launch in early 2006, OCLC Local Holdings replaced the utility's earlier, non-MARC compatible Local Data Records; at the same time, the former Union List program took the name Local Holdings Maintenance. OCLC migrated Union Listing off the Union List subsystem and at the same time retired Passport for Union List. The enhanced Connexion browser that supports Local Holdings Maintenance became available on Sunday, February 19, 2006.

OCLC's support was welcome news to the growing number of libraries using the MARC Format for Holdings Data. Libraries that had been re-inputting data from their holdings into the LDR format could now batch-load it by exporting it from their own local catalog to OCLC, and better yet, could receive non-MARC data back as MARC for a very reasonable fee. Some of the greatest beneficiaries were interlibrary loan staff, who could input both accurate, item-specific holdings data *and* lending/reproduction policies into their Local Holdings records (or have them uploaded from the catalog) and deflect—or if desirable, attract—ILL requests, ending up with a high fill rate.

Serials data makes up the bulk of Local Holdings data at present, but there is no theoretical limitation to serials in the plans for LHR; nor are electronic formats excluded. OCLC is actively working with PAMs (Public Access Management companies) and large libraries (particularly the University of Washington) to establish and promote a service that includes e-journals and e-books.

Here are OCLC's notes about its service:

- WorldCat is a worldwide union catalog of library holdings, supporting holdings data for any type of material, not just serials.
- Through FirstSearch, even library patrons can see who owns the item.
- WorldCat local holdings records conform to the MARC 21 Format for Holdings Data.
- You can indicate item-specific copying and lending policies and scope of coverage for your library's holdings.
- Any OCLC institution, whether involved in a union list group or not, can create local holdings records through the Connexion browser interface.
- Attach your local holdings to records created and maintained by national libraries and CONSER (Cooperative Online Serials Program) participants.

There is no separate fee for participation, although to be visible, libraries are required to use certain OCLC services. A participating library must use OCLC cataloging, batch processing or other services to contribute holdings and other metadata to the WorldCat database, and maintain a subscription to the WorldCat database on FirstSearch.

At the present time, the Connexion browser is the only interface that can be used with Local Holdings data. Documentation is available for establishing and maintaining holdings in WorldCat:

<http://www.oclc.org/support/documentation/localholdings/default.htm>

Final Report of the Ad Hoc Task Force on Union Listing

<http://www.oclc.org/oclc/union/taskforce.htm>

## **B. ONIX for Serials: SOH, SPS, SRN**

ONIX for Serials is a “family of XML formats” for communicating information about serials as publisher products and as library collections, using the design principles and many of the elements defined in ONIX for Books.

Its objective of computer-to-computer communication makes its role similar to that of MARC, and the holdings component of its format has been made, where possible, compatible with MFHD with cross-mapping and encouragement of the development of conversion routines. Its messages describe and communicate serial holdings (individual issues and sequences of issues), serial coverage (including complexities of licensed access), serial subscription products, optionally with prices and specific subscription information, and serial releases (new content being released from the publisher).

The launch of these from EDItEUR, the international group coordinating development of the standards infrastructure for electronic commerce in the book and serials industries, is a fresh development in 2007. NISO, EDItEUR’s working partner, announced the availability of both SOH and SPS (Serial Products and Subscriptions) this April. As this is being written, EDItEUR has announced the availability of a draft of a detailed ONIX for Serials Coverage statement, which, in their words, “allows the expression of more complex holdings than the structures currently found in the SOH and SPS formats.” Among other things, it allows for the expression of “moving starts” (aka “rolling starts”) and the enumeration and chronology of supplements.” SOH is being redrafted to incorporate these coverage extensions to form a “composite,” which is strongly promoted to the holdings community by its creators.

The typical use of the SOH (Serials Online Holdings) format is to convey specific details of electronic serials holdings from PAMs (publication access management companies that handle the recording of subscription details for changing e-journal content) to libraries. SOH has been implemented by a number of vendors, including Serials Solutions, EBSCO and TDNet as senders and Innovative Interfaces and OCLC as recipients. According to the NISO website, the SOH message can provide updated information for library catalogs, link resolvers, and A-to-Z lists.

The SPS (Serials Products and Subscriptions) format is in its pilot phase. It is used to transmit price data from publishers or agents to libraries; and to distribute a library's subscription list among publishers, agents and libraries.

SRN (Serials Release Notification) may notify clients of the availability of new content from a publication either in hard copy or electronic format. SRN notifications, according to NISOLine, will “serve to advertise the availability of new content, will help in minimizing unnecessary claims, and will make possible the automatic maintenance of precise holdings in online catalogs and link resolvers.”

Further information about ONIX for Serials, including the XML schemas, may be found on the EDItEUR website ([www.editeur.org/onixserials.html](http://www.editeur.org/onixserials.html)).

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## Appendix 7: Item Fields

*An item field contains data applicable to a single physical piece.*

Item fields are a belated addition to the MARC Format for Holdings Data, entering with the 1994 update. At least one system at the start of the millennium—Innovative Millennium—has implemented them for some customers, so it's likely that they will be more evident before long.

Item records are of course a part of current systems, and their use pre-dates the MARC holdings format. Even where a MARC holdings record exists, the item record is usually a non-MARC, proprietary segment of the data, linked to the MARC record by a related ID number. Item records contain information needed by the user, including the piece-level information which displays in an OPAC, and which the advanced Z39.50-based search engines are now searching out and combining with holdings information to form part of the report sent in answer to a remote multiple-catalog search.

It should be stated that even with MARC item fields in place, there will still be a system-dependent item record in the local OPAC. This is because the MARC item fields do not include the temporary and transaction-level data that is needed for the tracking and day-to-day management of library holdings. Instead, the new fields are limited to the kind of data that is *permanent or relatively permanent*. Unfortunately, this may exclude some of the crucial data needed by staff and users, particularly that circulation transaction data that will tell the searcher whether the volume is on the shelf or not. This exclusion in the Format means that remote search engines will have to interface to many proprietary database designs in locating and combining availability status data with MARC holdings data for display. However, other data, such as withdrawn and lost status data, may be MARC-coded in the new item fields.

The Format states, "These fields contain item level information about the pieces of the item specified in the holdings record. They contain various data elements that it may be desirable to record for specific items for use in acquisition or circulation applications, among others."

Again, these fields come in a set of three:  
876 for Basic bibliographic item,  
877 for Supplements,  
878 for Indexes.

The indicators of the item field are *undefined*.

In the list of subfields below, several are covered in the SCCTP Serial Holdings Workshop. In systems without item fields, several subfields (\$p, \$t, \$x and \$z) are located in piece holdings fields, 863-865. They may also be found in some 866-868

fields, if the system permits—though the textual holdings fields, being designed for summaries, are normally less likely to contain item-level information than 863-865.

Here is the list of subfields for 876-878 (Item fields):

**required for serials** (*Encoding level 3 or 4*):

internal item number (\$a) [the item, or piece-level, record ID] , plus **either**:  
link and sequence no. (\$8)  
Materials specified (\$3)

**optional subfields**:

piece designation (\$p) [the piece's barcode or accession]  
copy number (\$t)  
cost (\$c)  
date acquired (\$d)

*Ex.:* 863 41 \$8 1.2 \$a 1993/1994  
876 ## \$8 1.2 \$a AAH8128-1-1 \$t 2 \$c \$41.00 \$d 19940622  
\$p A14802137389

source of acquisition (\$e)  
use restrictions (\$h)

*Ex.:* 854 10 \$8 1 \$a v. \$b suppl. \$i (year)  
864 41 \$8 1.1 \$a 10 \$b 1 \$o EU Alumni register \$i 1997  
877 ## \$8 1.1 \$a ADX-8900-3 \$e Alumni Assoc. anniversary gift \$h Building use

item status (\$j) [note: relatively permanent changes in status, like loss or withdrawal  
from a collection]  
temporary location (\$l)

*Ex.:* 866 41 \$a v.4-8(1937-1941)  
876 ## \$3 v.4 \$a 0045-1 \$j Lost  
876 ## \$3 v.5 \$a 0045-2 \$l Social Studies alcove

public/nonpublic notes (\$z/\$x)

*Ex.:* 863 20 \$8 1.56 \$a 2001  
876 ## \$8 1.56 \$a 2870958a \$t 1 \$z Pocket diskettes (4) \$x Transfer to  
Reference

Items are linked to fields according to some fairly strict rules. *The examples above show the two types of links.*

Subfield \$8 is used to link an item field to a coded 863-865 field. Serial holdings records with items must be encoded, at a minimum, at Level 3. Each part for which an item field

is desired must be input separately. The link and sequence numbers of the 86X and the related 87X must be identical. This means that item fields are compatible with itemized holdings, but not with summaries input in 863-865.

Item fields may be linked to Textual holdings fields, but different restrictions apply. Textual fields may contain ranges of holdings, but only one physical piece in such a statement may be represented by each item field. That piece is enumerated in subfield \$3 of the associated 87X field. If the Textual Holdings field information is not equivalent to a physical piece, the \$3 subfield must contain only the information pertaining to a single piece; and it is not repeatable (each piece needs a separate item field).

*Further examples:*

\$8, when linking to 863-865

fields must be itemized, linked by identical \$8 subfields

Ex.: 863 41 \$8 1.5 \$a 109 \$b 1-6 \$i 1990 \$j 01-06  
876 \$8 1.5 \$a AAA-1334 \$j Lost \$p A0043456788

\$3, when linking to 866-868

Ex.: 866 31 \$8 1 \$a v.55-56 \$z lack v.55:no.4, 56:no.1,4  
876 ## \$3 v.55:no.1-3 \$a ACC1322 \$p 00014361655 \$c \$6.00  
876 ## \$3 v.56:no.2-3 \$a ACC1323 \$p 00014346345

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## Appendix 8: Glossary

**Alternative numbering scheme.** A second numbering scheme (i.e. enumeration) published on some serials and multi-part items. It is independent from the primary numbering scheme.

**Basic bibliographic unit.** Also called the basic unit. It is the name of the main bibliographic entity for which holdings are being reported (e.g. *volume* or *year*), and it represents the principal numbering sequence published on the serial or multi-part item. It is distinct from the *supplemental unit* and the *index unit*.

**Bibliographic unit.** A discrete bibliographic entity that constitutes either the whole or a part of the bibliographic item recorded in a holdings record. A bibliographic unit may or may not be identical to any single physical part or piece. Within the holdings record, a bibliographic unit may represent either the highest level of the serials hierarchy or one or more lower levels of the same hierarchy.

**Caption.** The word, phrase, or abbreviation indicating the bibliographic unit which a serial or multi-part item has been divided into by the publisher. Examples: *volume*, *number*, *Band*, *Heft*, *part*, *side* (of a disk), *year*, etc., and their abbreviations.

**Chronology.** The date(s) used by the publisher on a bibliographic unit to help identify it or indicate when it was issued. The chronology may reflect the dates of coverage, publication, or printing.

**Closed holdings statement.** Also called closed holdings. A range of enumeration and/or chronology that ends with the enumeration and/or chronology of the last issue held by the library. It is the opposite of *open-ended holdings* or *open holdings*.

**Compressed enumeration and chronology.** Also called compressed holdings. A holdings statement which records the range of enumeration and/or chronology in terms of only the first and last parts held. This is done in order to express the same holdings information with fewer characters. It is the opposite of *uncompressed holdings* or *itemized holdings*.

**Detailed holdings statement.** Also called detailed holdings. The set of data elements required for Level 4 holdings to identify and record, at the most specific level of information, the parts of a bibliographic unit. A detailed holdings statement may be compressed or uncompressed. It is the opposite of *summary holdings statement*.

**Embedded holdings information.** Holdings information contained in the bibliographic record. An embedded holdings report does not have its own *item identifier*.

**Enumeration.** The alphabetic or numeric scheme used by the publisher on an item to identify the individual bibliographic or physical parts and to show the relationship of each unit to the item as a whole.

**Index unit.** A physically separate item distinct from the basic bibliographic unit. It is an alphabetic list of names, places, and/or subjects treated in a printed work, with page number(s), to direct the reader to the appropriate location(s) in the text. Only cumulative, physically separate indexes are noted individually on holdings records for serials. See also *basic bibliographic unit*.

**Itemized holdings.** See *uncompressed holdings*.

**Open-ended holdings statement.** Also called open holdings. A range of enumeration and/or chronology that ends with a hyphen. An open-ended holdings statement indicates the ongoing receipt by the library.

**Pattern (or Publication pattern).** The array of data elements used to describe the pattern of issuance, or publication, of a serial or multipart item, including:

- its frequency
- for each bibliographic unit, the number of secondary and/or lower bibliographic units, if any, that compose it
- The relationship of the lower numbering system(s) to the higher (i.e. whether it restarts or is continuous)
- the calendar change point where the higher number increments
- variations in the intervals of issuance

**Piece.** A single physical part.

**Primary bibliographic unit.** Also called the first-level unit. A bibliographic unit (whether basic, supplemental, or index) designated by the highest, or most inclusive, level of the holdings hierarchy. Other units are called **second-, third-**, etc., **level units**. For example, in the holdings statement "v.1:no.2", the primary bibliographic unit is the volume.

**Summary holdings statement.** Also called summary holdings. A holdings statement recorded at the first (i.e. highest) level of enumeration and/or chronology. The opposite of *detailed holdings statement*.

**Supplemental unit.** A physically separate item distinct from the basic bibliographic unit. It is designated with a term such as "supplement" or its equivalent. See also *basic bibliographic unit*.

**Uncompressed enumeration and chronology.** Also called uncompressed holdings or itemized holdings. A statement of enumeration and/or chronology which itemizes, explicitly and without compression, the holdings of each part of a bibliographic unit held. The opposite of *compressed enumeration and chronology (compressed holdings)*.

## Appendix 9: Bibliography

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Contains:

- *CONSER Guidelines for Input Of Caption/Pattern and Holdings Data*
- *Pattern Guide Table and Examples* (provided by John Espley, VTLS)
- *Sample Records with Publication Patterns*
- *Basic Compliance with MARC Holdings: a Definition*
- *Universal Holdings Data: Definition and Function*
- Task Force Plan, Milestones, FAQ, Roster

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## Appendix 10: CONSER SCCTP Serials Holdings Workshop Evaluation Form

Sponsor of session \_\_\_\_\_ Date \_\_\_\_\_

Instructor(s): \_\_\_\_\_

Type of Library (circle)—Academic Public School Special Other OR  
Organization or Firm (please describe) \_\_\_\_\_

Your Primary Area of Responsibility \_\_\_\_\_

Please evaluate the program, assigning ranking of 1 to 5 . Circle the chosen number.

(5=excellent 4=very good 3=pretty good 2=not so good 1=useless)

1. Did the title and the description of the program match the subject matter covered?

5 4 3 2 1 Comments:

2. Did the speaker and the material presented address the relevant issues and your concerns?

5 4 3 2 1 Comments:

3. Was the speaker well informed on the subject matter?

5 4 3 2 1 Comments:

4. Was there a good balance of time between instruction and audience questions?

5 4 3 2 1 Comments:

5. Were your questions answered?

5 4 3 2 1 Comments:

6. Were the exercises helpful?

5 4 3 2 1 Comments:

7. Was the workshop setting conducive to training?

5 4 3 2 1 Comments:

8. Your overall rating of the workshop?

5 4 3 2 1 Comments:

9. How did you hear about the workshop? Check all that apply

\_\_\_\_\_ E-mail program announcement on discussion list

\_\_\_\_\_ Printed or published announcement

\_\_\_\_\_ Through your library

\_\_\_\_\_ Through your professional organization

\_\_\_\_\_ Other (please describe)

10. What about the workshop did you like or find useful?

11. What would you suggest to improve the workshop?

12. Are there other serials-related topics that you would like to see handled by a workshop from the Serials Cataloging Cooperative Training Program? Please make suggestions.

THANK YOU!