
# SERIALS HOLDINGS WORKSHOP

Instructor Manual

3rd edition

January 2008

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For the Serials Cataloging Cooperative Training Program

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# FOREWORD

Serials Holdings Workshop is the second course developed by the Serials Cataloging Cooperative Training Program, a program inaugurated in 1999 under the auspices of the CONSER Program. It is interesting to note that with our second course we are diverging from the scope implied by our name--cataloging! But there is no doubt that recording holdings for serials is every bit as important and as difficult as cataloging and that the two are intertwined. Thus, the SCCTP Advisory Group firmly supported the development of this course and I am thankful to Frieda Rosenberg and Thom Saudargas for agreeing to prepare the materials. Frieda deserves special recognition for sharing her wealth of knowledge on holdings and for devoting many hours to producing a complete, attractive, and accurate set of materials. Both Frieda and Thom have many years of training experience and this will be evident from the materials.

I also want to express thanks to the following: Lucy Baron (LC), Ann Ercelawn (Vanderbilt), Ruth Haas (Harvard), Marilyn Quinn (Rutgers), and Sharon Wiles-Young (Lehigh), who reviewed and commented on draft materials; Beth Jedlicka, who organized a test session at the University of Georgia; and Sharon Wiles-Young, who presented both the final draft at the test session and the completed course for the train-the-trainer session. The enthusiasm and devotion to producing a good product evident in all of these people has been much appreciated.

SCCTP is currently developing further course materials for on-site workshops. The program plans also to develop distant learning and mentoring opportunities as it matures.

This workshop was designed to be given by SCCTP-trained trainers; however, anyone familiar with serials holdings and the MARC Format for Holdings Data can use the materials to provide training for others. These materials are system-independent as they do not reflect how any one automated system has made use of the format. However, the workshop is designed to allow time for discussion on system application. The materials can also be used for self-study. Comments on the materials are most welcome.

To learn more about SCCTP, visit the Web site at: http://lcweb.loc.gov/acq/conser/scctp.home

Jean Hirons
CONSER Coordinator
Serial Record Division
Library of Congress

December 2000

# FOREWORD to the 3rd Edition January 2008

The third edition of the Serial Holdings Workshop features rearrangement of some sessions, deletions and additional material. Sessions 1 and 2 of the 2002 revision were combined into one new Session 1 and an exercise has been added to this new session. The workflow & implementation session from the earlier edition has been removed as has the "monster" serial exercise. There are updated examples, exercises and additional information based on requests from sponsors and trainees. Thanks to Frieda Rosenberg and Margi Mann for their work on updating the material. We hope that you will enjoy this new, improved workshop!

Les Hawkins,
CONSER Coordinator
January 2008

# PREFACE

We have designed this course with the hope that local and regional institutions and associations use it to spread the knowledge of the MARC Format for Holdings. Both of the authors of this workshop have spent many years giving workshops that attempted to introduce the format, but finding the right focus was difficult. In 1999, we were delighted to find that an important supporter of serials standards, the CONSER Program, felt, as we did, that a carefully designed interactive workshop with plenty of time for hands-on work would best answer the constant calls for training in this area. The course that resulted from this effort is the product of the collaboration of a number of people with a strong background in CONSER, training, and holdings, all contributing their insights and ideas over a period of many months. Above all, the program bears the stamp of the CONSER Coordinator, Jean Hirons, who worked with us constantly in this endeavor.

Aside from the presentation, which will be brought to you today by an experienced trainer, this manual contains some materials, which we hope will help you once you leave the training room. The slides used in the program have been reproduced. Depending on the length of your program, there may be extra slides from sessions that could not be presented due to time constraints. Though the technical material is always challenging, our effort was to make the slides self-explanatory and to convey principles and practices adequately even without the additional enrichment of the presenter's commentary. The manual also contains appendices with a history of the display and communications standards, a glossary, bibliography, information on some major sources of holdings data in the library world at large, and extra exercises for you to reinforce the work you did here. Finally, it contains a Handbook for the MARC21 Format for Holdings Data, which we hope will be one of the essential everyday tools that you will be using as you begin to work with the Format in your own work setting.

Both of the authors of this workshop hope that it will fill some of your needs. Your evaluation of the workshop is important to us as a guide to future training development. Please help us by filling out the evaluation form in Appendix 3 at the end of the workshop.

Frieda Rosenberg and Thom Saudargas, January 2001

# PREFACE TO THE 3rd 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" <u>not only</u> as it is defined in the glossary of Z39.71, but <u>also</u> 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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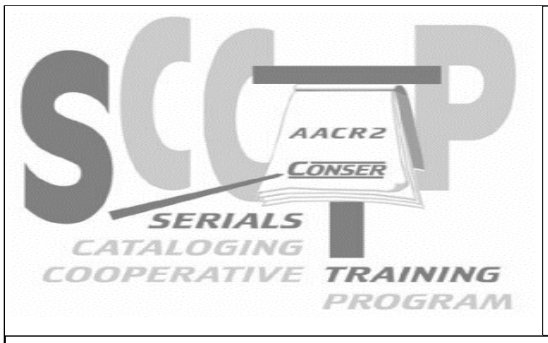


# SERIAL HOLDINGS WORKSHOP

**Session I: Introduction**
**Contents**

**Warmup Exercises**
Audience introductions/elicitation of trainee information; explanation of schedules.

**A. Introduction and Preliminaries**

1. Objectives of the session (Slides 5-7)
2. Library functions requiring holdings data (Slide 8)
3. Why Use Holdings Standards? (Slides 9-10)

**B. History of Holdings Standards**

1. Two tracks of standards creation (Slides 11-12)
2. Display Standard: Z39.71 (Slides 13-16)
3. Communication Standard: The MARC21 Format for Holdings Data (Slides 17-25)

**C. Other Holdings Concerns**

1. Union listing (Slides 26-27)
2. Vendor implementation (Slide 28-29)

**Summary (Slide 30)**

**Exercise**

**Please note! The new Session 1 replaces the old Sessions 1 and 2.**

**References:**

The trainer should have on hand the *MARC21 Format for Holdings Data* and *NISO Z39.71* (ordering information is in Slide 16).

**Warm Up Exercises (in addition to audience introductions)**

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:

Whether the system can fully display MARC tags and subfield codes (Yor N)
Whether the system supports direct coding of 853 and 863 paired fields (Y or N)

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SESSIONS



SCCTP Serial Holdings Workshop

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. Each session will be followed by an exercise, then there will be a group exercise after Session 6.

•Session 7 examines current “hot-button” holdings issues.

•Session 8 is not included, since it is simply a suggestion that a substantial amount of time be left for discussion of problems brought, or brought up, by the group, or any local system issues appropriate to the group.

# CONTENTS

SESSIONS



SCCTP Serial Holdings Workshop

# Session I: 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?

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

The objectives of the first session are:

to introduce the workshop and its goals,

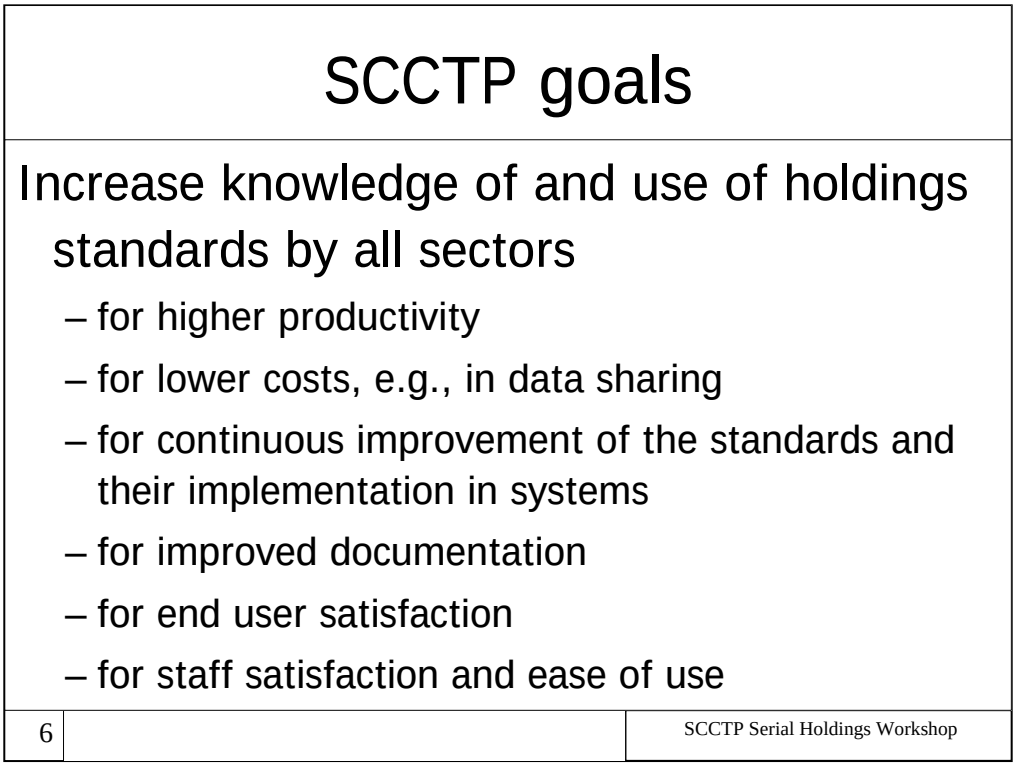
to give an idea of the importance of holdings in library processes,

to describe the difficult history of holdings standard creation,

to describe the two major standards for holdings and some of the core concepts

# Session I: Introduction cont.

- What are summarized and detailed holdings?
- How do these differ from compressed and itemized holdings?
- How do we work with current receipts and retrospective holdings?
- What questions can be answered by a holdings record?




## A. Introduction and Preliminaries

### 1. Goals

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 utilities

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

## Participants' goals

- Be able to create a simple holdings record
- Be able to interpret staff and public holdings displays
  - content (sources of data in libraries)
  - layout/punctuation (display standards--*Z39.71*)
  - structure/coding (*MARC Format for Holdings Data*)
- Be aware of basic holdings documentation
- Be aware of issues such as quality control and data sharing

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

•create a record according to standards

•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 NISO Z39.71, *Holdings Statements for Bibliographic Items)*)

–layout/punctuation (the current national standard is NISO Z39.71)

–coding (current standard is *MARC21 Format for Holdings Data)*

• be aware of the basic holdings documentation (see end of Appendix 1 for ordering information)

• understand how holdings information is created and maintained in systems, and shared among systems.

## What library functions are served by holdings standards?

a. check-in and other acquisitions processes
b. Binding and labeling
c. circulation
d. ILL / union listing
e. federated searching
f. display of multiple locations/multiple formats
g. links to library holdings from indexes
h. reference /preservation/collection development!
i. output of holdings to other products (e.g. ERM)

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|---|---|---|

**Library Functions involving holdings data**

a. generated through check-in of serial issues, and other acquisitions processes.

b. normally used again, and sometimes altered by compression, in the functions of binding and labeling a volume.

c. can include the elements--such as barcodes-- which allow a circulation transaction to be recorded.

d. crucial to interlibrary loan, and can be submitted to a union list, which helps remote users.

e. Z39.50 searching can combine holdings data from more than one location for a unified display of holdings of the same material.

f. can be formatted for display of multiple locations and allows display of data describing multiple formats of a single title, linked to one record

g. 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.

h. 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,

i. and links are needed to software such as the ERM module or the cooperative journal storage management program,

a*ccurate serial holdings are a vital resource to any library!*

# Why use the standards?

## Individual library benefits

- The database will be transferable from system to system.
- If you start with a standard record, it is far more likely you will be able to enhance your system as new software becomes available.
- You can buy the records rather than create them from scratch.
- The database can be used for resource sharing.
- Use of standards keeps the cost of automation down.

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

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**Why use standards for holdings?**

–Migration is easier

–Upgrading to a new version of your old system is easier

–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? (Cont.)

### Community benefits

a. More consistency in holdings data
b. Continuing, cooperative development of usable holdings standards
c. Increased documentation and interpretation of holdings standards
d. Cooperative and competitive urging of system vendors and utilities to implement standards
e. Shared archives of electronic holdings data
f. Effective displays for users
g. Ease of use for everyone

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**Community benefits**

a. Consistency in data greatly aids remote searchers and automated data exchange

b - e. 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

f. Effective display for users: it may mean negotiation with your system vendor to give you the features you need to display the holdings intelligibly.

g. 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

- Z39.71: Focuses on the *data* and how it should *display* to patrons and other libraries

- MARC Format for Holdings Data (MFHD): Focuses on *communication*

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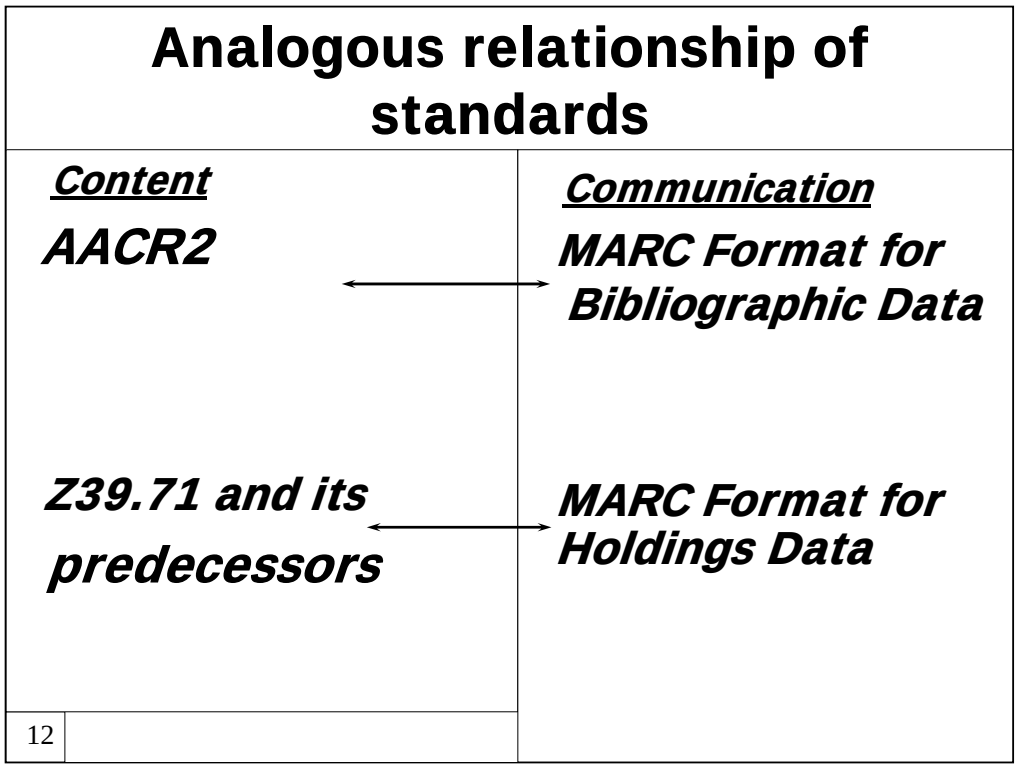
There are two holdings standards, each with its respective role to play:

•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.




**Analogies**

•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.*

| Display standard: Z39.71(2006) |
|---|
| Example: Detailed level 4<br>v.1:no.1-2:1(1995:Jan.-1996:Jan.) OR<br>v.1:no.1(1995:Jan.)-2:1(1996:Jan.)<br><br>***handles all formats, flexible:***<br>***summarized or detailed***<br>***itemized or compressed***<br>***open holdings possible***<br>***multiple presentation options***<br>***standardized, simplified punctuation*** |
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**Display Standards:**

**Z39.71 (Holdings Statements for Bibliographic Items (2006)**

•History of the NISO display standard shows a gradual evolution.. There is an Appendix 1 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)

•Newest standard shows increased comprehensiveness, flexibility (with presentation options) and simplification.

•It has four levels from least to most detailed. 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.

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

<We suggest that the hierarchy be pointed out: use of colon, chronology in parentheses, dropping of *captions* (introducing this word) possible after hyphen.

<May say that use of captions is one of the elements of the standard that has varied the most.

< 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.

## Important Z39.71 Concept: Level of specificity

The holdings record can state which level of the display standard you are using (**3, 4,** or **5**)

- [**1** rarely used for serials; **2** --limited retention]
- Level **3** "*summary level*," library holds at least some part of each volume shown
- Level **4** "*detailed level*," shows gaps in holdings explicitly down to the issue level
- Level **5** "*detailed with piece designation*," adds barcode for each physical piece

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- In several places in the holdings record you must state which level of the display standard you are using.
  2. The lowest level says only that you hold the title; 2 is often used when holdings are not specific, but a general note about retention for a limited period.
  3. 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*.)
  4. 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). <See below>
  5. 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.

## Level of detail or specificity cont.

The level of detail, or specificity, of a holding, refers to the accuracy with which it describes a holding; is there a guarantee that the statement contains information about any gaps, down to the issue level?

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

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

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**Level of detail, or specificity (Levels 1 through 5, continued)**

The concept on this screen and on the next screen 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.

<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, as on the next screen.*

<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 shortly.

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

## Another important Z39.71 concept: Form of holdings

- The form of the holdings refers to whether they are compressed (given in ranges of issues or volumes), or itemized (given as item-by-item issues, or volumes)
- This concept is different from *levels of detail or specificity;* it is concerned with the form of the holdings, not their accuracy
  - **Compressed:** v.1(1990)-5(1994) **OR** v.1-5(1990-1994)
  - **Itemized:** v.1(1990) v.2(1991) v.3(1992) v.4(1993) v.5(1994)

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**Form of holdings: compressed or itemized**

**<In the new version of the workshop, we have followed recommendations to separate this terminology, which has long been mingled in the literature, using summary/detailed for specificity, compressed/itemized for format>**

• 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.

• 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*.

## Communications standard

- Deals with *transmission of data* from one computer to another
- Defines data elements and their coding
- Does not require any specific content, nor does it necessarily generate a specific display
- Standard examples: The MARC formats, including the ***MARC21 Format for Holdings Data*** (2000)

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**Communications Standard**

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.

## 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?
- 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*

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**Display of holdings to staff and users**

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

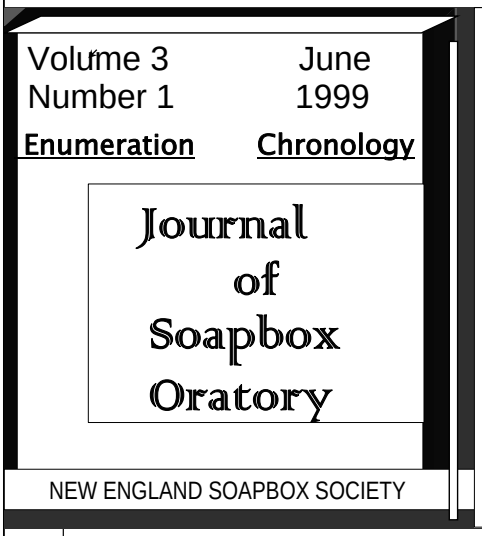
•The fixed and control fields are coded with library policy and other information about the title.

•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.

## For current receipts MFHD starts with an issue




Issue numbering and dates are the basis for the MFHD *publication pattern.* With pattern codes, the system can predict future issues, which are then checked in automatically.

(Coding is in Session 4)

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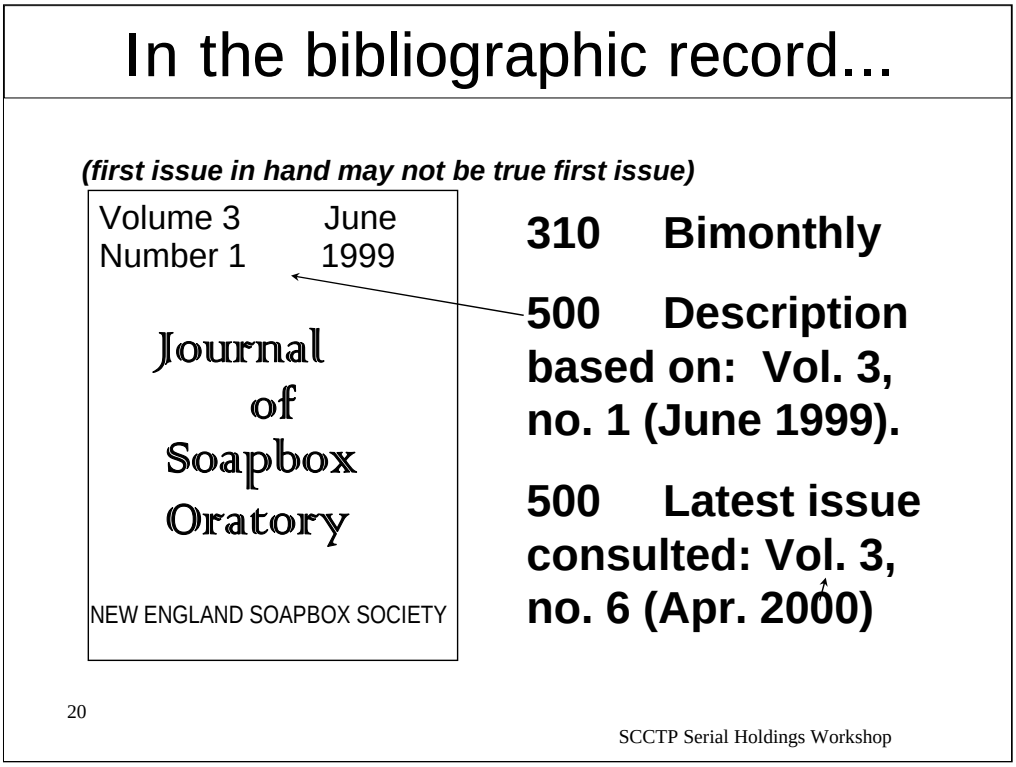
**Where does the process start?**

•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.

•Publication pattern coding in the MFHD is covered in Session 4.




•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.

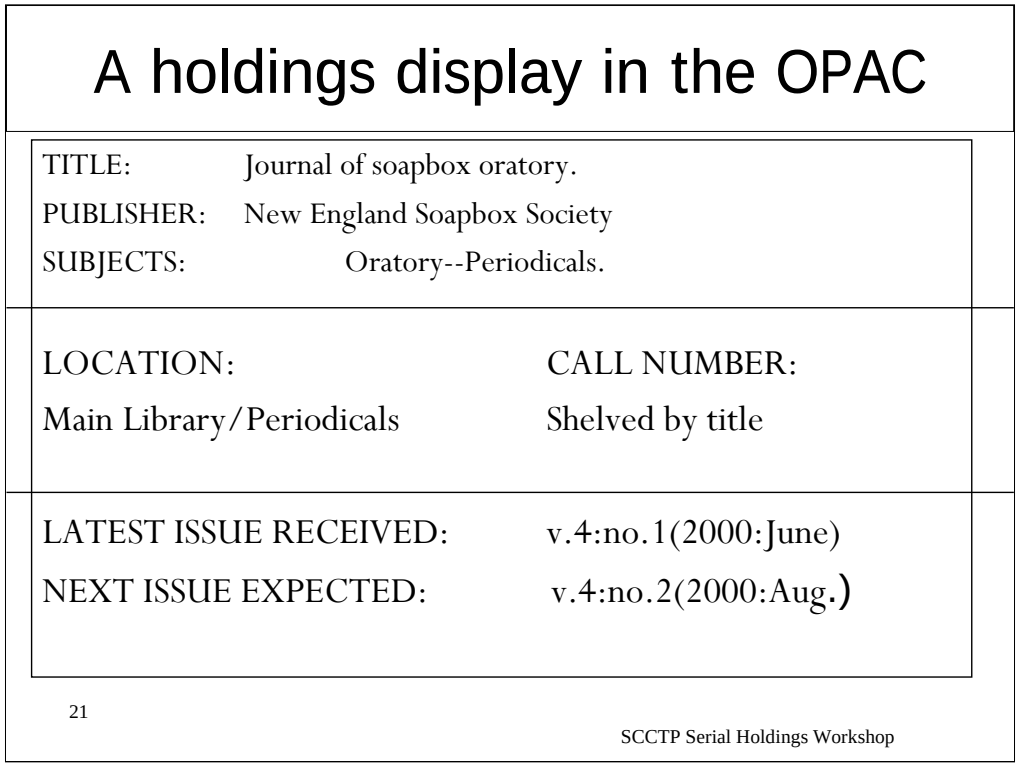
•We don't have Vol. 1, no. 1; so we don't know whether or not this is the first issue of the Journal of Soapbox Oratory, since the title may have changed.

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

•Since the serial is current, we use a 500 with **"Latest Issue Consulted.**"

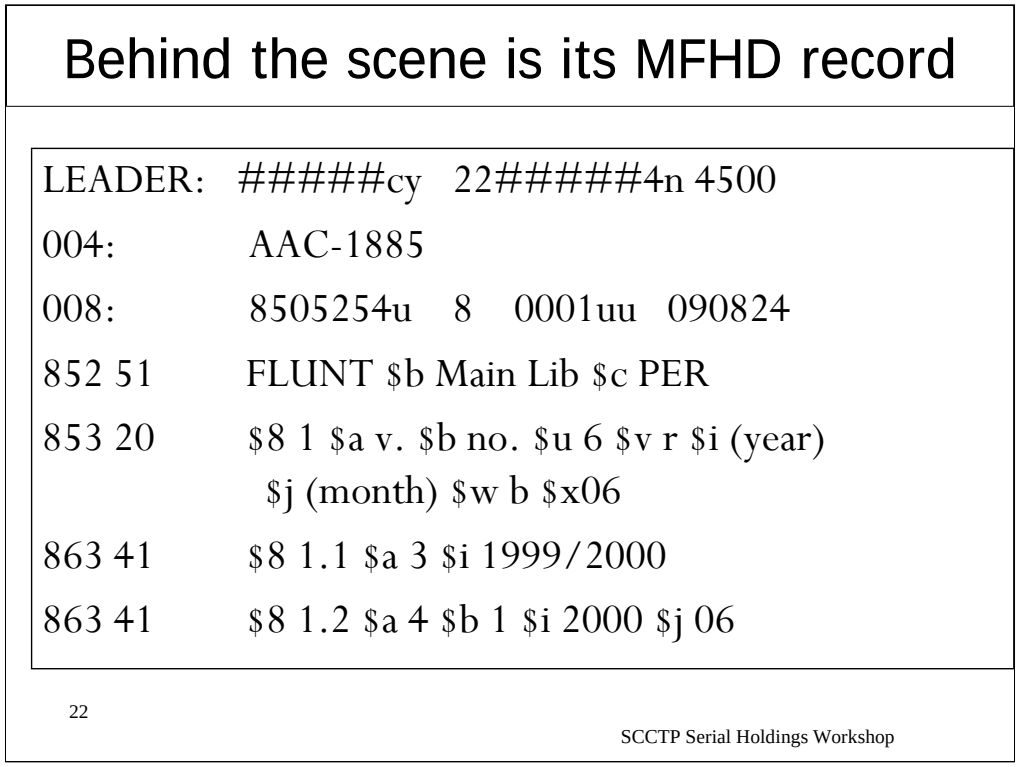
•All information will help set up check-in and holdings as well. Later sessions will detail that process.

<Some trainees may notice that the 500 does not use NISO punctuation. A good observation, illustrating the separate tracks followed in the development of these standards.>




•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.

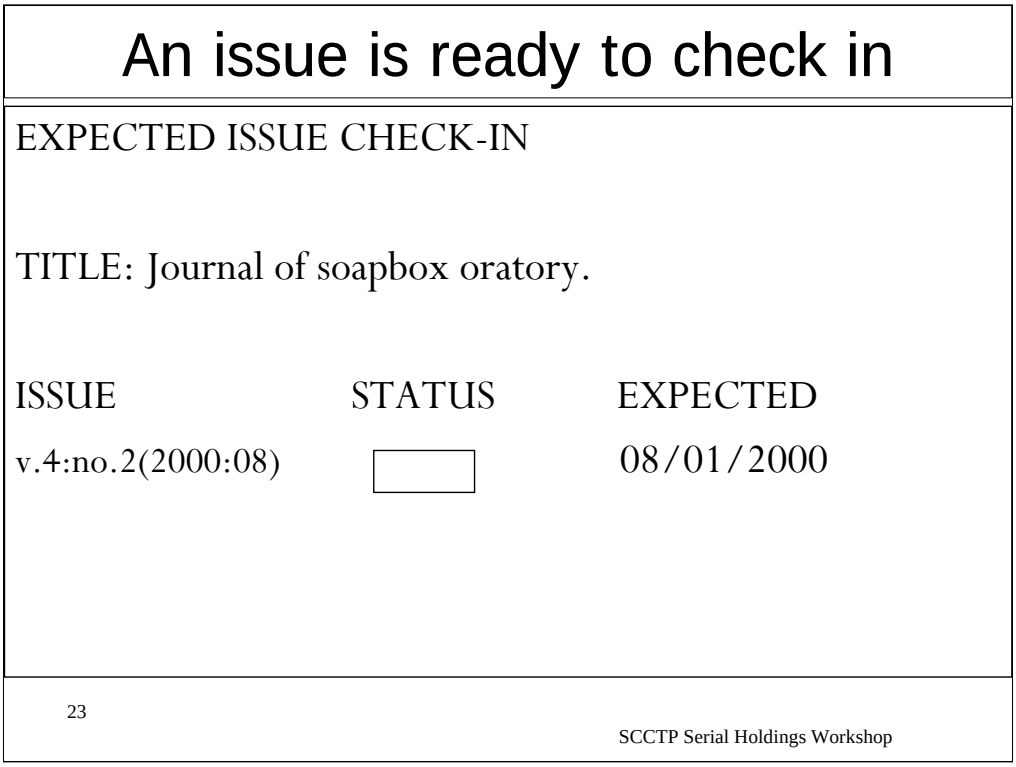



• This is a possible generic MARC Format for Holdings Record that is operating behind the scenes. In most systems, this displays only to local staff. (Some systems helpfully provide this data on command even remotely)

•This display shows volume 3, which is now compressed to the volume level; and volume 4, number 1. Note: the 1st 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.

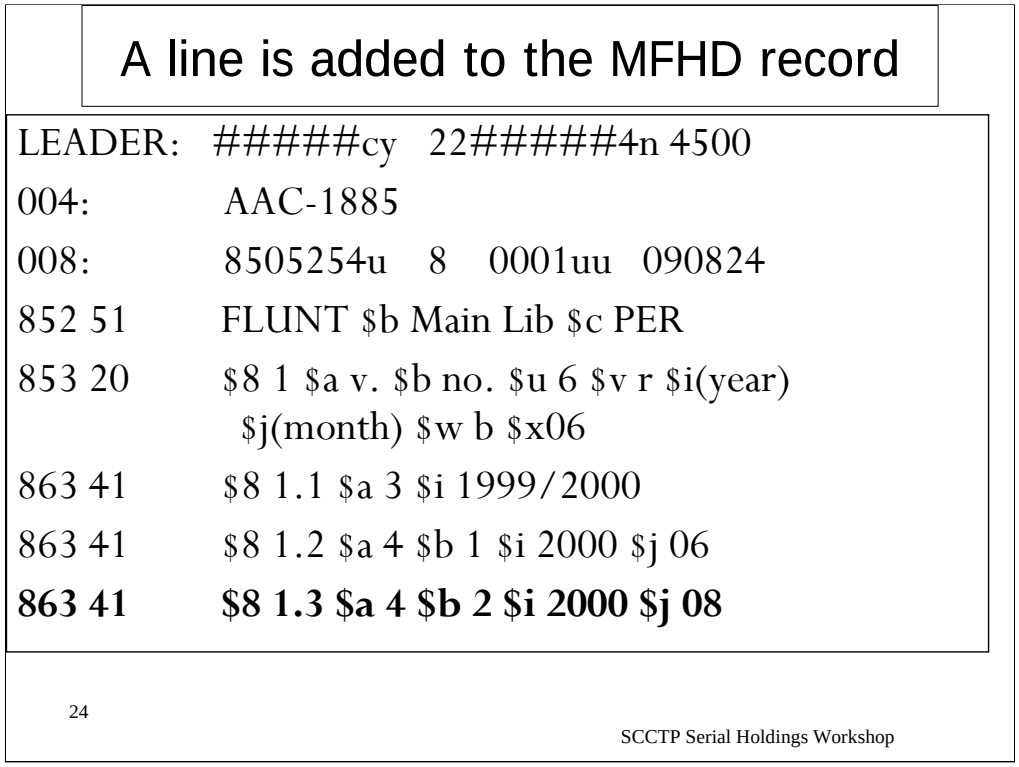



•An example of a possible generic system serial check-in screen.

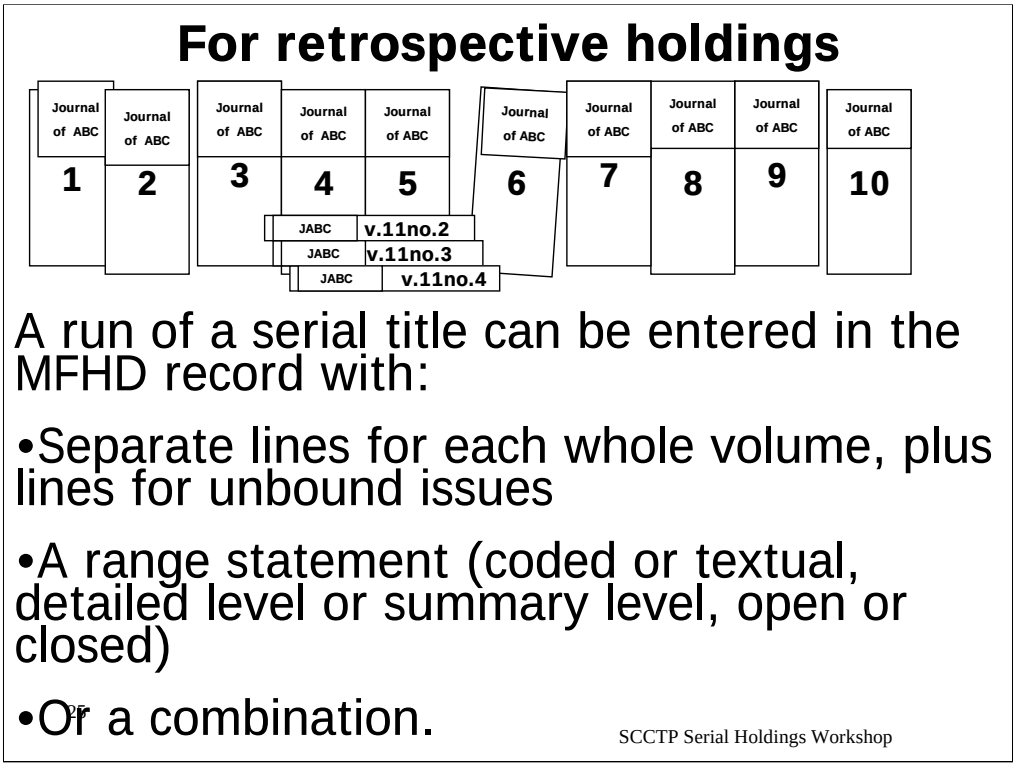
•When this issue is checked in as received the MARC holdings record has a new line created for this issue.

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

<The next slide shows the line being created>




Volume 4, number 2 has now been added to the holdings record.




**Retrospective holdings**

•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.

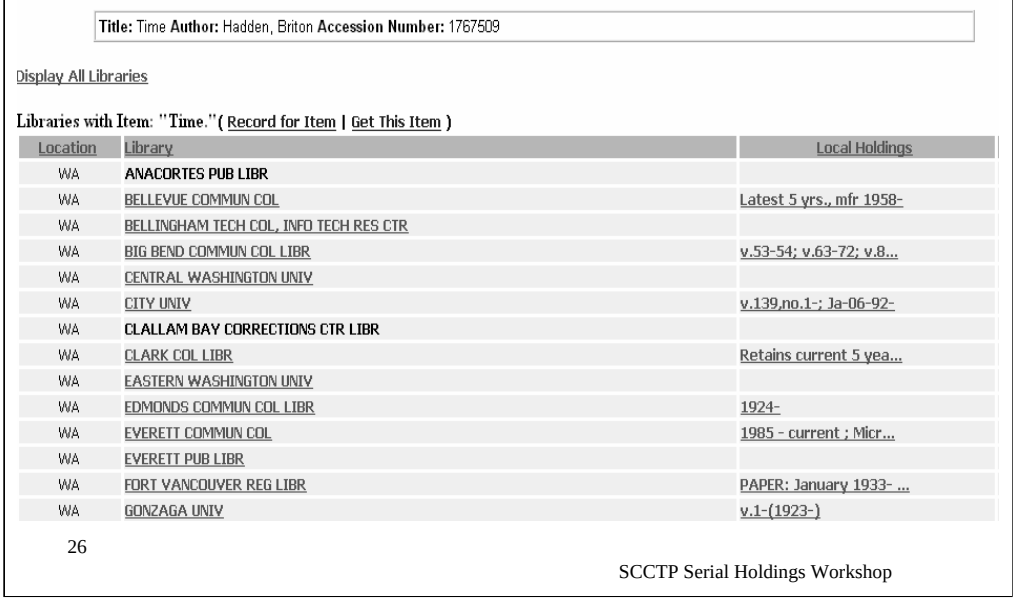
•Retrospective holdings may come from paper files, if serial holdings were not converted, or from non-MARC computerized files. Particularly in these cases, new MARC field(s) may contain plain text, called *textual holdings*. Many systems can convert non-MARC online holdings to textual holdings. With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

## 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-) |

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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**

| | | |
|---|---|---|
| Summary | | v.2-(1923-) |
| Leader | | ny a3n |
| 007 | | zu |
| 008 | | 0512034u 0 0001uu 0050718 |
| 852 | | XFF ‡b XFFA ‡h AP2 ‡i .T37 |
| 853 | 33 | ‡8 1 ‡a v. ‡i (year) |
| 863 | 3_ | ‡8 1.1 ‡a 2- ‡i 1923- |

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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.

## Vendor implementations of the standard

- **Full or partial implementation?**
- **What has my vendor *really* implemented?**
- **ASK!**

• 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.

## Vendor implementations of the standard

- **Ask specific questions, e.g., "Can you generate all parts of an 85X/86X field from receipt data?"**
- **Will data be correctly converted from my current system?**
- **Get good answers (and hard evidence) before you purchase!!**

•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.

•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.

# 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
- 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)

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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

## 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 _____ _____

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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**).

4. 1908:Jan., 1908:Feb., 1908:March Monthly _____ _____

5. v.78(1983)- Quarterly; no gaps _____ _____

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

_____ _____

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)!

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Another term for "itemized" is "uncompressed."

Note: *Try to keep the distinction between "summary level" and "compressed form" clear, though it is definitely confused by many writers (including myself in earlier versions of the course).* Fr

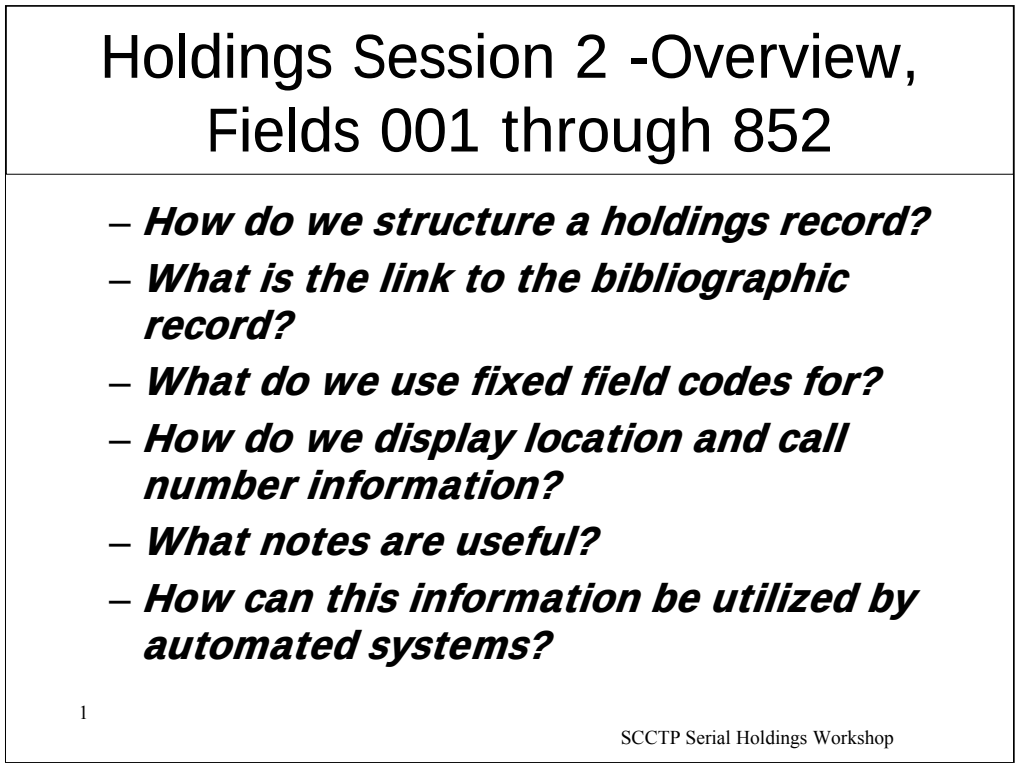
**Trainers**:

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.




**Contents**



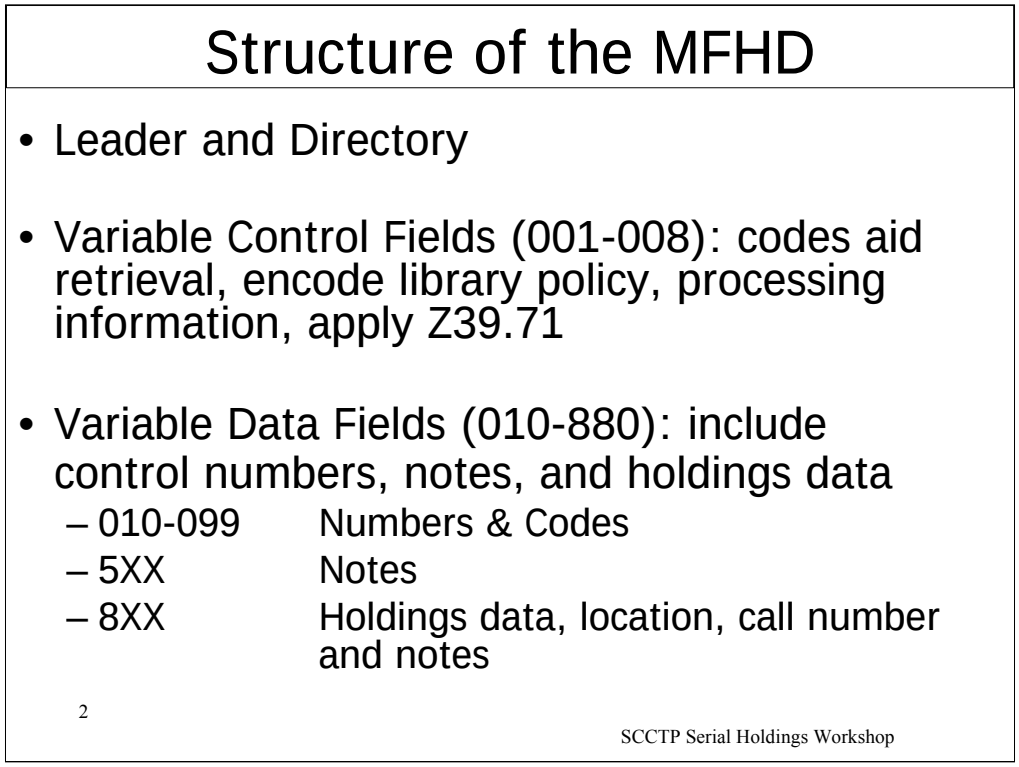
**References**

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.

**Warm Up Exercises**

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 Appendix 2, containing the Holdings Data Handbook. This will be a reference point and a guide in the exercises to come.




**Overview of the MARC21 Format for Holdings Data**

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)

–further specify record and item

–identify library policies relating to item

–some values relate to Z39.71 standard.

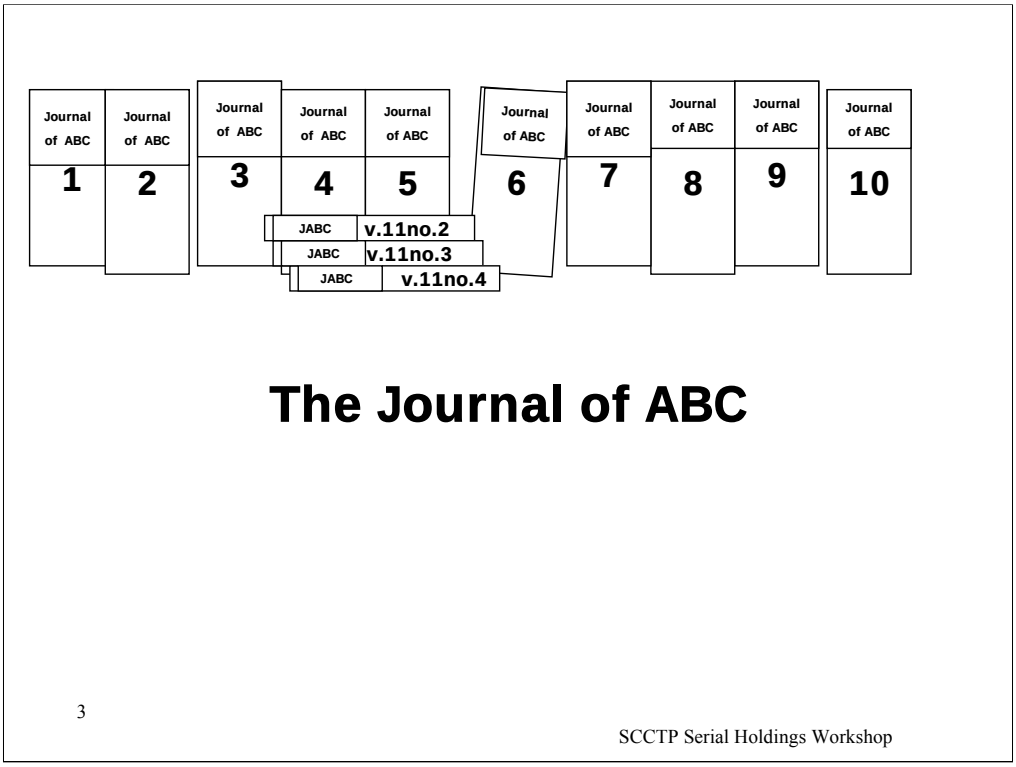
–they are useful for retrieval and data management

**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




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) $wq $x03
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.)

**Sample record**

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

**Features of the record:**

References journal pictured in last slide

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.

**<Instructor: Items are included in Appendix 10>**

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

## 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!**

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**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

- *001 Control Number (System Maintained)*
- *003 Control# ID (System Maintained)*
- 004 Control Number of Related Bibliographic Record
- *005 Date/Time of Latest Transaction (System Maintained)*
- 007 Physical Description Fixed Field

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**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 color coding: Fields in green are typically generated and maintained by the system. Fields in peach 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!

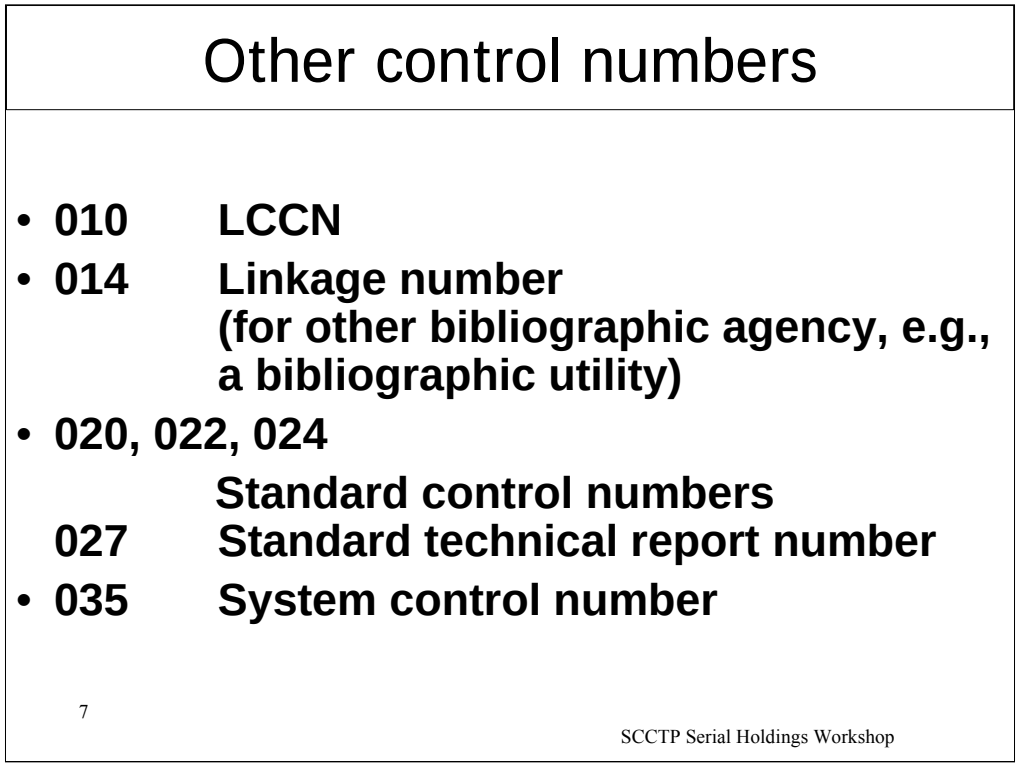
**007**

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.



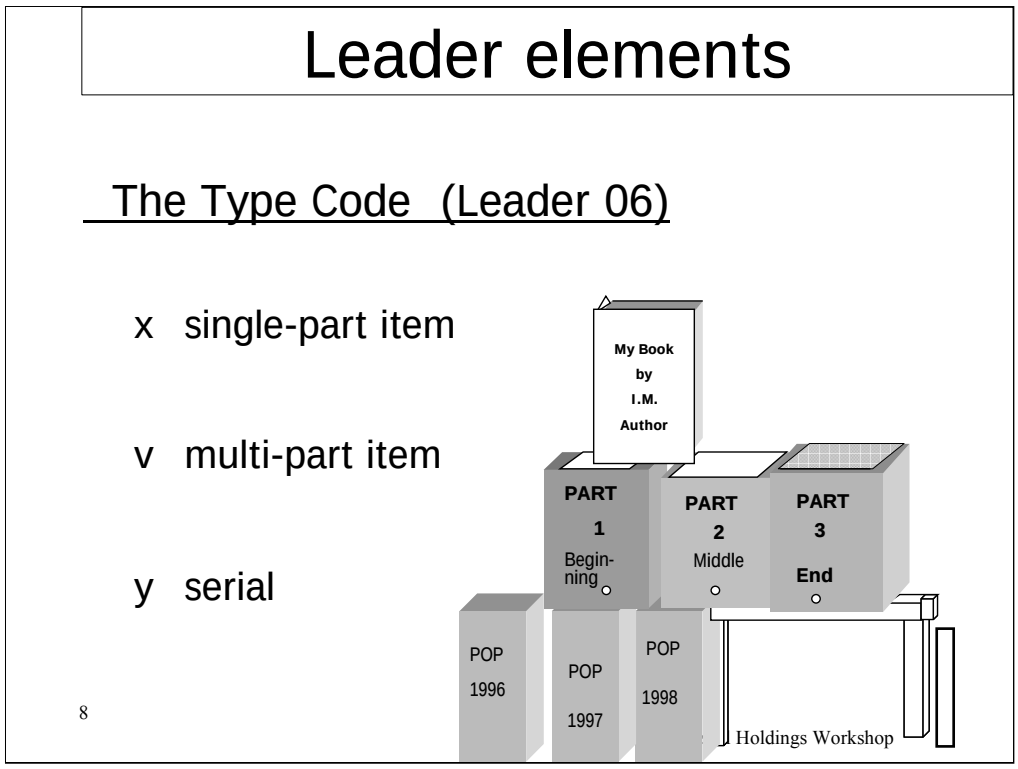

**Other control fields**

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.




**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 |

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**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 flipchart:*

**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.*

# 008 elements

- **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)

- **Acquisition method**: **008/07**

  c, d, e, f, g, m, n, p, u, z (mnemonic codes)

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.

The byte for Receipt or Acquisition Status (008:06) was redefined in 2000 to be compatible with the ISO international standard.

–If the serial ceases or changes title, the code is 2. ("Complete" here does not mean "held in full." It means "no longer published.")

–If the serial is still published, but cancelled locally, the code is 5.

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

c - Cooperative or consortial purchase

d - Deposit

e - Exchange

f - Free

g - Gift

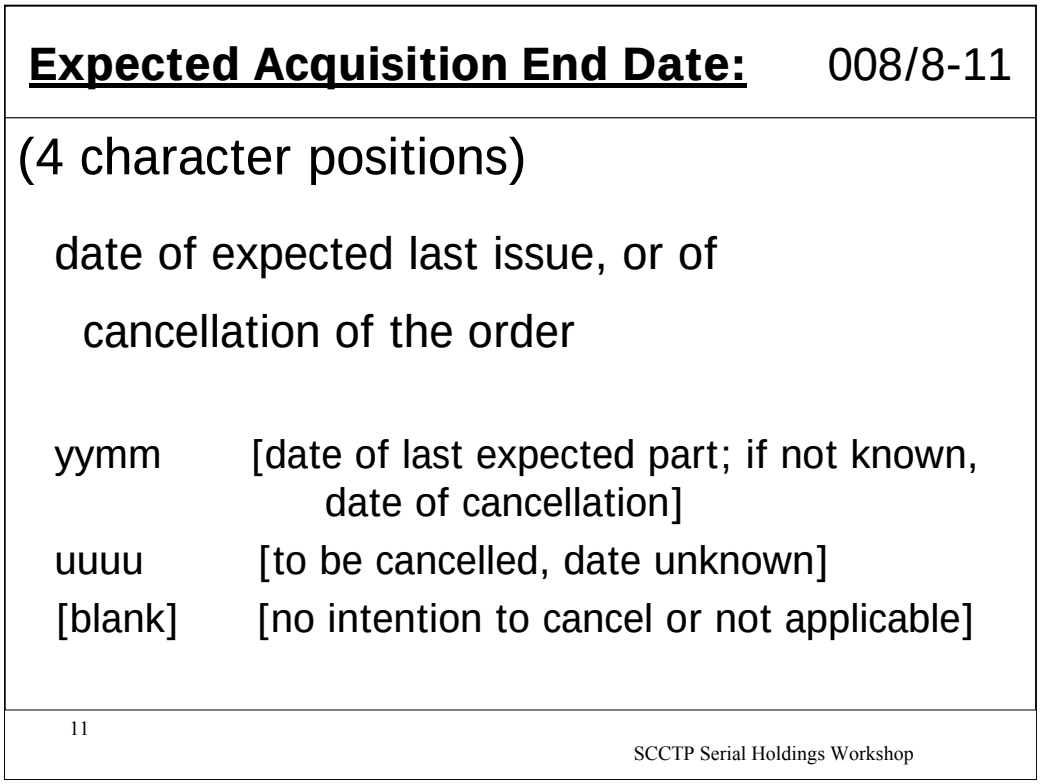
m - Membership

n - Non-library purchase

p - Purchase

u - Unknown

z - Other method of acquisition




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.

## General retention policy 008/12

**0** Unknown
**1** Other general retention policy
**2** Retained until updates received (e.g., loose leaf)
**3** Sample issue retained
**4** Retained until replaced by microform
**5** Retained until cumulation or replacement volume received (e.g. a CD-ROM title)
**6** Retained for a limited period
**7** Not retained
**8** Permanently retained

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**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 character positions)

[3 blanks] no specific retention policy

| | | |
|---|---|---|
| ℓ | latest | *pos. 1* |
| 1-9 | number of units | *pos. 2* |
| m y e i s | | *pos. 3* |

months years editions issues supplements

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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)

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

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**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 (3 character positions) 008/17-19

001 one copy reported

002 two copies reported

etc.

*how many copies are represented by the holdings record?*

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**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 |
|---|---|---|
| **a** | Will lend | Will reproduce |
| **b** | Will not lend | Will not reproduce |
| **c** | Will lend hard copy only | |
| **ℓ** | Limited lending policy | |
| **u** | Unknown | Unknown |

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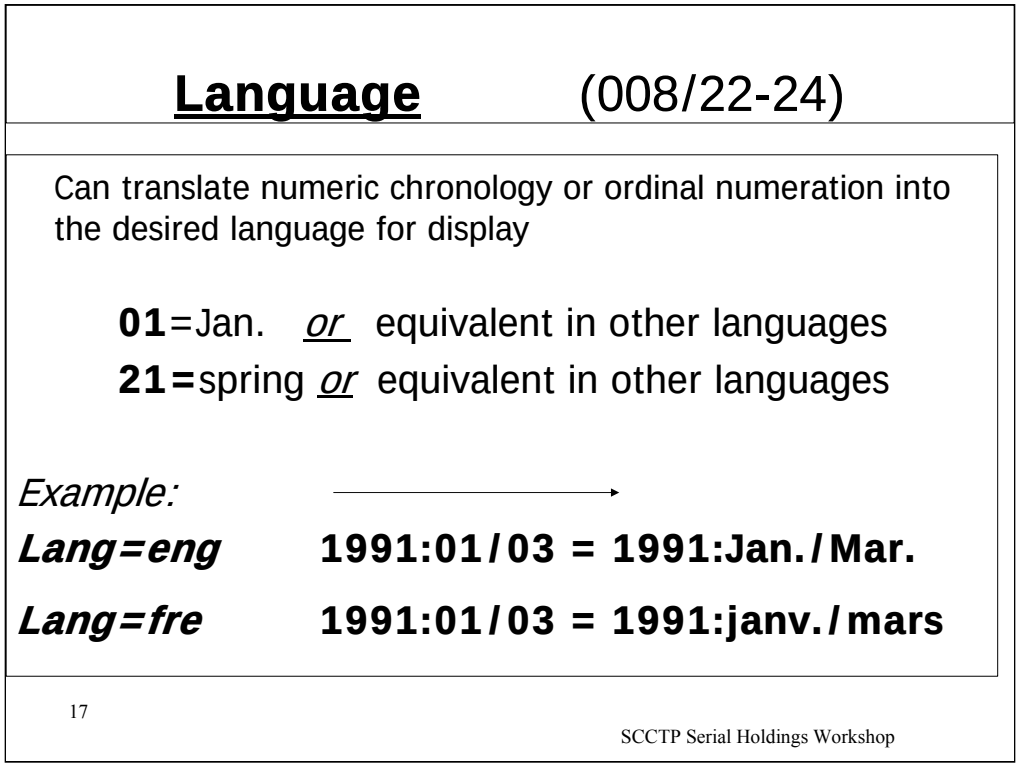
Here are values that are being coded in the 008 field to guide interlibrary loan and union listing operations.

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.




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).

## 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*

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

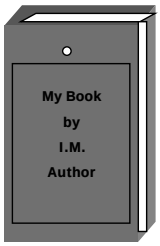
Most local reports are separate copy reports, but if a single holdings record reports multiple copies of the same serial title (or a substantial portion of it), the value 1 should be coded.

## 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 not applied***

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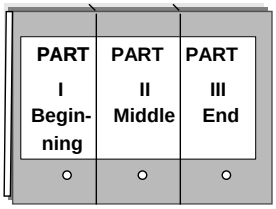
**Fixed fields for single-part item**

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* (Appendix 2).

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 multipart item

**Type = v**




**Codes used:** if not being checked in,

could use same codes as single-part item, plus **Completeness**

If being checked in**, Receipt or acquisition status, Acquisition method,** and **Intent to cancel date** become relevant

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**Fixed field for multipart item**

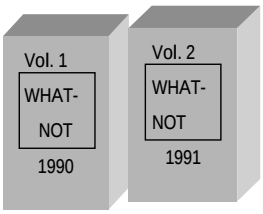
This is a monographic set (type = v).

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.

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**: accuracy, detail of report
- **Receipt or acquisition status**:

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

- **Acquisition method**: mnemonic codes

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**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..

## 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)*

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; 19 possible subfields]

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**Holdings record notes**

•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.

<**Optionally**, 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/title level) cont'd

842 Textual physical form designator

textual form of 007

843 Reproduction note

**like 5**33; used when bib. record describes original

844 Name of unit

title of unit--, e.g., Cases

845 Terms governing use & reproduction note

like 540; special copying, etc., restrictions

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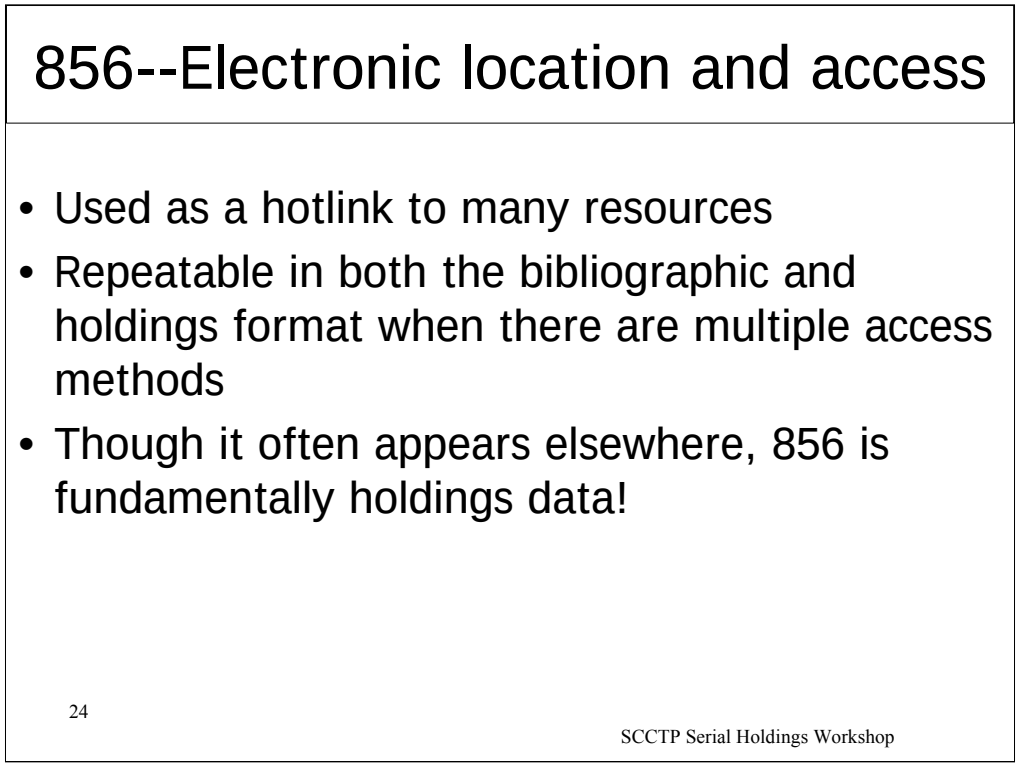
**842-845**

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




**Location and Access Fields**

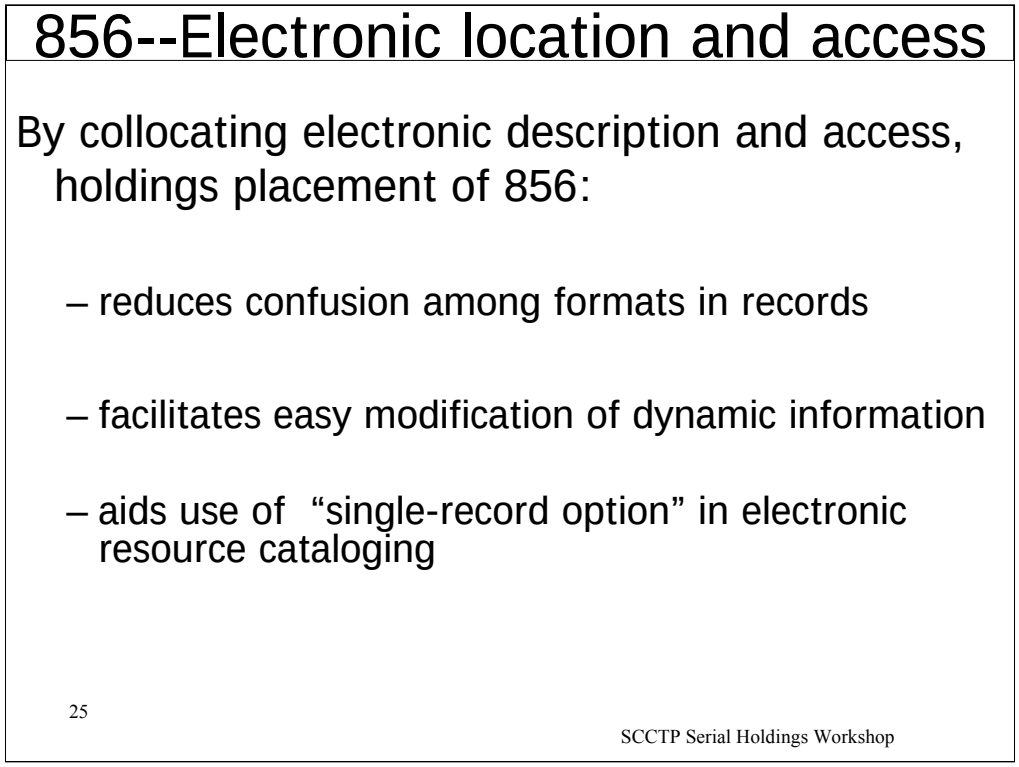
**Electronic (856)**

•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"




**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

–Allow for specific holdings to be linked to 856: for example, an 856 link to archival holdings may be different from the 856 link to current holdings

## 856--Electronic location and access

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

- Allows for specific holdings to be linked to 856
- Updates electronic holdings data automatically and in a timely manner
- Presents different coverage data by various providers in a clear single listing in the OPAC

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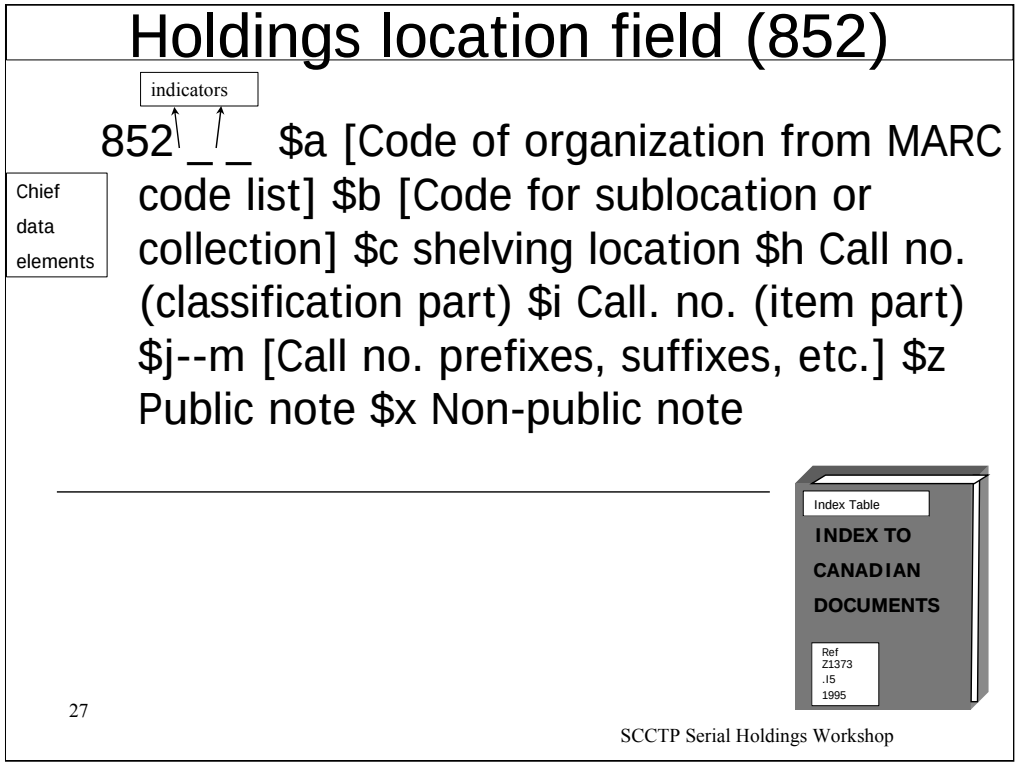
**Location and Access Fields**




**Location and Access Fields**

**Non-electronic (852)**

•For a single-part item such as a monograph, the 852 field will be the only 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.

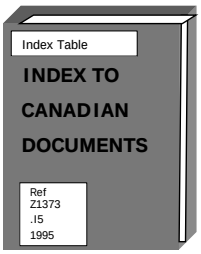
•$x and $z are for notes composed by the library. They communicate information to staff or to the public about the resource at the copy level, or, if the report is a composite report, about all copies.

# Holdings location field (852)

Example

852 0 1 $b 132000 $c Index Table $h Z1373 $i .I5 $k Ref $z See Intl.Docs.Div. for documents

[+piece holdings in 853/863]

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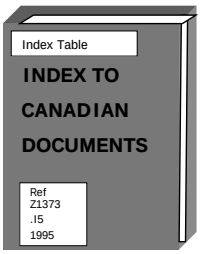
**Location and Access Fields**

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 (852)

Possible display

Index to Canadian documents.
Location: Main Reference Room, Index Table
Call no: Ref Z1373 .I5
Note: See Intl.Docs.Div. for documents
[+piece holdings]

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**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

Indicators:

1 - **Shelving scheme**. Values 0 (LC), 1 (DDC), 2 (NLM), 3 (Supt of Docs), 5 (By title), 6 (Classed separately) 7 (Source specified in $2)
8 (Other)

2 - **Shelving order**.
ordinarily 1 (by primary enumeration)
0 classed separately
2 shelved by secondary enumeration

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**Indicators of the 852 field**

Specify the classification and shelving of a title.

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

–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.

# 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

| | | |
|---|---|---|
| Summary | | PS3616.E795 D66 2006 |
| Leader | | cx a2n |
| 007 | | ta |
| 008 | | 0701312p 8 4001abeng0070213 |
| 852 | 00 | T@W ‡b T@WA ‡h PS3616.E795 ‡i D66 2006 |

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Note that 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.


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

# Session 2- Summary

- *Codes in fixed and control fields are used to aid in local or remote retrieval, and in union listing.*
- *Other codes aid in local management tasks.*
- *The Type code (Leader 06) is coded for either single-part, multi-part, or serial item.*

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# Session 2- Summary

- *Many codes can be used to generate notes. Notes can be public or staff notes, at the piece level or the copy level, determined by their placement and tagging.*
- *The 852 field is the first holdings field proper. It carries the location and call number, if any, plus notes.*
- *856 fields are also holdings fields!*

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# 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

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**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.>

# 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.

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**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.

# Exercises

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: b. involves 2 codes)*
2. Identify each subfield in the 852. Why is the last subfield not displayed on the public screen?

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?

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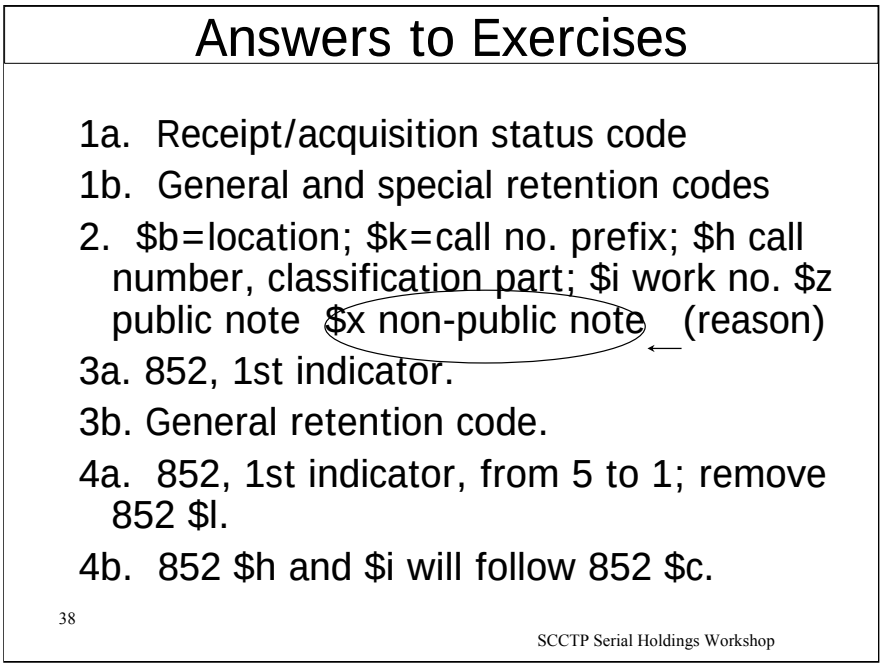
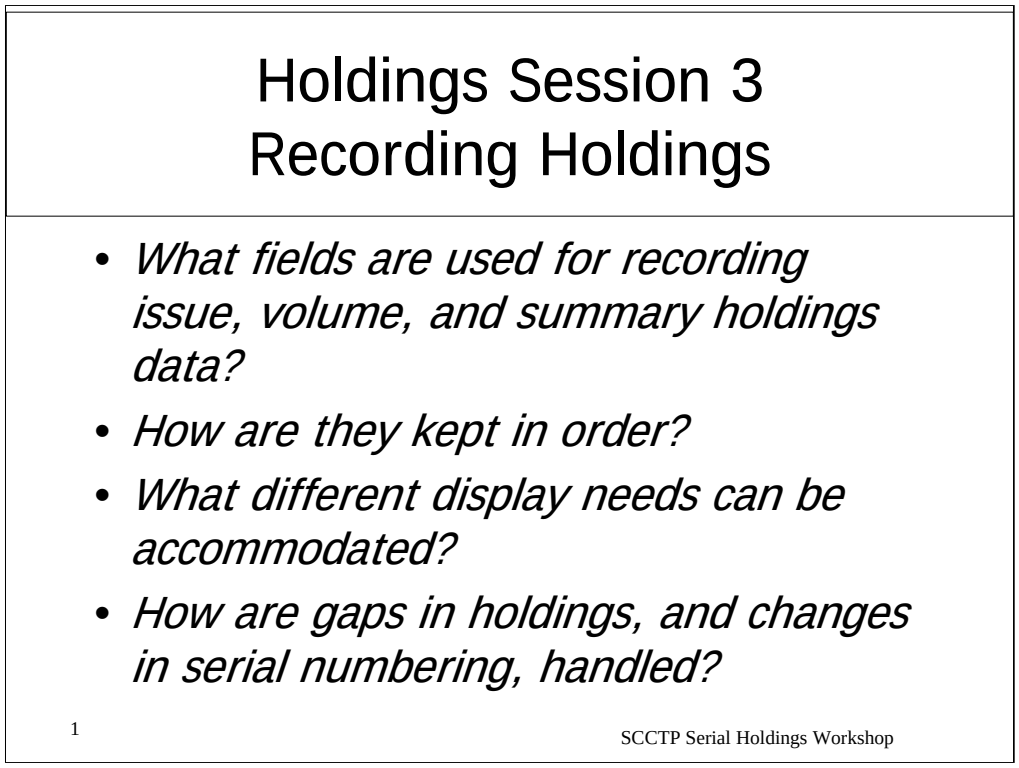



**Answers to Exercises**




**Holdings Session 3 -- Recording Holdings**

**Contents**



**Warm Up Exercises**

Discuss with the audience: 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?

## How holdings are recorded

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

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

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

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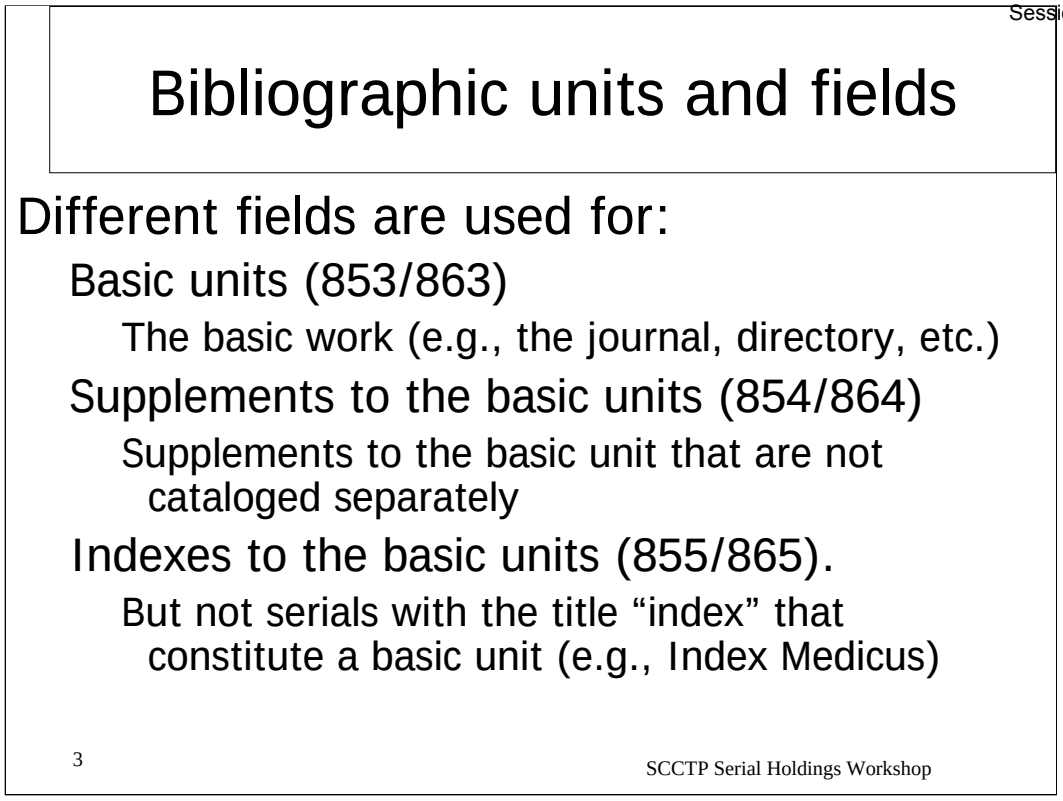
The **paired field** concept is the heart of the holdings format. On the one hand, it allows great flexibility and savings in staff time for data entry. On the other hand, it multiplies the pieces of data that have to work together for full functionality.



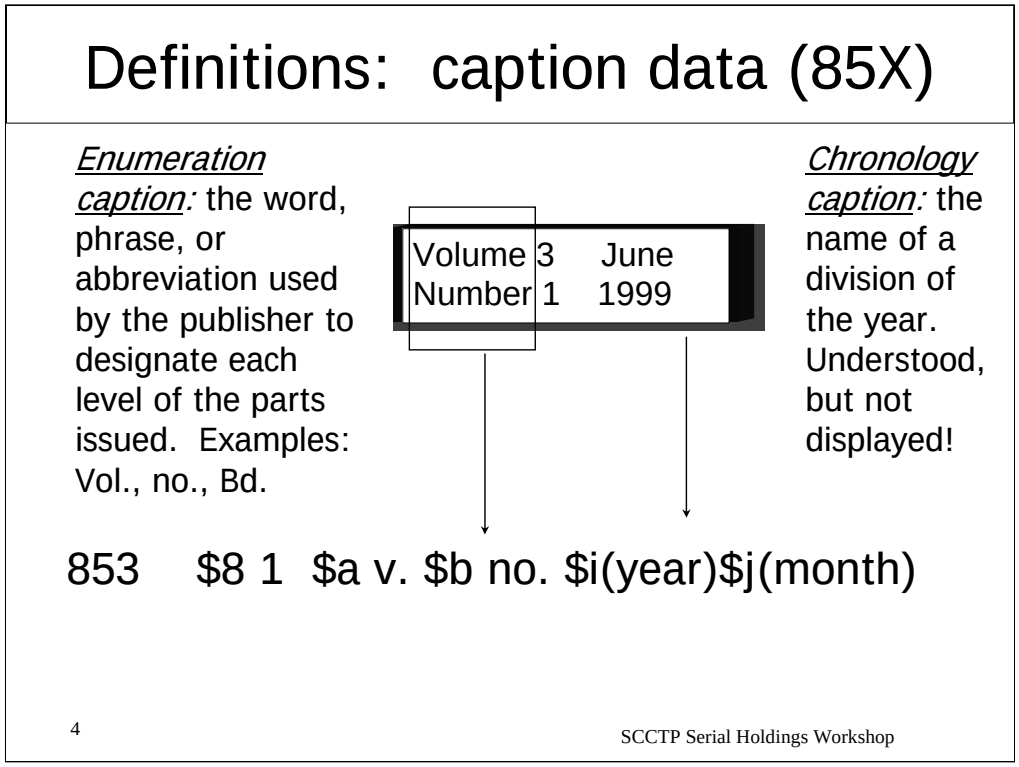

A MARC holdings record may accommodate 3 types of publications associated with a title.

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.




The captions for enumeration are explicitly given while those for chronology are implicit. This is because we say “volume” 3, and “number” 1, but not “year” 1999! For implicit captions, surround them by parentheses so as not to display in the OPAC or union list.

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

# Caption abbreviations

Captions are abbreviated using AACR2R, Appendix B **or** ISO 832. The inclusive list is on the CONSER website at:

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

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

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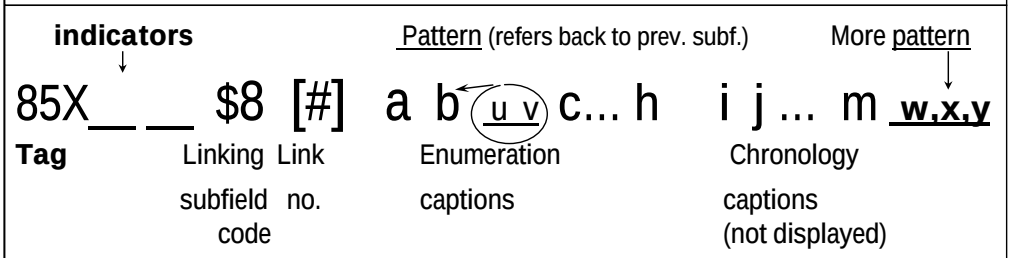
A caption is a *w*ord, phrase, or abbreviation indicating the *bibliographic unit* into which a serial or multi-part item has been divided by the publisher.

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 or the expanded list, it is keyed in in full.

# 85X field structure




$8 = Field link
$a-h = Enumeration captions such as v. no.
$i-m = Chronology captions such as (year) (season)
$o, $t = Other captions (not shown)
$u - $y = Publication Patterns (Session 4)

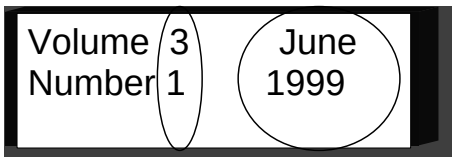
Fields 853-855 consist of the following subfields:

- 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 $**h**
- Chronology subfields
  - –chronology subfields **$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.

# Definitions (86X): enumeration and chronology data

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




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."

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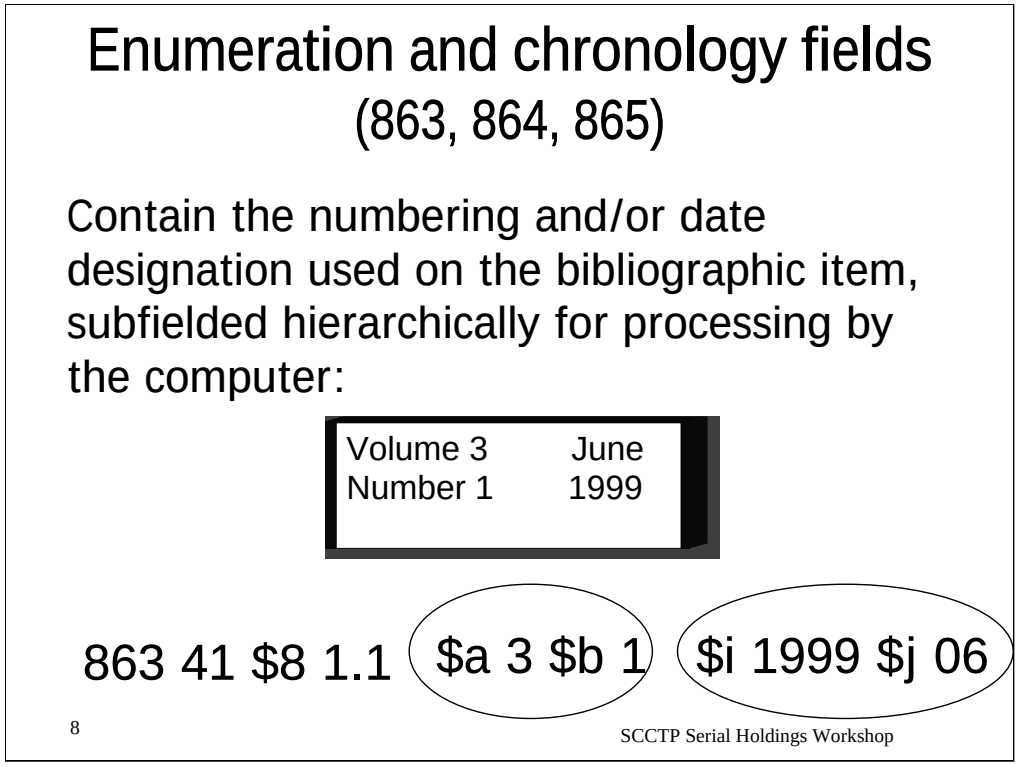
*<Animated slide. Definitions appear in succession>*

**Definitions of enumeration and chronology**.

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.



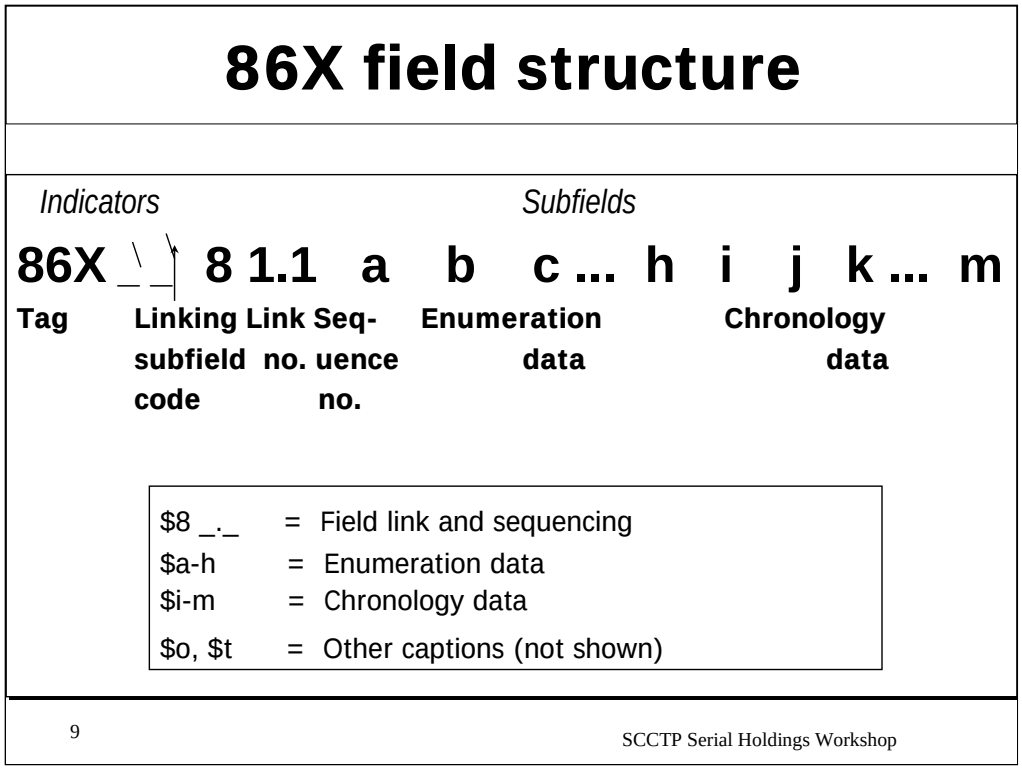

**Composition of 86X**

***<Animated slide>***

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.




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

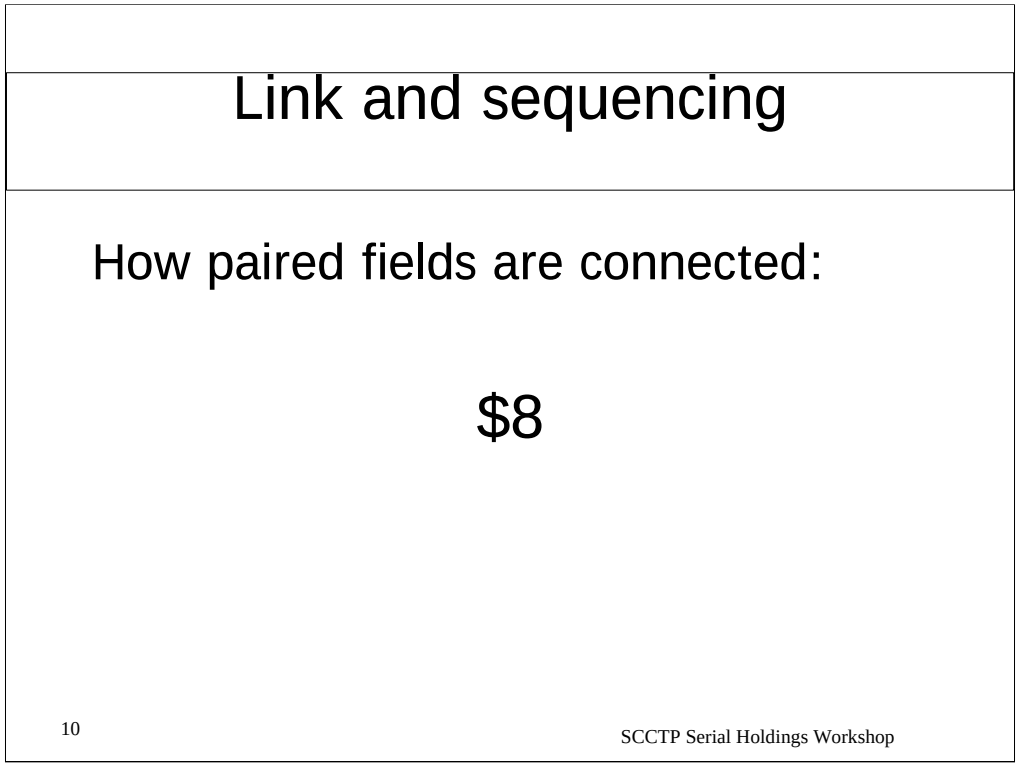
–six levels, **a** through **f**, alternative numbering in **g** and **h**

•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.




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*]

***link number***

863 $8 1.1 $a 1 $b 1 [*Enumeration field 1*]

863 $8 1.2 $a 1 $b 2 [*Enumeration field 2*]

***sequence number***

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

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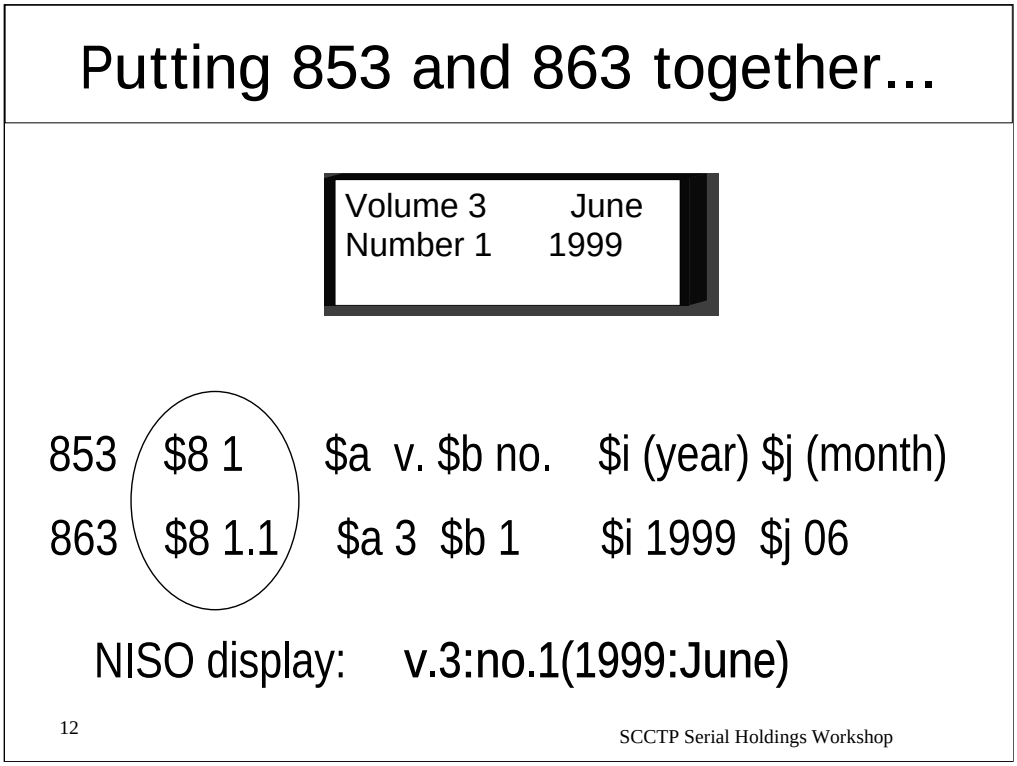
•The 853 contains subfield 8 as the first subfield with the link number of 1.

•The 863 fields also contain a sequence number after the link 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 the 863 together with 853**

*<Animated slide>*

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

*<Click to animate 85X and 86X fields in turn>*

•Enter captions (and publication pattern) of the item in the 85X fields. Note the linking number which we will discuss later.

•Enter corresponding enumeration and chronology in the 86X fields.

*<Click to animate NISO display>*

•When the group is displayed, the captions from the 85X field will be displayed with the information from the 86X field.

•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!

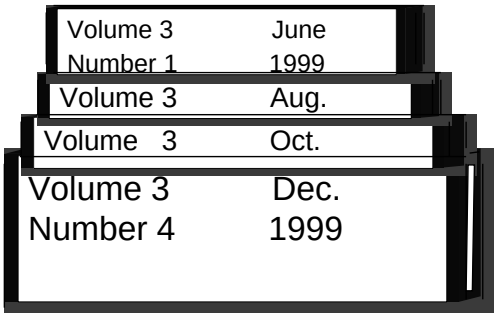
# One to many…

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.)**

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**Multiple 86X**

*<Animated slide>*

•Multiple 86X fields may pair with a single 85X field. Once the captions and pattern have been recorded in the 85X, this field is not repeated for each issue.

•When this group is displayed, the captions from the 85X field are 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

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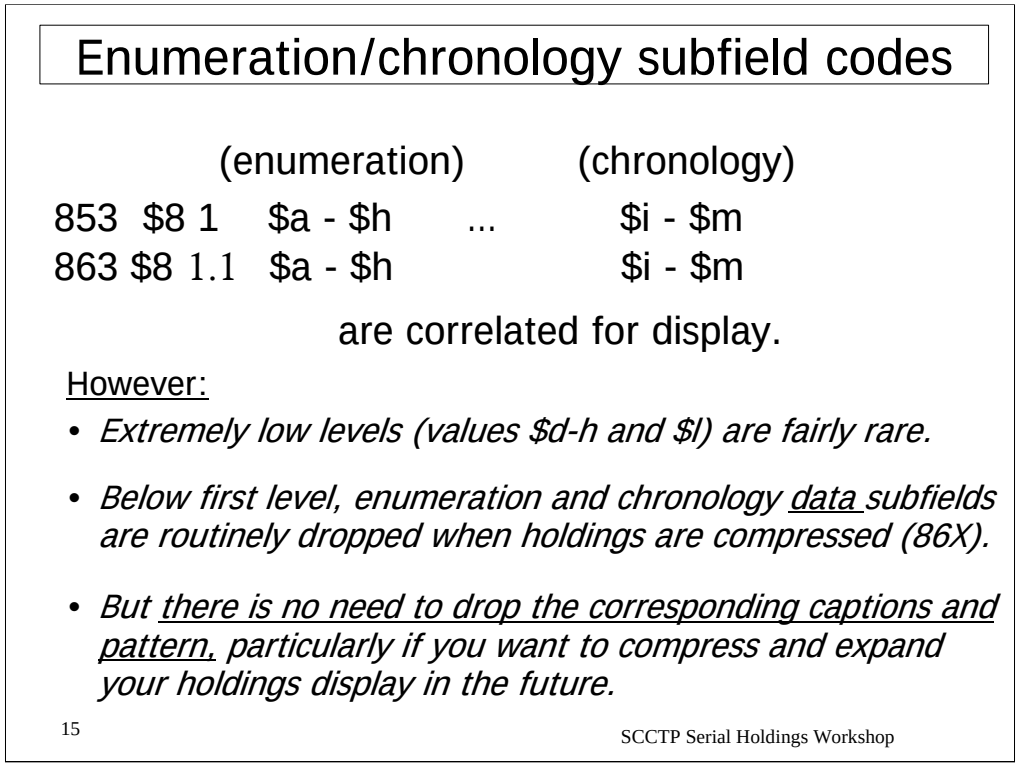


**Correlation of captions and enumeration/chronology**

**a. Hierarchy**

•This slide shows overall correlation of the subfields of the 853 and 863 fields.

•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 levels of enumeration coded in subfields a,b,c;*
  *3 levels of chronology coded in subfields i, j and k.*
- *Parentheses ( ) suppress the display of chronological captions.*

Possible display (NISO):

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

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

## 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

Year serves as the highest level of enumeration and is coded in enumeration subfield a

NISO display*:*

1998:no.1

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

## 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

- *2 levels of enumeration coded in subfields a and b*
- *2 levels of chronology coded in subfields i and j*
- *Alternative numbering for specific piece in subfield g*

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

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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.

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

- The designation for a series is considered part of the caption
- There is only one level of enumeration and one caption in this example

**NISO display:**

**new ser.B:no.12**

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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.

## Other subfields

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

***Corresponding copy number in 86X $t (not shown)***

*Example:*

853 __ $8 1 $a v. $b no. $u 12 $v c $i (year)
$j (month) $w m $x 06 $t c.

o - Type/title of supplementary material or index [854/855/864/865]

***Corresponding suppl./index title in 86X$o if present (not shown)***

*Example:*

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

- Always immediately follows the caption to which it refers.

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**t - Copy caption**

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

**o - Type of supplementary material or index**

In fields 853, 854, and 855, subfield o indicates in free text the type of unit, supplement, or index that is held. In fields 863, 864 and 865, subfield o indicates the title of the supplementary material or index.

**Note**: $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.

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

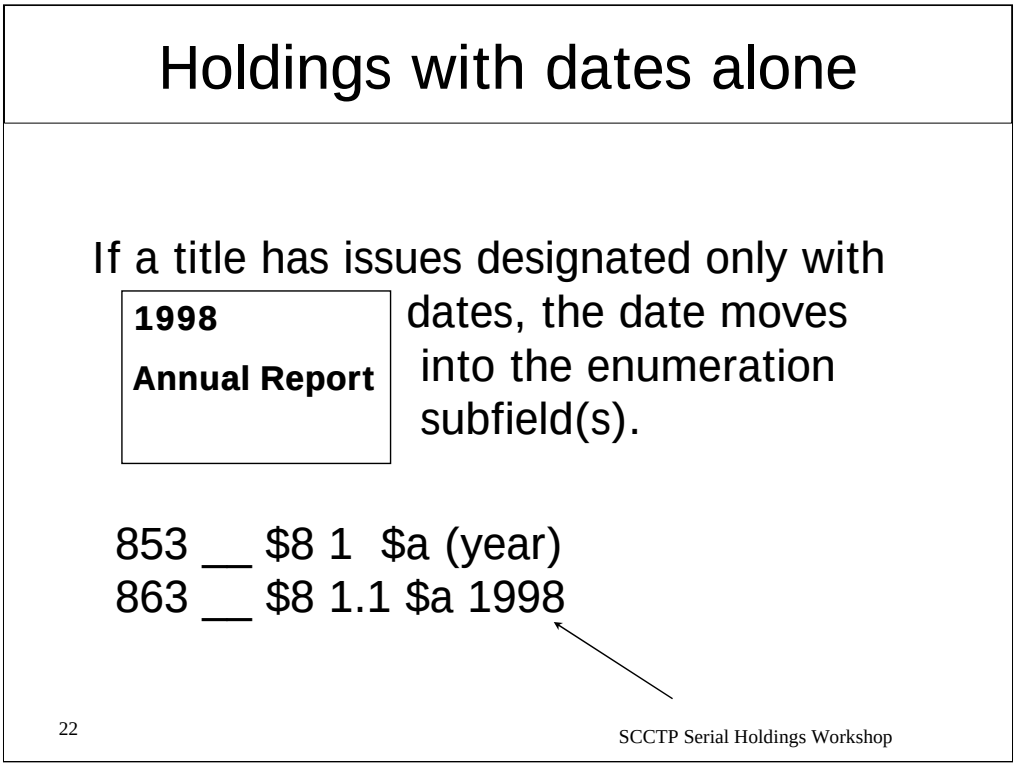
A system may display this free text in your OPAC.

Systems may display this as: 1996 (Buyer's guide) or

SUPPLEMENTS: Buyer's guide:

1996

# Special problems:
# Dates as enumeration, gaps, changes in captions
# (Further complexities: Session 6)



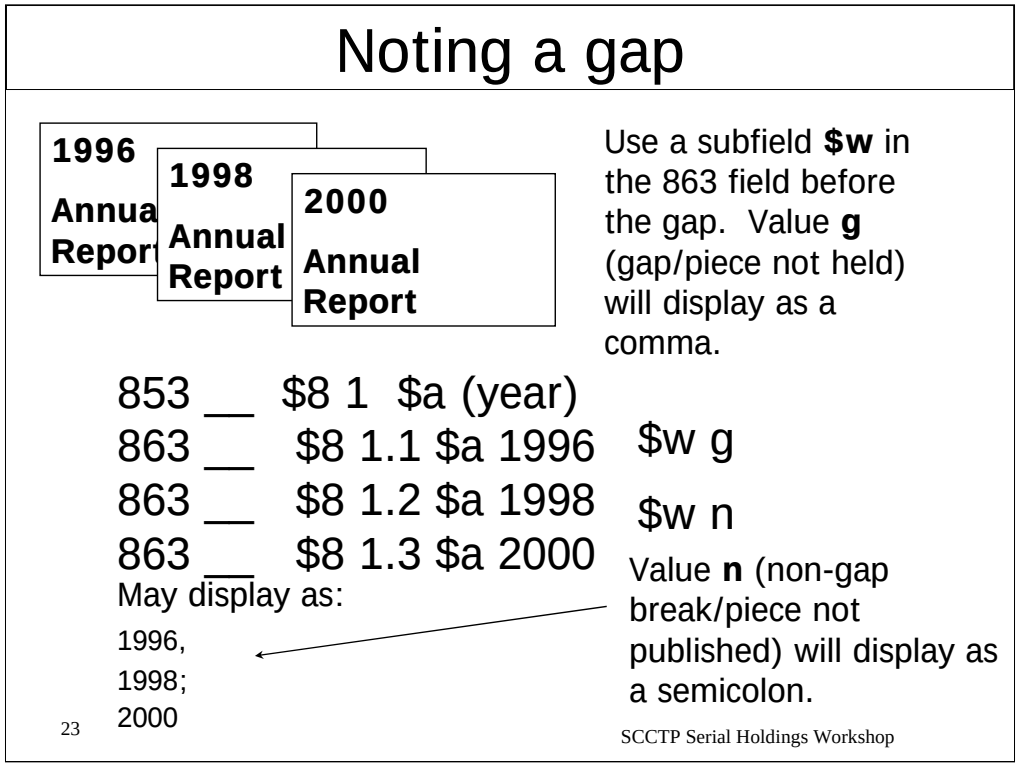

*<Animated slide>*

**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.




*<Animated slide>*

**Gaps**

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

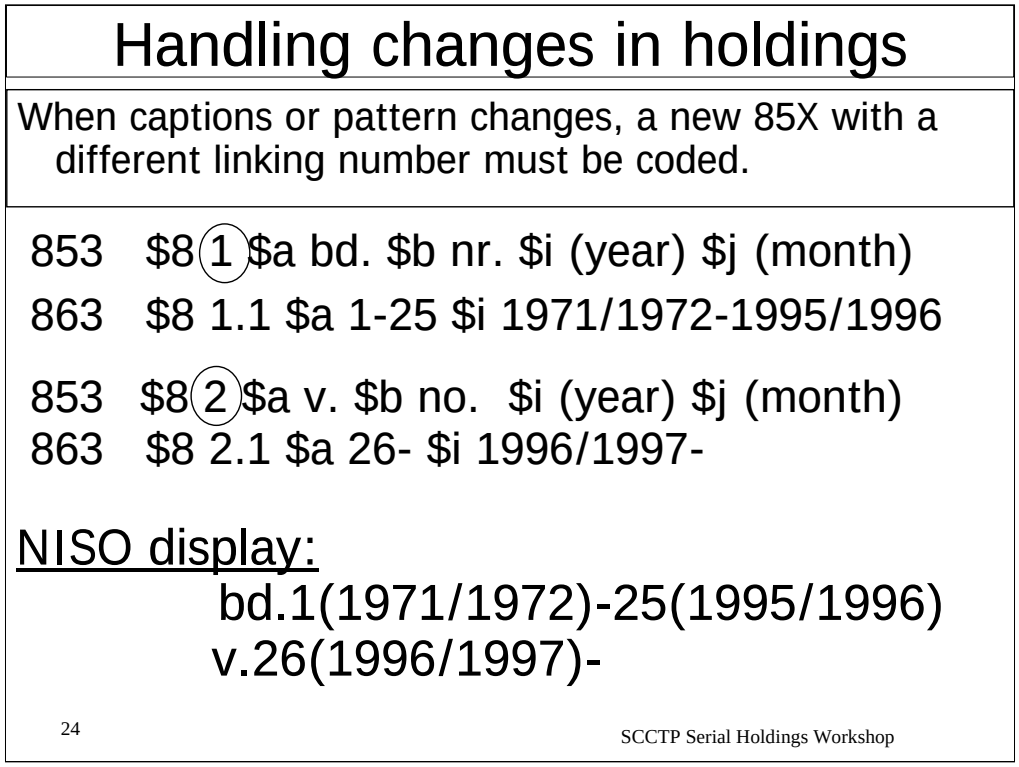
•If the missing material was published and is simply not held, the value input is g. The subfield is placed on the line preceding the gap. You don't need to enter anything for the gap itself.

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

•The NISO displays for each of these values are:

–a gap displays as a comma,

–a non-gap break as a semicolon.




<*Animated slide*>

**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

1. 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 _ _

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# Exercise

## Answer sheet

1. You have a subscription to the Journal of Soapbox Oratory starting with Volume 3, no. 1 (June 1999). Using the Handbook, give the enumeration and chronology for the first five issues of receipt, corresponding to the 853 enumeration and chronology captions.

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

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## Indicators for 85X and 86X

**85X**

| | |
|---|---|
| 1st indicator = | Compressibility and expandability [853, 854 only] -- whether data *can* be compressed or expanded |
| 2nd indicator = | Caption evaluation -- did you look at the piece? |

**86X**

| | |
|---|---|
| 1st indicator = | Level of specificity -- detailed, summary, etc. |
| 2nd indicator = | Form of holdings (compressed or uncompressed) -- is it one, or more than one, *physical* piece (or volume)? |

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**Indicator values for 85X and 86X fields**

The 85X 1st indicator is based on the presence 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.

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.

## *Compression*/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

v.1-13

Automated compression of holdings in more than one level is only possible by means of the publication pattern, acted upon by a computer algorithm.

*Expand:* To do the opposite!

- v.1:no.1 v.1:no.2 v.1:no.3
- Expansion of compressed holdings results in an itemized, piece by piece or volume by volume display. It also employs the publication pattern if two or more levels are present.

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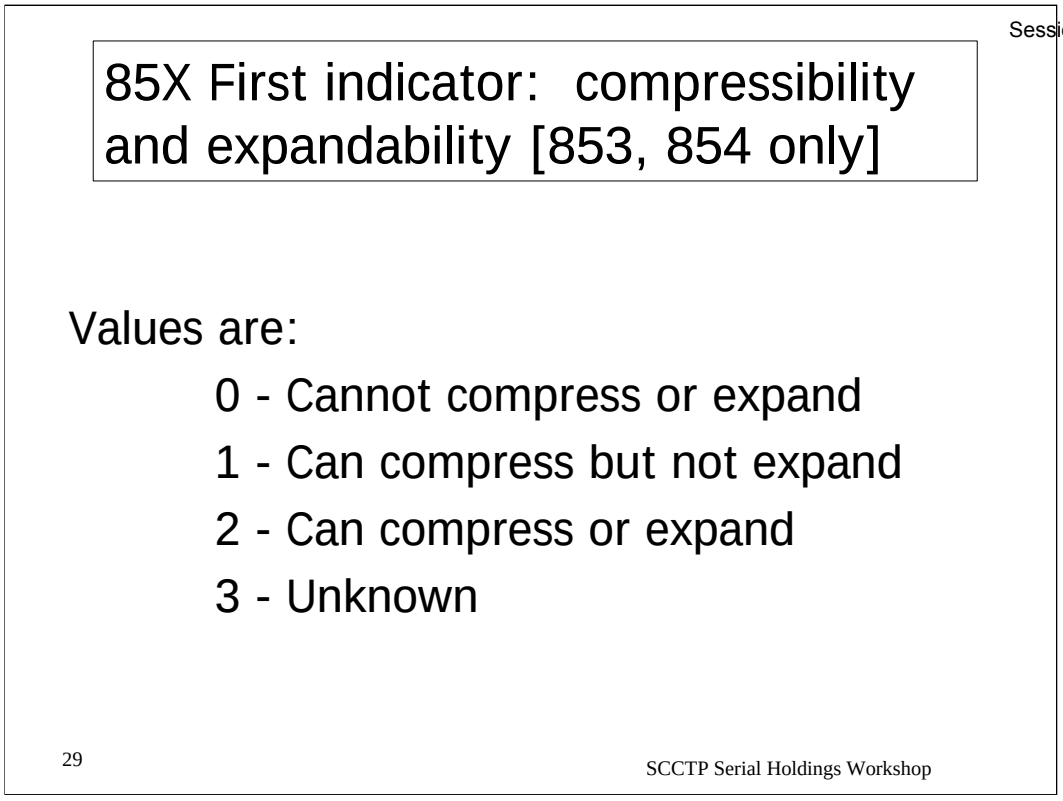
**Compression**

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.

**Expansion**

The concept of expansion is the exact reverse of compression, that is to take compressed (range) holdings and create issue level or volume level statements. 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.




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 the actual form of the data. 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.

## 85X First indicator 0
## *Cannot compress or expand [853/854]*

*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

*May display as:*

v.1:no.3(1994:July)-1:4(1994:Oct)
v.2:no.1(1995:Jan.)

These holdings have no pattern present. Despite the detail given, they cannot be expanded or compressed.

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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 First indicator 1
## *Can compress but not expand*

*Example:*

853 10 $8 1 $a v. $b no. *$u 4 $v r* $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

*May display additionally as:*

v.1:no.3(1994:Jul.)-2:1(1995:Jan.)

Can compress because the pattern for "no." will tell the computer that there are four numbers to a volume, so these parts are sequential. To expand, however, it would need to know frequency and point in the year when the new volume should begin (as on next slide).

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Now we add the data that there are four issues, numbered 1 to 4, within each volume. (Mini-preview of the pattern elements)

These holdings may be compressed because the pattern will tell the computer that these issues are sequential. The computer can use the pattern algorithm to calculate that volume 2, part 1 should follow volume 1, part 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 First indicator 2
## *Can compress or expand*

*Example:*

853 **2**0 $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:Jul.)-2:1(1995:Jan.)

Expanded: v.1:no.3(1994:Jul.) v.1:no.4(1994:Oct.) v.2:no.1(1995:Jan.)

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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.

(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 First 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.

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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.

## 85X Second indicator: *Caption evaluation* [853/854 only]

- Indicates the completeness and accuracy of the captions for the various levels of enumeration and chronology and whether they have been verified from the pieces.
- *Values:*
  - 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

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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.

Note: 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 First indicator: *level of specificity*

blank No information provided

*may be set during system conversion*

3 Summary holdings

*only at the first (volume) level*

4 Detailed holdings

*accurate to all levels of enumeration & chronology*

5 Detailed with Piece Designation

*usually for barcoded or accessioned parts*

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**Indicators - First indicator**

The Z39.71 level of specificity for the data *in this repeat* (the enumeration and chronology in this range).

Level 3 **summary holdings**

– if you know you have some part of a volume but you do not know which part

Level 4 **detailed holdings**

– you guarantee that all holdings are described accurately, including any gaps in holdings.

Level 5 **detailed with piece designation**

–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 Appendix 10.

## 86X second 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

*Note: The only valid values for **865 (Index)** are second indicators **1** and **3 (uncompressed).***

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**Indicators - Second indicator**

2 purposes:

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.

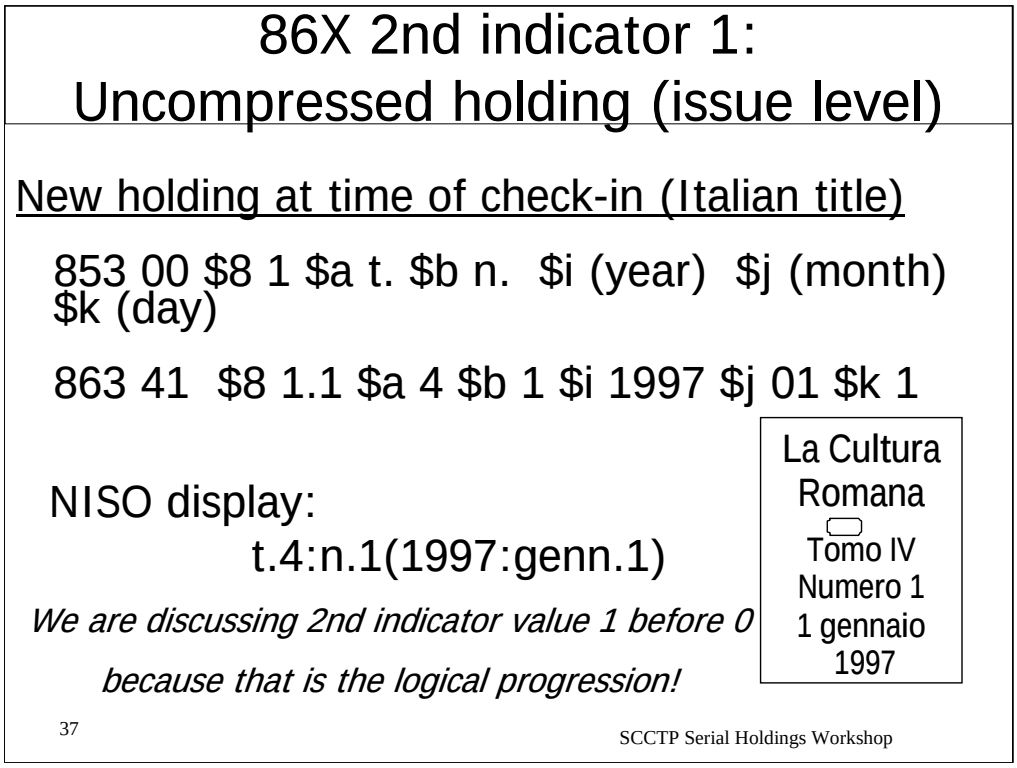
*<Instructors: It would be good to mention here that coded holdings can be replaced with Textual Holdings fields for display, for reasons of readability, convenience, or other factors. This process will be more fully described in Session 5>*

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.

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).

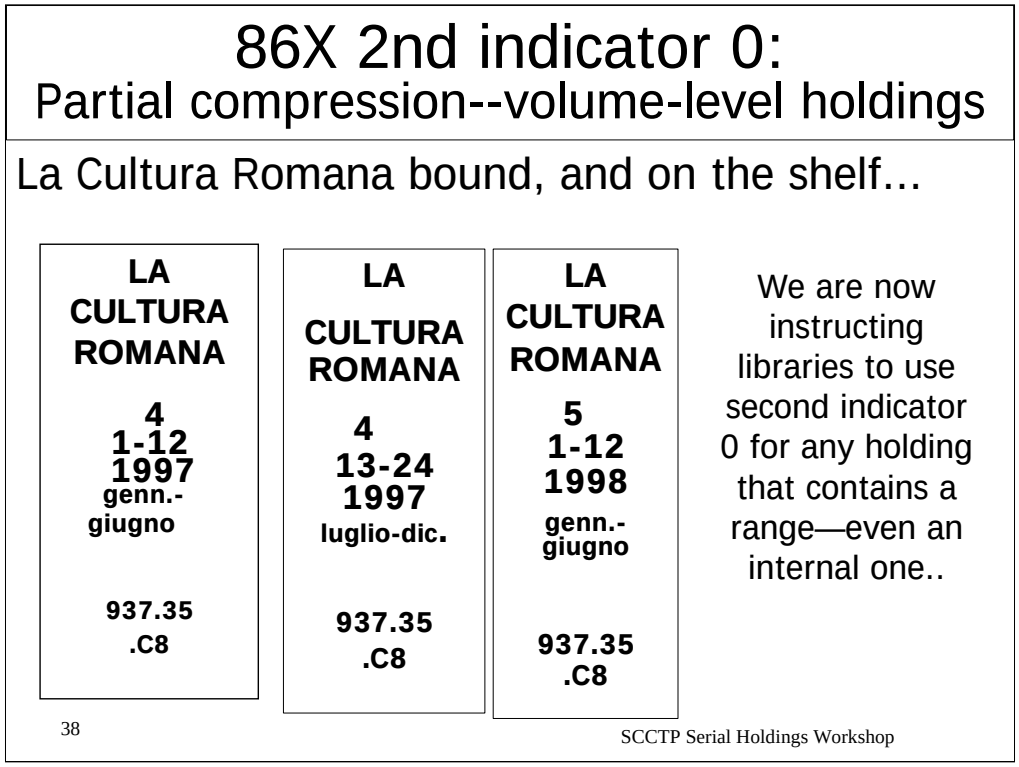



**Fully itemized (uncompressed) holding (Check-in)**

*<Animated slide. The instructor may fill this holding in interactively with the aid of a flipchart, or display the values on the screen. Explain that it illustrates how one would receive a title at the "issue level" during the check-in process. >*

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.




**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.

<**The definition of second indicators 0 and 1 has been unclear. We are now recommending that any internal range 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.**>

## 86X 2nd indicator 0--Partial compression: volume-level holdings with internal ranges(with barcodes)

853 20 $8 1 $a t. $b n. $u24 $v r $i (year) $j (month)$k (day) $w s $x 0101

863 50 $8 1.1 $a 4 $b 1-12 $i 1997 $j01-06 $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

...[etc.]

***In updated systems, barcode may be moved to item fields 876-878, but the rest of the coding remains the same.***



**Itemized holding at Volume Level (OPAC, Report, Circulation System)**.

*<Animated slide>*

•This screen shows 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.

•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).

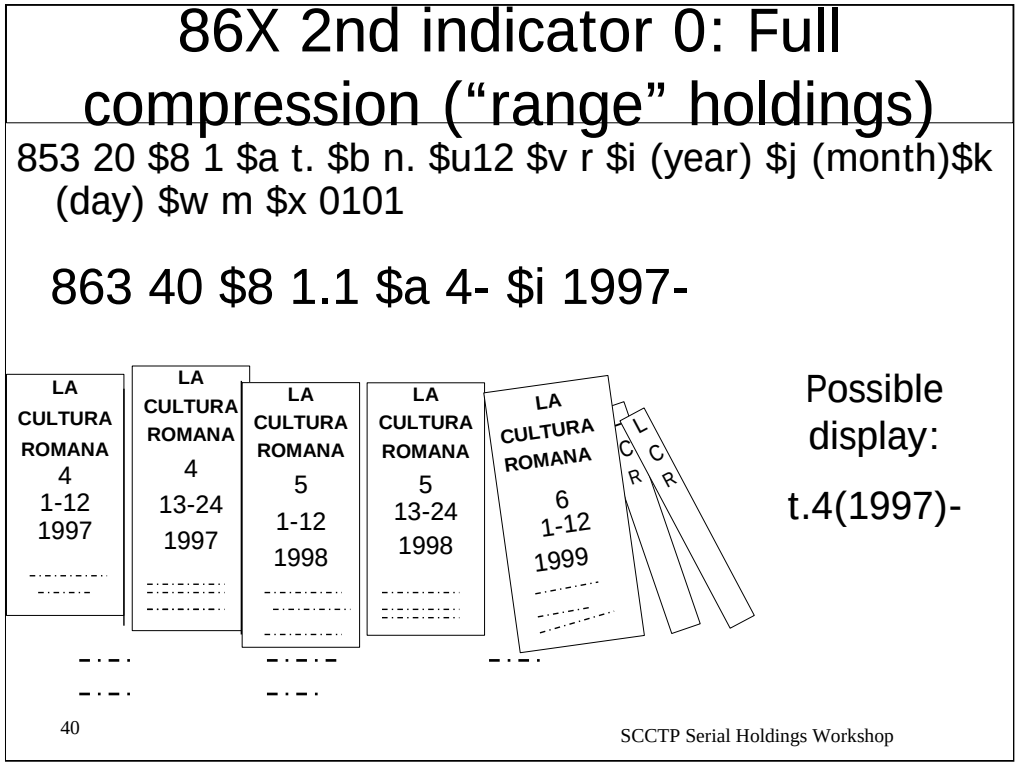
•First indicator 5 shows that the fields contain or are linked to a piece designation (a barcode or other item information, subfield $p). Subfield $p in the newest systems is moved to special item fields 876-878.

•Though barcodes are illustrated here, holdings may be itemized <u>without</u> 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.

*<As an exercise, the instructor may ask for guidance in writing out the public holdings display of this information.. It should then be easy to do the same on the next screen.>*

**Again: The definition of second indicators 0 and 1 has been unclear. We are now recommending that any internal range be indicated by second indicator 0. See notes to previous slide.**




**D. Full Compression: Summary Holding**

*<Animated slide>*

Here is the same data fully compressed from the issue or volume level to the level of a range of volumes. The second indicator 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.

**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.**

# Commonly-used indicator values

The examples in these sessions show the indicator values you are most likely to use with **current receipts:**

| | | |
|---|---|---|
| **853** | **1st ind.** | **2 (Can compress or expand)** |
| | **2nd ind.** | **0 (Captions verified; all levels present)** |
| **863** | **1st ind.** | **4 or 5 (Detailed holdings)** |
| | **2nd ind.** | **1 (Itemized holdings)** |

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# Commonly-used indicator values

These indicators may be more commonly used with **retrospective holdings**:

| | | | |
|---|---|---|---|
| 853 | 1st ind. | 3 | (Unknown compression and expansion |
| | 2nd ind. | 3 | (Captions unverified; all levels may not be present) |
| 863 | 1st ind. | 3 | (Summary holdings with some missing issues, unspecified) |
| | 2nd ind. | 0 | (Range of volumes) |

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## Ranges of incomplete volumes

It is helpful when a system allows you to state an entire range of holdings beginning or ending in the middle of an incomplete volume:

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

863 $8 1.1 $a 1-8 $b 1-10 $i 1991-1998 $j 01-04 $k 6-18

*Possible display:*

v.1:no.1(1991:Jan.6)-v.8:no.10(1998:Apr.18)

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One of the most helpful features of a few systems now in existence is the ability to "parse" a holdings statement around a hyphen, putting the related elements before the hyphen in one sequence, and the related elements following the hyphen in another sequence (All the elements before the 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. It would be very desirable for all systems to learn how to enable us to create this kind of statement in a holdings record.

## Summary

- *Holdings for issues and volumes, as well as ranges of issues and volumes, are coded in 863-865, and paired with 853-855 captions for display. Codes distinguish base volumes, indexes, and supplements.*
- *One 85X field can be paired with many 86X fields.*
- *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.*

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# Summary

- *Data fields comprise 6 levels of enumeration, 4 of chronology, plus alternative enumeration/chronology.*
- *Holdings can be coded at the issue level, the physical volume level, and the "range" or summary level. All levels have different uses and functions.*
- *Indicators show:*
  - *Ability to compress, Authoritativeness of captions, Level of specificity, and Status of compression.*

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# Exercise

Here is the answer from our last exercise. Leave the first 853 indicator blank, since there is no pattern. Using the space beneath the holdings, write in what the compressed data would look like and supply the other appropriate indicator values (considering these issues as unbound).

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

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# Exercise

**ANSWER SHEET**

853  0 $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

**Exercise (Take Home)**

v.1 1979 (no.1-4) Jan,Apr,Jun,Sep
v.2 1980 "
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 ?

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**Take-Home Exercise**

v.1 1979 (no.1-4) Jan,Apr,Jun,Sep
v.2 1980 "
v.3 1981 no. 1
v.4 1982
v.5 1983
v.6 1984/wSuppl. 1984
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 nmbering.

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

853 20 $8 2 $a (year) $b no. $i (year) $j (season)

854 20 $8_1_ $a (year)

855 $8 1 $a v. $i (year)

863 40 $8 1.1 $a 1-3 $b 1-1 $i 1979-1981 $j 1-1 $w g [with parsing]

863 40 $81.1 $a 1-2 $i1979-1980
863 41 $8 1.2 $a 3 $b 1 $i 1981 $j 1 $w g } [without parsing]

863 40 $8 1.3 $a 4-7 $i 1982-1985

864 41 $8 1.4 $a 1984 $z in v.6

863 40 $8 2.1 $a 1986 [some systems would use $8 2.5, etc.]

865 41 $8 2.4 $a 1/5 $i 1979/1983 **Answer sheet**

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Notes on the exercise:

The first holdings statement is recorded twice, once in a "parsed" form that can give the whole statement, the second in a form that breaks it into two lines for the complete volumes followed by the incomplete volume.

1986 volume: If a volume whose main designation is chronological (a year) has both internal numbering and internal chronology, both may be expressed in the captions and pattern. However, complete volumes may be compressed to only the year.

The supplement is given its own holding even though it is physically located within a base volume. This is a choice. If it is minor, it could be mentioned in a public note in the holdings statement for the base volume.

## 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)

# Holdings Session 4
# Recording Patterns
# (853, 854, 855 fields subfields $u - $y)

- *What are patterns?*
- *Where do you record publication patterns?*
- *How do systems correctly predict expected issues?*
- *What happens when a publication changes frequency or publication pattern?*

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SCCTP Serial Holdings Workshop

**Holdings Session 4 -- Recording Patterns**

**Contents**



**Warm Up Exercises**

Ask how many people are using predictive check-in systems

When issues change publishing patterns or numbering what library operations are affected?

How do users ask for a particular issue of a title?

**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 issues for rapid check-in
- Prediction is based on the pattern data from field 85X subfields u - y
- 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.

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Technical Note to instructors:

Many new pattern subfields have been added to the MARC Format for Holdings, including subfields $p, several values in $y, and $z.

Existing systems, so far as we know, have not implemented them yet.

They are stated in Appendix 5.

## Patterns and compression

Patterns are...

Not required in 853/854 for compression or expansion when only the highest level of enumeration is present in the 863/864.

Required in 853/854 for compression or expansion when subsequent levels of enumeration are present in the 863/864.

*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!*

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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 4.

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. Note: 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

- *Number of units* for each part below first level, per next higher level
- Whether numbering *restarts* or is *continuous*
- *Frequency* (monthly, annual, etc.)
- 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.

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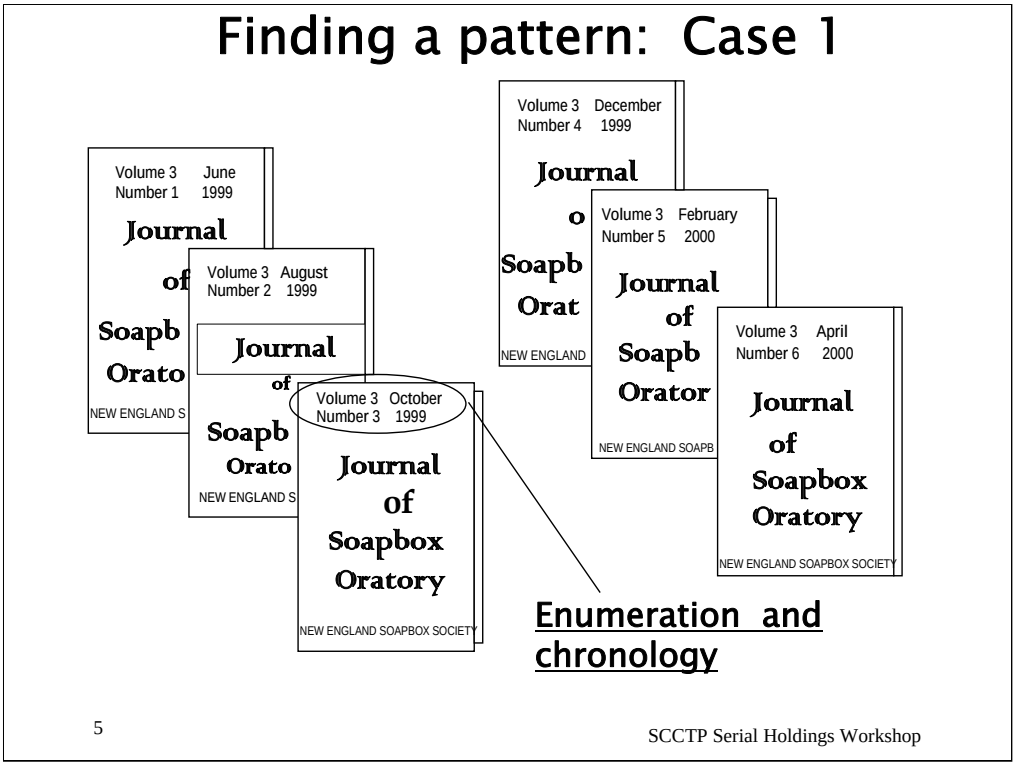
**Pattern data elements.** Constructing pattern data codes for the pattern of receipt of a title enables it to be predicted in a serials control system. The elements of the pattern are given on the slide. Some of them have extensive possibilities for coding. The slides to follow will elaborate on these concepts.

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!




Instructors: For this segment, we are imagining putting holdings online for the first time, and doing some preliminary work identifying holdings information.

Ask the audience to tell you what they can about this journal. It is also your chance to illustrate the vocabulary: designation, enumeration, chronology, pattern, frequency, regularity, captions, restarts, calendar change, pattern change. Indicate that there is an glossary in Appendix 4.

They should be able to tell you, with prompting, that:

•it has one volume per year with six issues per volume and that the internal numbering restarts with each new volume

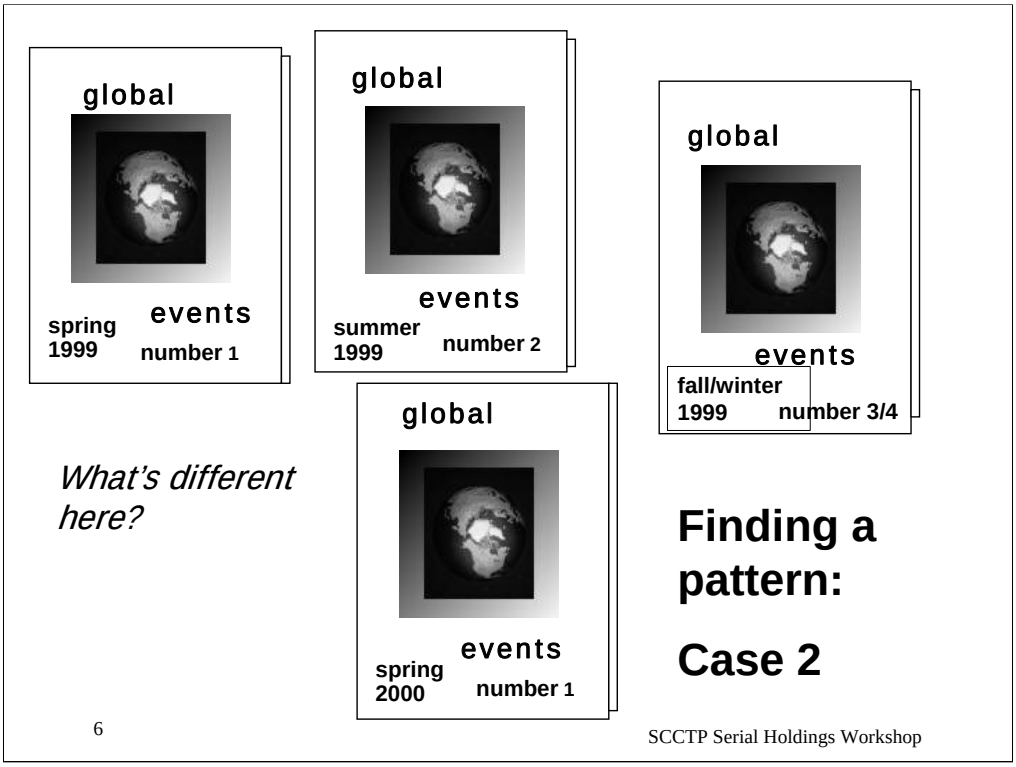
•it seems to be a regular bimonthly

•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.




Instructors: Ask the audience to tell you the difference between the designation printed on this serial cover and that on the previous slide.

They 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

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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).
- Follows the caption subfield to which it applies.
- Values:
  - [n] (Number of parts)
  - var (Varies)
  - und (Undetermined)

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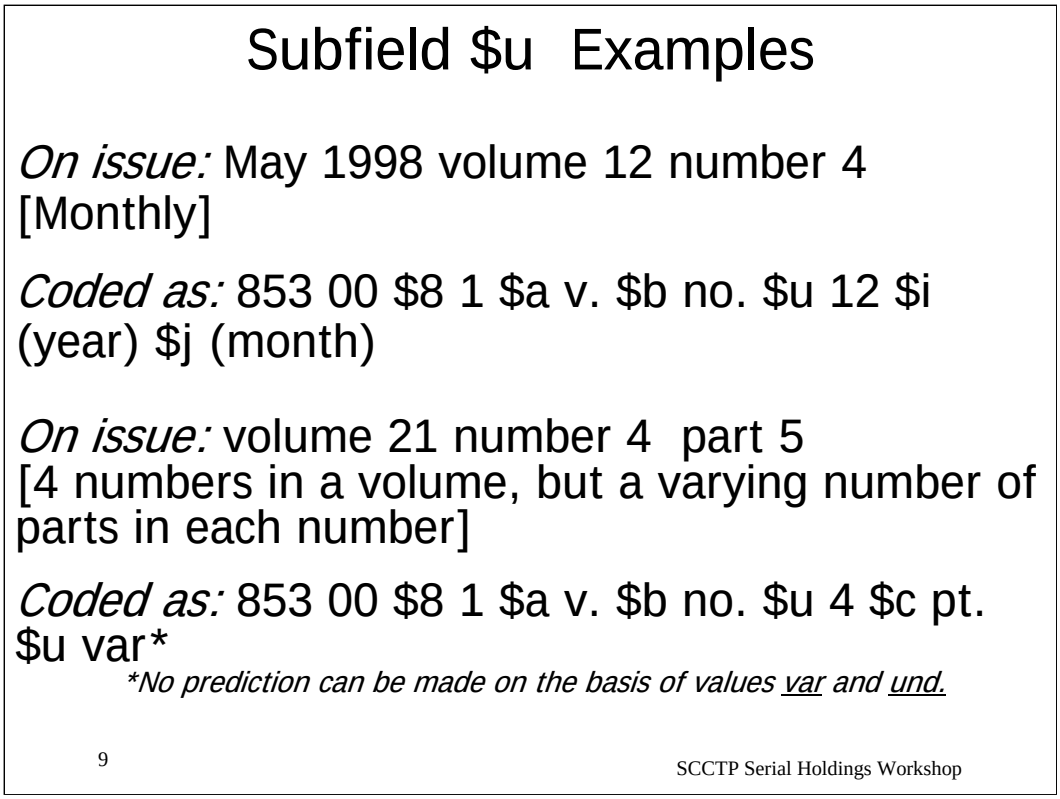
**Number of units per higher-level unit**. This element describes how many units will be published before the number of the level above increases by 1. The value is used as a trigger by systems. For example, if a title consists of “volumes” and “numbers”, and each volume consists of 12 numbers, the number 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.




Instructors: 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 onscreen, 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.

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

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**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 Examples

*On issues:* Volume 1 part 12
Volume 2 part 13
Volume 2 part 14

*Coded as:* 853 10 $8 1 $a v. $b pt. $u 12 $v c

*On issue:* volume 21 number 4 part 2

*Coded as:* 853 10 $8 1 $a v. $b no. $u 4 $v r $c pt. $u 2 $v r

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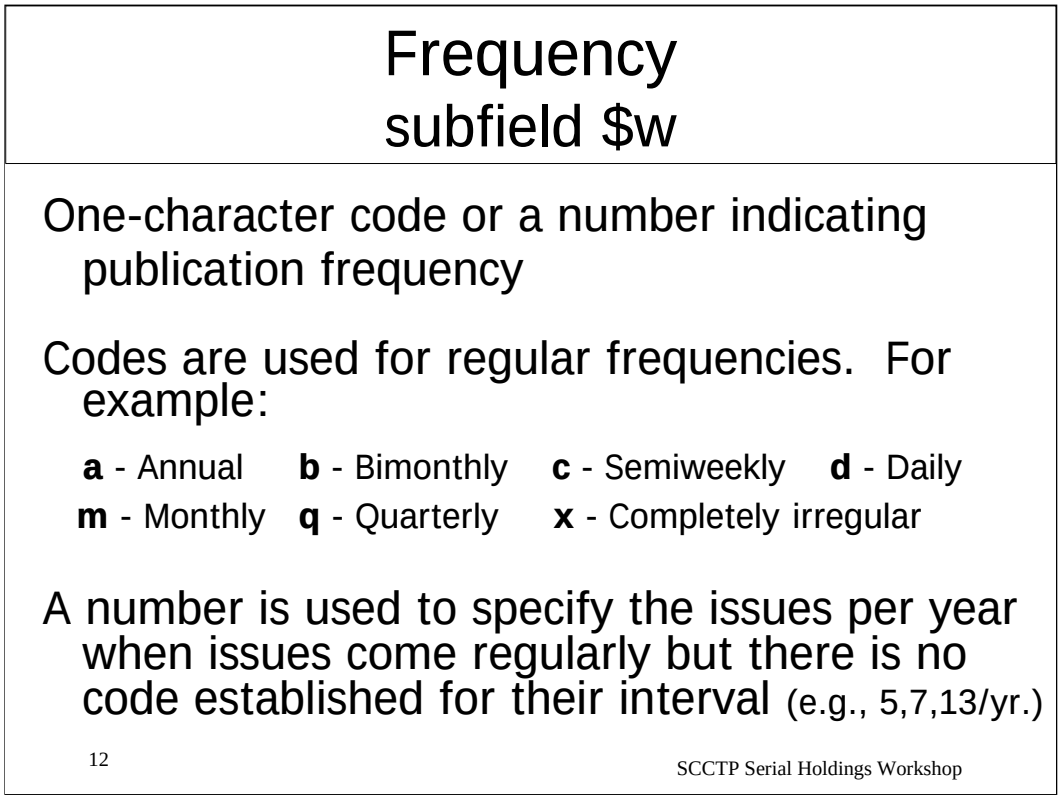
1st example:

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.

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.** 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 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 Appendix 5.

# Subfield $w Examples

*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

*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

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Instructors: 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.*

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 (*mmdd)* identifies the month and the day of change. A month or day code of less than two digits is right justified, and the unused position contains a zero.
- Month: 01 - 12 Day: 01 - 31
- Season: 21 (Spring) 22 (Summer) 23 (Autumn) 24 (Winter)

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**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.

# Subfield $x Examples

*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

*On issue:* volume 21 number 4 October 1996 {monthly, 2 v. per year}

*Coded as:* 853 20 $8 1 $a v. $b no. $u 6 $v r $i (year) $j (month) $w m $x 01,07

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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.

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)

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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 whim 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 (Cont.)

- First code indicates whether the subsequent codes refer to issues that are omitted or published.

  Publication code: **o** - Omitted **p** - Published **c** - Combined

- Second code indicates the day, numeric month or month-and-day, season, or week that is omitted or published.

  Chronology code definition:

  **d** - Day **m** - Month **s** - Season **w** - Week **y** - Year

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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 (Appendix 5) has the pertinent codes.

.

# Regularity pattern subfield $y (cont.)

The third code or set of codes *(chronology code(s))* indicates when the issues are or 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 (Spring)  22 (Summer)  23 (Autumn)  24 (Winter)

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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.

(This is a nearly bimonthly publication, but since a December issue does not appear, a regularity pattern is needed.)

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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.

## Changes to patterns

- Like *changes in captions, changes in pattern* require a new 85X.
- Close the old and open a new field anytime a change occurs that would require different coding in the subfields, for example:
  - Frequency changes
  - Issues start being combined or omitted
  - Numbering becomes continuous rather than restarting
- A subfield $3 may be input to aid staff coders by showing the duration of the pattern, if this is not clear from the 86X fields.

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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.

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 $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-)

Library has a gap from Vol. 11,no.1 to Vol. 13, no. 2. They know that the new pattern first occurred during their gap.

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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.

In this case there was a gap in the library's holdings right during the period when the pattern was changing. 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 6 in more detail.

# Summary

*Pattern information is used for two major purposes:*

- *– Prediction of expected issues for check-in, and subsequent claiming of issues not received*
- *– Compression and expansion of existing holdings in the OPAC.*
- *– If compression and expansion will not be needed in the OPAC, a library may omit the pattern when inputting holdings retrospectively.*

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# Exercises

Complete an 85X field for each example.

Use all subfield codes necessary.

Set the indicators so the holdings could be compressed or expanded and that all captions and levels of enumeration have been verified.

Create the field using the dollar sign ($) to delimit a new subfield code, e.g $a, $b, etc.

## 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

# More exercises

5. 9 times a year in 3 volumes, none published July-Sept.: vol. 22, no. 1 Jan. 1993, vol. 23, no. 1, April 1993, vol. 24, no 1, Oct. 1993
6. Irregular with 9 issues per volume: v. 6, no. 1 Sept. 1998
7. "1990 Annual Best of the Literature" which is a supplement to the monthly title, Literature review
8. Monthly, in 2 v.: v. 3, no. 1 Jan. 1989; v. 4, no. 1 July 1989

# Answers to Exercises

1. Bimonthly: vol. 47, no. 1, June 1991

853 2 0 $8 1 $a v. $b no. $u 6 $v r $ i (year) $j (month) $w b $x 06

2. Quarterly : vol. 3, no. 1 Winter 1989

853 2 0 $8 1 $a v. $b no. $u 4 $v r $ i (year) $j (season) $w q $x 24

3. Monthly, does not publish December, June, July and has a combined issue of August/September: vol. 12, no. 1 Jan. 1990

853 2 0 $8 1 $a v. $b no. $u 8 $v r $ i (year) $j (month) $w m $y pm01,02,03,04,05,08/09,10,11

4. Daily with a combined Saturday/Sunday issue. Friday January 1, 1999

853 2 0 $8 1 $a (year) $b (month) $c (day) $w d $y pdmo,tu,we,th,fr,sa/su

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# Answers to exercises, cont'd.

5. 9 times a year in 3 volumes,, none published July-Sept.: vol. 22, no. 1 Jan. 1993, vo1. 23, no. 1, April 1993, vol. 24, no 1, Oct. 1993

   853 2 0 $8 1 $a v. $b no. $u 3 $v r $ i (year) $j (month) $w m $x 01,04,10 $y om07,08,09 [can also use pm coding here: $y pm 01,02,03,04,05,06,10,11,12]

6. Irregular with 9 issues per volume, vol. 6, no. 1 Sept. 1998

   853 2 0 $8 1 $a v. $b no. $u 9 $v r $i (year) $j (month) $w x $x 09

7. "1990 Annual Best of the Literature" which is a supplement to the monthly title Literature Review.

   854 2 0 $8 1 $a (year) $o Annual best of the literature $w a

8. Monthly, in 2 volumes a year: vol. 3, no. 1 January 1989; vol. 4, no. 1 July 1989

   853 2 0 $8 1 $a v. $b no. $u 6 $v r $ i (year) $j (month) $w m $x 01,07

# A guide table of patterns

- For a standard guide to pattern input, the following table, provided by VTLS, Inc., is useful:

  http://www.loc.gov/acq/conser/patthold-PATTERNSvtls.html

  – Note (Cautionary)
    - Changes to MFHD have brought additional ways of handling some of these patterns
    - Progress in implementing patterns varies from system to system

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Instructors: Clicking on the link in show mode will take you to the pattern guide table on the Publication Patterns Initiative web site.

# Holdings Session 5 -
## Textual Holdings and Item Fields

- *When should textual rather than coded holdings be used?*
- *How are textual holdings structured? Linked?*

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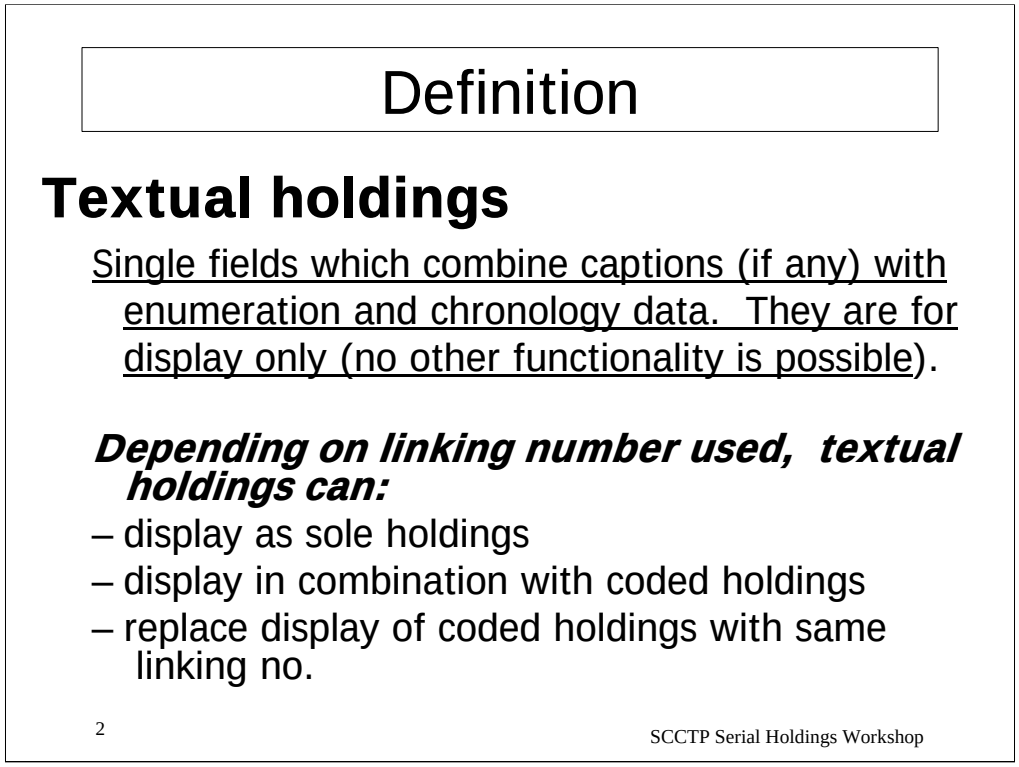
**Holdings Session 5 -- Textual Holdings and Item Fields**

**Contents**



**Warm Up Exercises**

Informally, throw out the question (perhaps building on previous discussions): Thinking just of the ways we display holdings information to users (local and remote), could some of the needs of separate files be met by separate *displays* of the same file?




**A. Textual holdings**

**1. 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 85X caption data with the 86X enumeration/chronology data.

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 previous sets of tags):

- 866 (Basic bibliographic items)
- 867 (Supplements)
- 868 (Indexes)

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**Categories**

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

866 _ _ $8 [Linking no.] $a [Captions and enumeration/chronology] $z [Public note] $x [Non-public note]

*Linking 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 sharing linking number. 2nd Indicators of 863-865 set to 2 or 3 (non-display)

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<Animated slide>

**2. Structure**

**a. General**

In contrast to 863-865 holdings fields, textual fields:

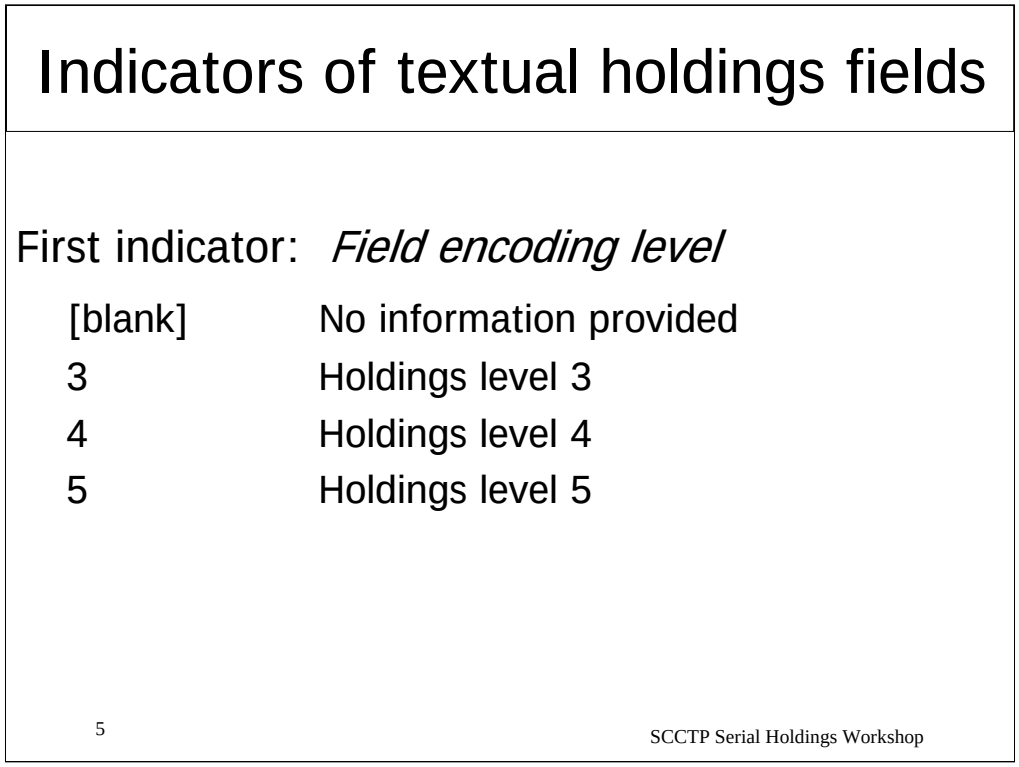
–have different indicator meanings (see following screens)

–have only linking numbers, without sequence numbers

»their relation* to any 863-865 linking numbers determines the significance of the linking number for display

–have 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.




**b. Indicators**

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.

## Indicators of textual holdings fields

Second indicator: *Type of notation*

| | |
|---|---|
| 0 | Non-standard |
| 1 | ANSI/NISO Z39.71 or ISO 10324 (the current standard) |
| 2 | ANSI Z39.42 (the 1980, superseded standard) |
| 7 | Source specified in ‡2 (e.g. US Newspaper Program with ‡2 usnp) |

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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:

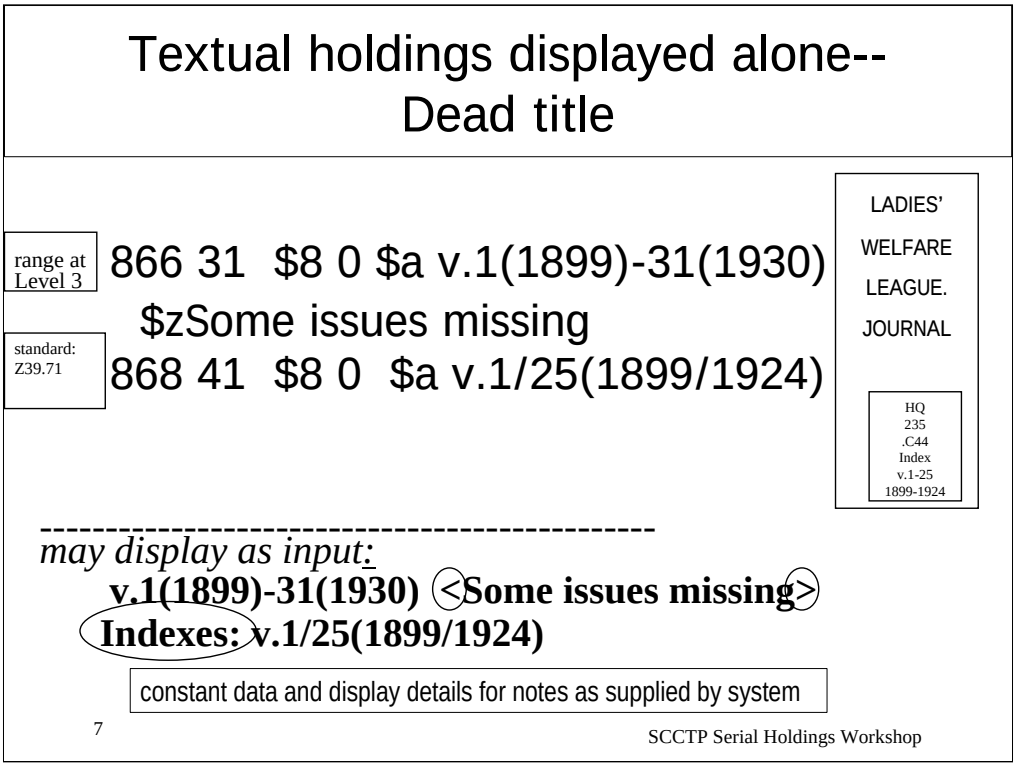
–lack captions

–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.




<Animated slide>

**3. Uses of Textual Holdings Fields**

**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.

•Some display features, like those circled, will vary from system to system.

We will next do a short exercise.

# Exercise:Retrospective holdings or holdings for a former or ceased title

- Enter the Holdings for Soviet Studies according to Z39.71. Call number: D1 .S72; Location: LJM Main Collection.
- Holdings in card file: 1-10,12-30 1962/63-1972, 1974-1991 and "Cumulative Index" for volumes 1-30

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# Exercise

852 _ _ $a $b $h $i

866 _ _ $8 $a

868 _ _ $8 $a $z

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## Exercise: Soviet Studies Answer

OPTION 1 (Separate)

852 01 $a LJM $b Main $h D1 $i .S72

866 41 $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 41 $80 $a v.1(1962/1963)-10(1972),v.12(1974)-30(1991)

868 41 $80 $a v.1/30 $z “Cumulative Index”

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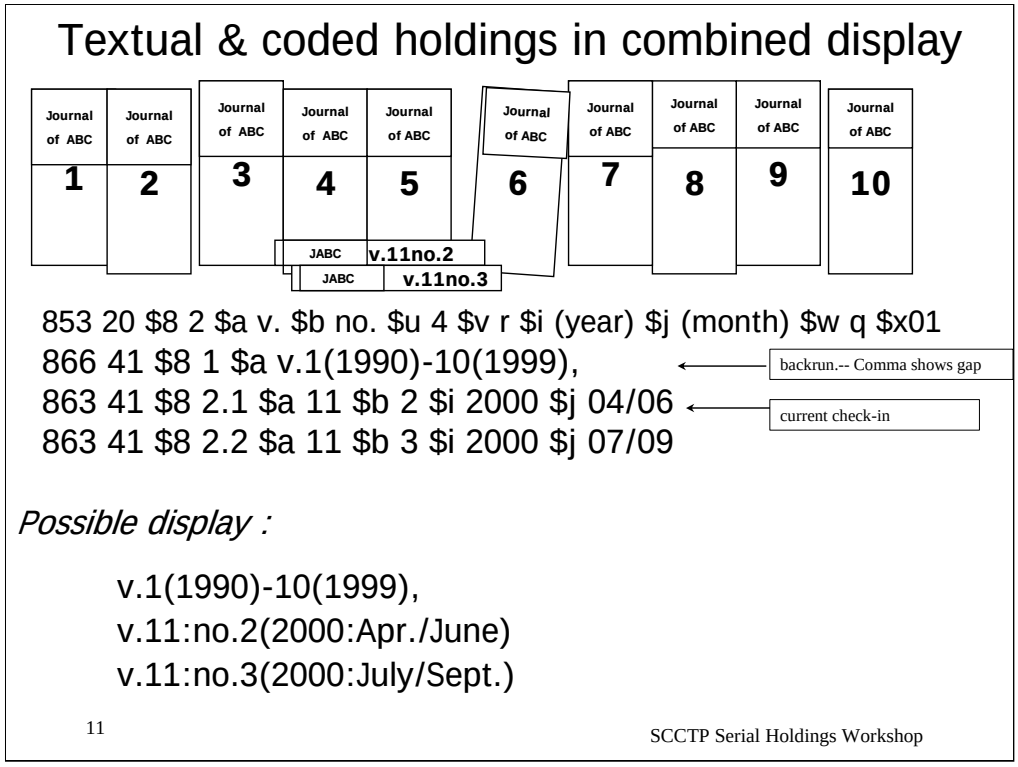
Please note that there is more than one option for displaying this information, and even the onscreen examples do not exhaust the possibilities. For instance, omitting captions after hyphens and slashes is optional.




*<Animated slide>*

**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 highlighted field is a Textual Holdings field, which 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:

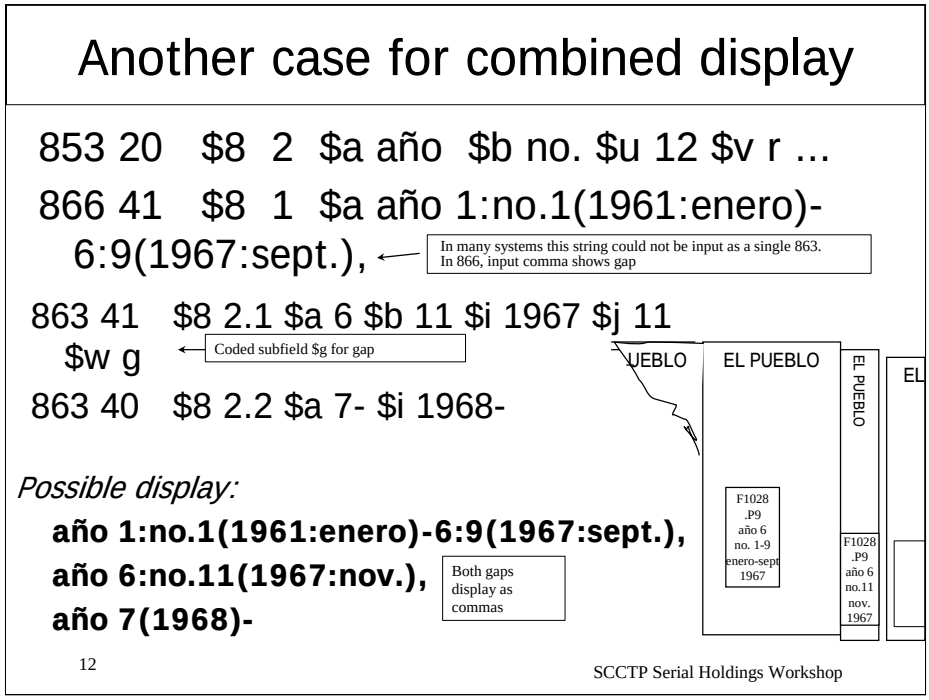
–displays exactly as it is input

–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.




*<Animated slide>*

**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.

•INSTRUCTORS: 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.

•There are gaps noted, but all are explicit. Though they are input differently, their display can be programmed to be identical.

•<Instructor could also note how display of months comes from both textual and coded (numeric) chronology (with the aid of the Language fixed field code)>

We will now try another exercise.

# Exercise: Current title with retrospective holdings

- Russian Studies Holdings v.31-40, 1994-2001 Library decided to give detailed holdings for the unbound current issues of v.40, 2001.
- So the library will build textual holdings for v.31-39, 1994-2000 and coded holdings (853/863) for the issues of v.40, 2001.
- We'll give you the display first...

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# Exercise (cont.)

Russian Studies: Call number: D 1 .S721

Location LJM [library code] Main Collection [shelving]

Holdings: v.31-39 1994-2000

Detailed holdings for seasonal quarterly displaying v.40 2001 Summer, Fall, Winter

*Resulting Display:*

Long Library, Main Collection D 1 .S721

v.31(1994)-39(2000)

v.40:no.1(2001:summer) v.40:no.2(2001:fall) v.40:no.3(2001:winter)

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# Exercise (cont.)

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

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# Exercise: Russian Studies Answer

852 01 $aLJM $b Main Collection $h D1$i .S721

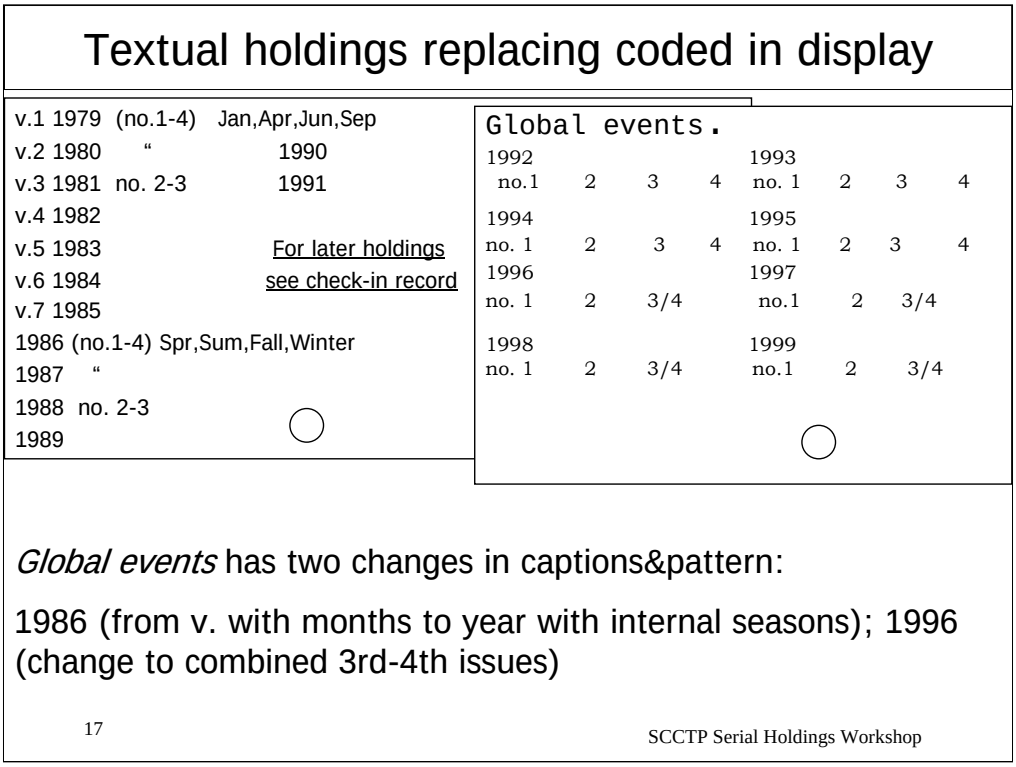
853 20 $8 2 $a v. $b no. $u 4 $v r $i (year) $j (season) $w q $x 22

866 41 $8 1 $a v.31(1994)-39(2000)

863 41 $8 2.1 $a 40 $b 1 $i 2001 $j 22

863 41 $8 2.2 $a 40 $b 2 $i 2001 $j 23

863 41 $8 2.3 $a 40 $b 3 $i 2001 $j 24




**d. Textual holdings as replacement for coded fields**

–2 changes in captions and pattern in this title from Session 4.

In order to fully understand the relationship, some time will be spent here on the coded paired fields.

## 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 4 $v r $i (year) $j (season) $w q $x 21 $y ps21,22,23/24 $3 1996-

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*<Animated slide>*

<Instructor could note that from information on 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>

- 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.
- 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 ce23/4.**
    - »**(c=combined chronology)**

*Coded In Color .....*

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) $bno. $u4 $vr $i(year) $j(season) $wq $x21 $3 1986-

863 42 $8 2.1 $a 1986-1987 $w g
863 42 $8 2.2 $a 1988 $b 2-3 $i 1988 $j21-23 $w g
863 42 $8 2.3 $a 1989-1995

853 20 $8 3 $a (year) $b no. $u 4 $v r $i (year) $j (season) $w q $x 21 $y ps21,22,23/24 $3 1996-

863 42 $8 3.1 $a 1996-

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<*Animated slide*>

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:

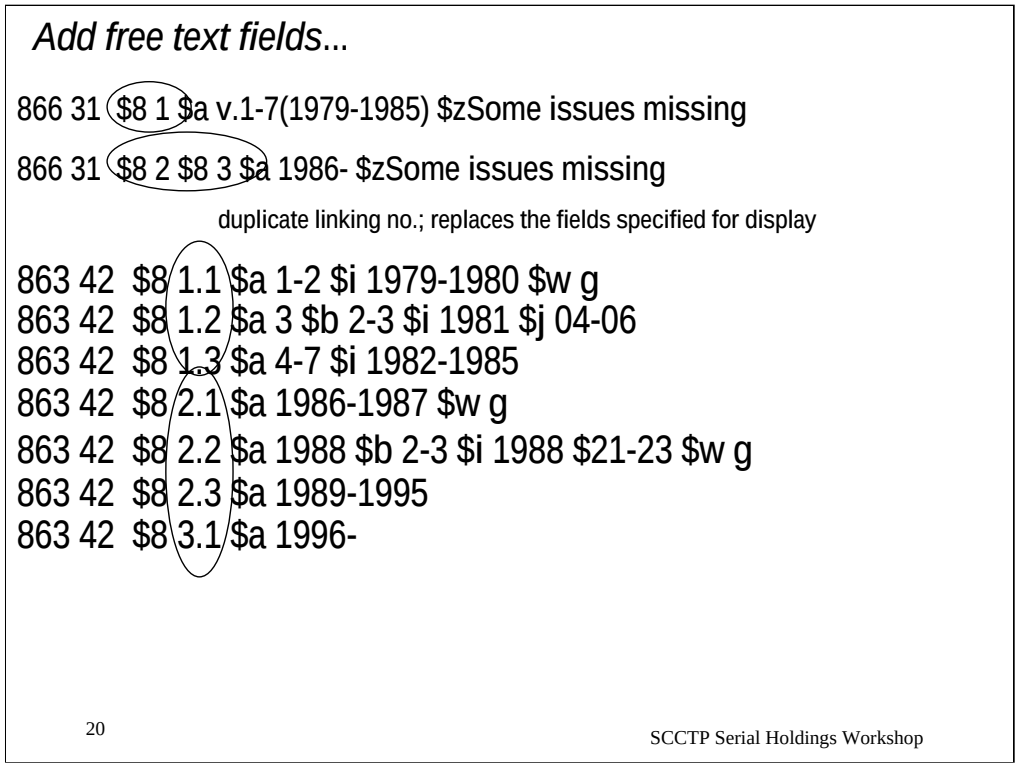
–"one to many."

– 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.




*<Animated slide>*

866 textual fields shown in green,

863 fields are shown in blue.

- 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:

**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.2-1988:3,**
**1989-1995**
**1996-**

***Though not apparently envisioned, the best option would be that the system could display the paired fields for users seeking more detail.**

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*<Animated slide>*

On this screen is a possible display.

Display from the textual fields is shown above the dashed line.

Display from the paired fields is shown below that 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!

Let's do another exercise.

# Exercise for title: Books

Title: Books *(note: later changed to World Literature)*

Call number: Z1007.B7

Location: LJM, Literature Building

Holdings:

volume 1, 1931;

volume 25-50, 1956-1981

& special supplement no.1-4, 1951-1954

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Instructors: 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.

# Exercise for Title:Books

852 _ _ $a $b $h $i

866 _ _ $8 $a

867 _ _ $8 $a $z

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## Exercise: Books Answer

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”

Holdings Display:

Long Library, Literature Building

Z 1007 .B7

v.1(1931),v.25(1956)-50(1981)

Supplement: no.1(1956)-4(1959) “Special Supplement”

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Note to instructors: Changes from first version of course:

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

World Literature call number: Z1007.B7

Location LJM, Literature Building

Holdings: volume 51-62,no.2, 1982-1991; volume 63-74, 1994-2005 + current issues

Quarterly (seasonal), -v.75(2006); bimonthly starting in Feb., v.76(2007)-

Express all holdings as a closed Level 3 textual holdings statement plus current issues for the latest two volumes, v.75 no.1 through v.76:no.1 (Both patterns will be needed)

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Note to instructors:

This exercise has changed since the first version of the course, simplifying slightly, and closing the formerly open holding.

# World Literature Exercise

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

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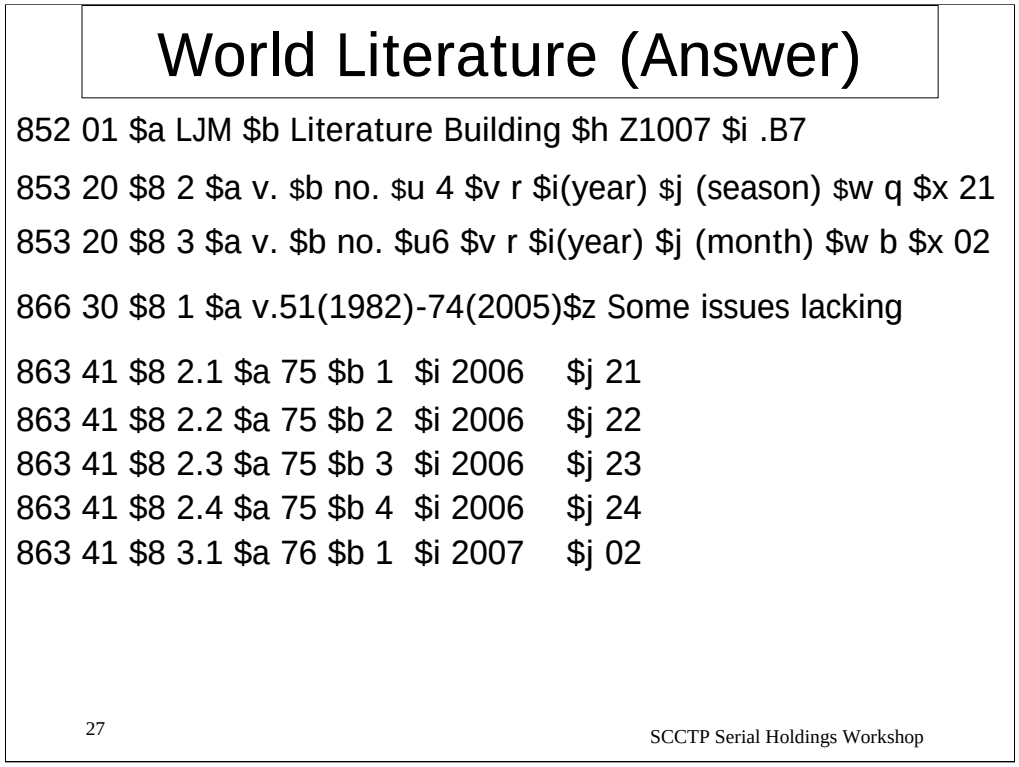


A public display is on the next screen. Once they have seen it, to help the class understand, you can go further with this exercise, asking them to show you how to input, and then suppress, Level 4 coded holdings for v.51-75. Because you want to suppress them, they must have a separate 853 $8 1 even though the pattern does not change until 2007:

Holdings statement: volume 51-62,no.2, 1982-1993; volume 63-75 1994-2005

853 20 $8 1 $a v. $b no. $u 4 $v r $i(year) $j (season) $w q $x 21

863 42 $81.1 $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 $81.2 $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..

# World Literature Answer Displayed

Holdings display:

Long Library, Literature Building  Z1007 .B7

Library Has:  v.51(1982)-74(2005) <Some gaps>
v.75:no.1(2006:spring) v.75:no.2(2006:summer)
v.75:no.3(2006:fall) v.75:no.4(2006:winter)
v.76:no.1(2007:Feb.)

# Summary

- *Textual holdings are often used for retrospective holdings.*
- *Captions and enumeration/chronology are input together.*
- *No manipulation by computer is possible.*
- *Depending on link number used, fields can*
  - *display between coded holdings*
  - *replace display of coded holdings with same link no.*
  - *display as sole holdings (link no. 0)*

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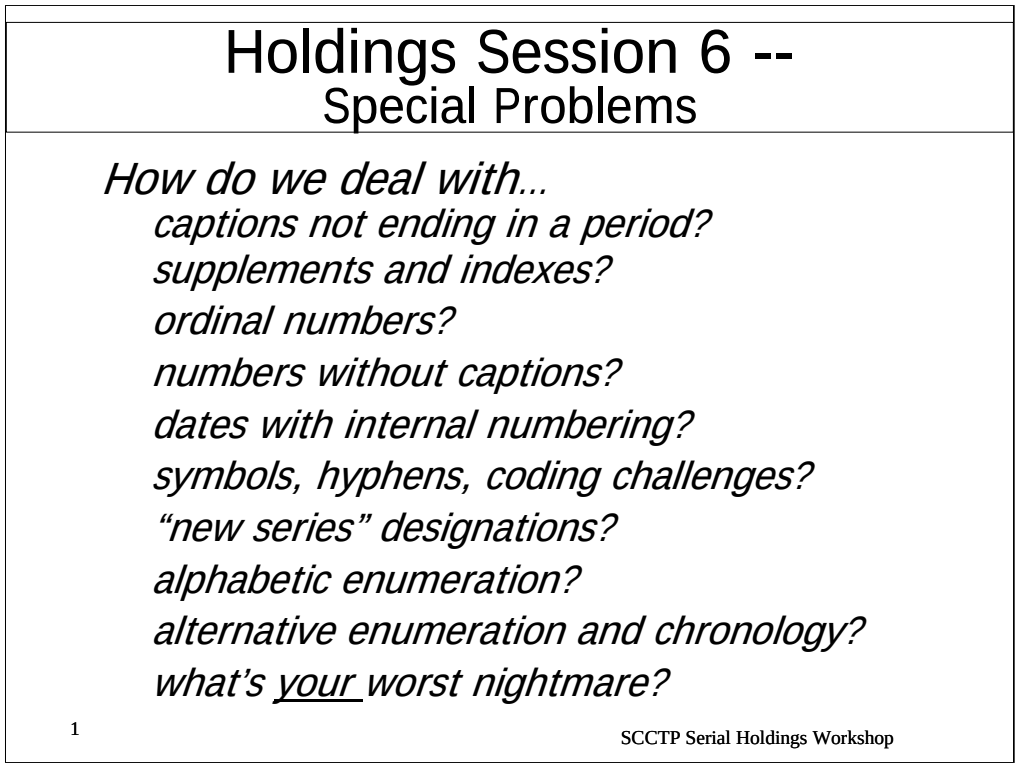


**Holdings Session 6 -- Recording Complex Holdings**

**Contents**



**Warm Up Exercises**

Ask attendees to talk about the "problem holdings" that have been most bothersome in their local libraries. If any of the topics that arise are not covered here, note them down for possible later discussion or research.

# Captions not ending in a period

Preliminary note!

**Año** 1 looks a lot better than **Año**1 !

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 Z39.71-1999, Section 5.5.4.2., caption examples. Having this programmed in will save lots of work!

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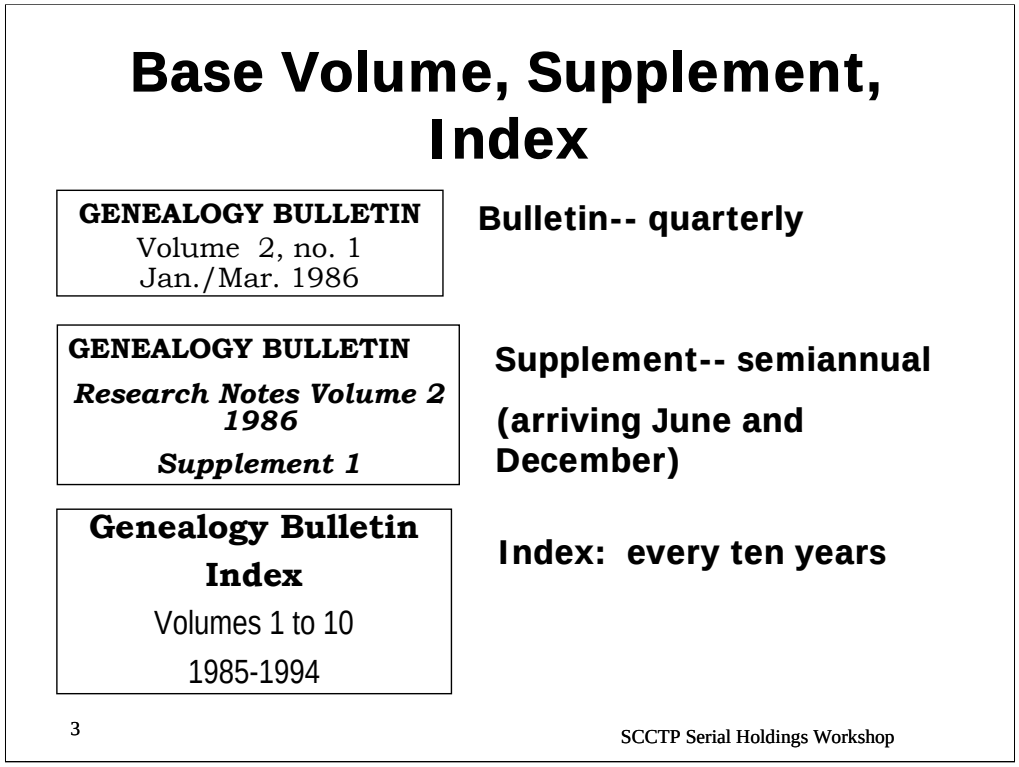
<Instructors: This above is just a cautionary note.>




**A. Base volumes, supplements, and indexes**

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)

***Entering the holding 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"

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*<Animated slide>*

2. Holdings statements for supplements. (854/864)

- This designation has two levels of enumeration and one level of chronology. The supplement is numbered and the volume it supplements is also numbered.
- Note subfield $o, Type of supplement.
- Indicators are 41, indicating Level 4, fully uncompressed holdings.

# Supplement Summary

**GENEALOGY BULLETIN**
***Volume 2 1986***
***Supplement 1***
***Research Notes--June***

**Semiannual**

***If we have holdings from v.1, supplement 1, 1985 to v.5, supplement 1, 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 1985-1988 $j06-06

**May display as:**

SUPPLEMENTS: v.1:no.1(1985:June)-5:1(1989:June) "Research Notes"

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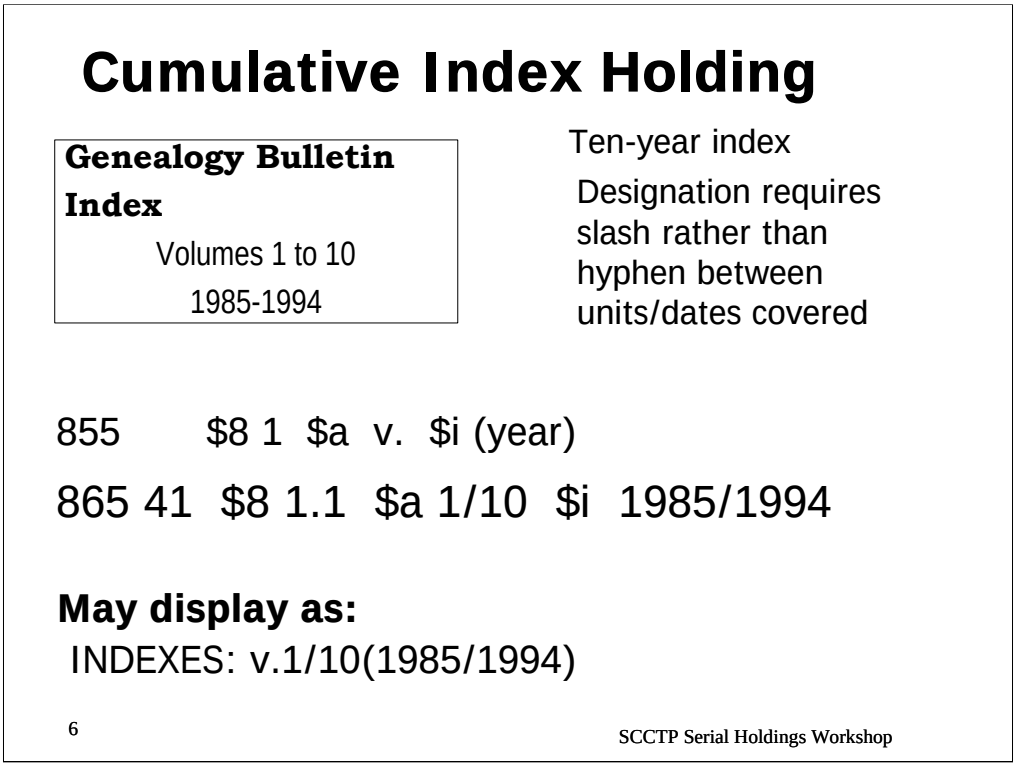
*<Animated slide>*

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.




*<Animated slide>*

3. Index

•The index is a single piece containing an index to the parts given. Index holdings cannot be summarized in the regular holdings field--only in Textual Holdings fields.

•No indicators in the 855.

•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

Note: 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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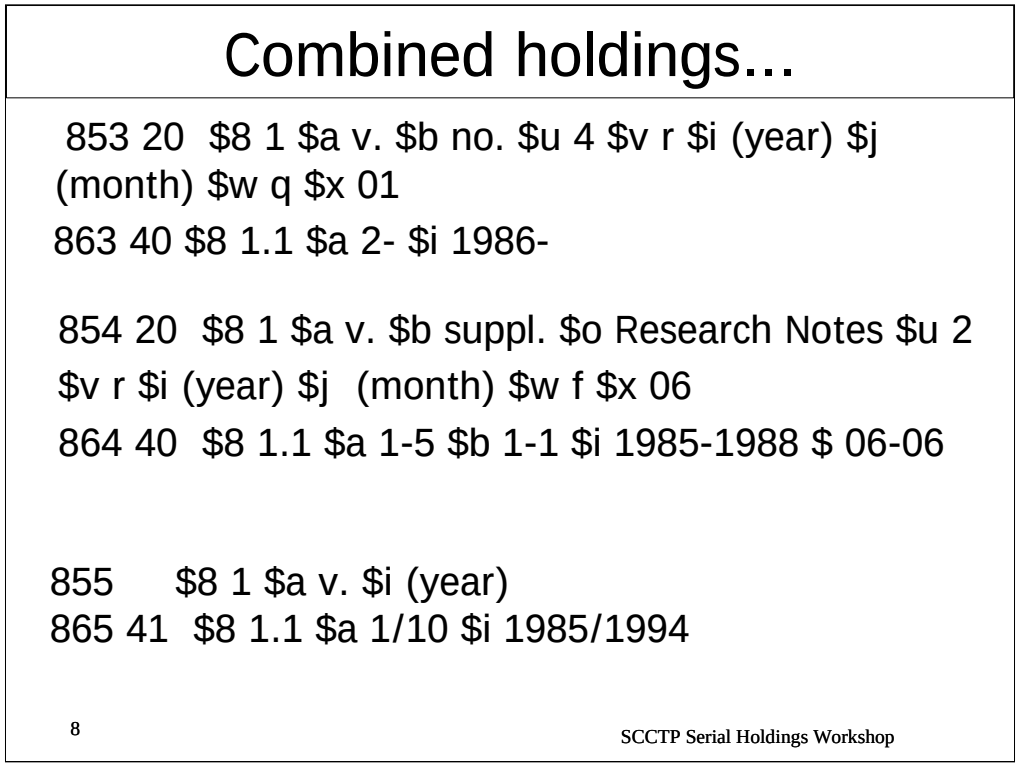
Though not documented in MFHD, captions like this have been used in many libraries. There is no reason why they should cause a problem, though the online system which has implemented MFHD would ordinarily display the words "Indexes" or "Supplements" so that specific captions would not be necessary.

If you do use such locally determined captions, document your practice and use them consistently.




*<Animated slide>*

**Combined holdings**

This MARC display is for holdings of

–base volumes,

–supplements,

–and indexes.

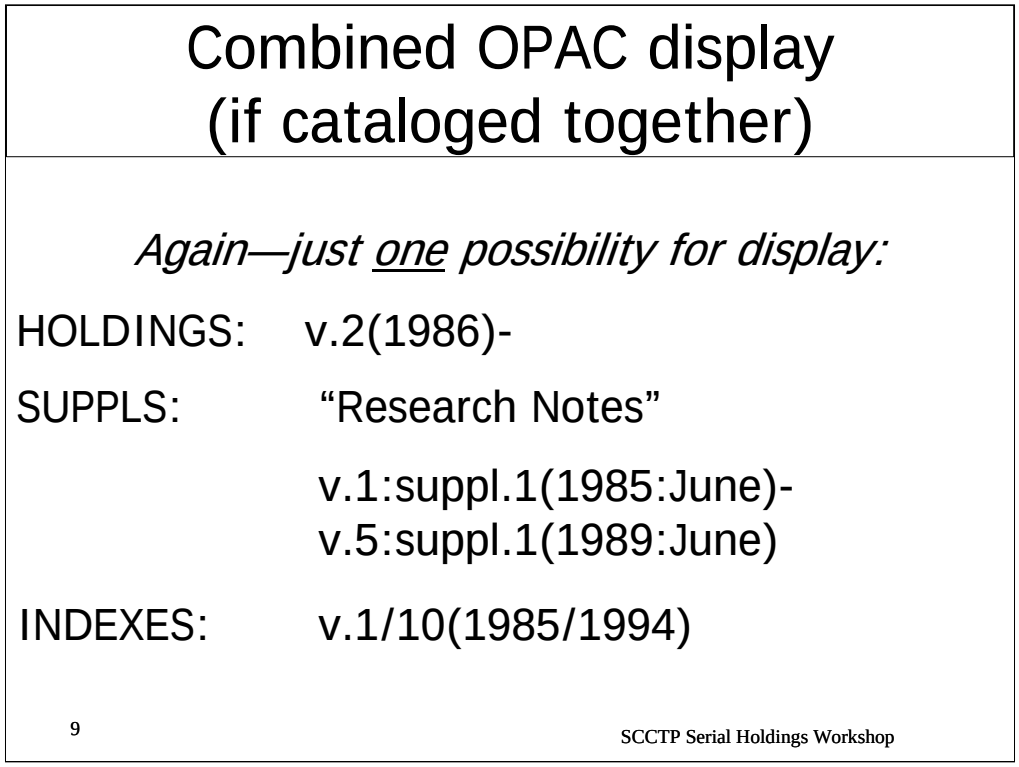
This process assumes that all of the accompanying items are cataloged on the main record. Supplements and indexes cataloged separately will have their basic units coded in the 853/863, rather than 854/864 and 855/865.

Special note:

•Most systems can repeat sequence numbers as long as the tags are different.

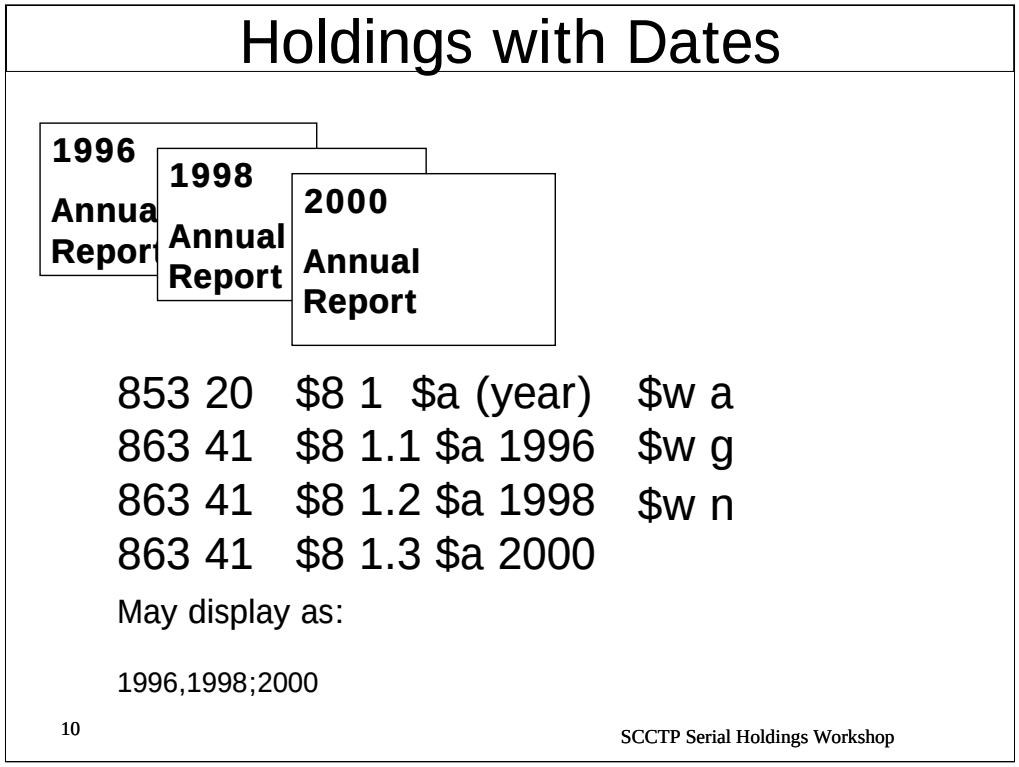
•However, most will also allow you to continue incrementing the sequence numbers: i.e., the 864s and 865's could be numbered 1.2, 1.3, and 1.4.

<Is the latter a better method? The author believes so, since it makes for a clearer record that is easier to sequence.>




**Combined OPAC display**

This screen shows how the previous holdings might display to the public.




*<Animated slide>*

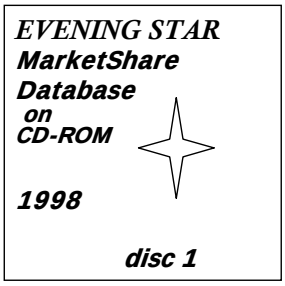
**B. Dates as enumeration**

•As stated in Session 3, dates may be used in enumeration subfields when there is no enumeration on the item.

## 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

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*<Animated slide>*

**C. Dates as primary enumeration with a second level of regular numbers (CD-ROM example)**

•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.

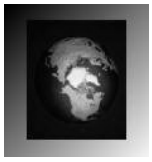
•There is a second-level division (here, disc) which is not chronological.

•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 both kinds of division

**global**



**events**

**spring 1999** **number 1**

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)

*(The year is repeated. When the statement is compressed, the chronology is dropped.)*

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*<Animated slide>*

**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.

•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 successive series numbering

- Some serials, especially scholarly and society publications, come out in several successive series (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:

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)


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**D. Series designations**

•Series designations are common within numbering schemes, particularly those for scholarly and society publications from abroad; many are nineteenth-century or earlier publications.

•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.

–Also 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).

–<The next slide takes up ordinal numbers.>

## 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 is also acceptable in the languages involved. We have no choice when we combine designations like n.F.:Bd.
- However, there is a special provision that can be used in most cases where a caption *follows* an *ordinal* number:

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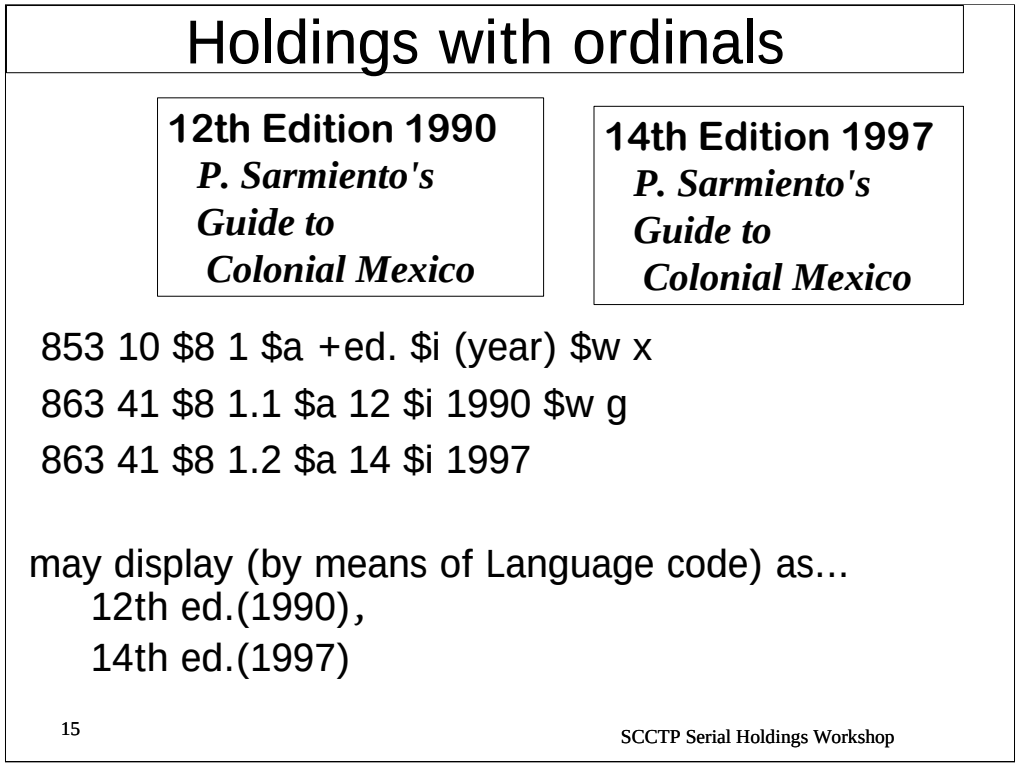
**E. Ordinal Numbers**

•If we combine designations, we really have to use the syntax n.F.:Bd.4, rather than n.F.:4.Bd., which is on the piece. Usually both word orders are acceptable.

•In most cases, we can use the special provisions for ordinal numbers so that we can transcribe the numbering as we find it.




*<Animated slide>*

**Ordinal numbers, cont'd.**

•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.

•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., 1st, or 1.

•This slide also shows

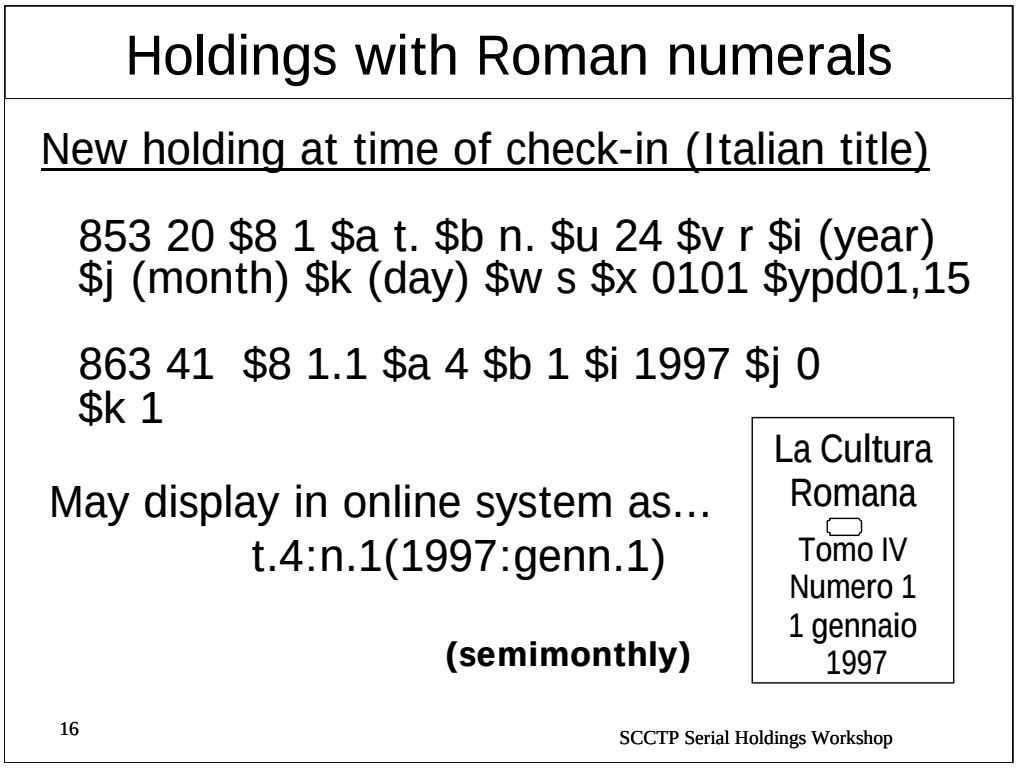
**F. Gaps**

•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).

• It's even 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.




*<Animated slide>*

**G. Roman numerals (and other issues)**

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, which is also translated from 01 to 1 in display.

•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.)

# Captionless enumeration

Many serials have enumeration alone, with no caption.
The symbol for this is
(*) -- non-displaying caption.


853 00 $8 1 $a (*) $i (year)
863 41 $8 1.1 $a 1 $i 1976

may display as: 1 (1976)

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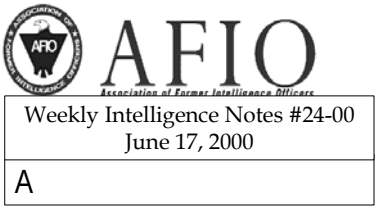
*<Animated slide>*

**H. Captionless enumeration**

•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.

## 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.




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)

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**I. Enumerations with symbols as captions, internal hyphens**

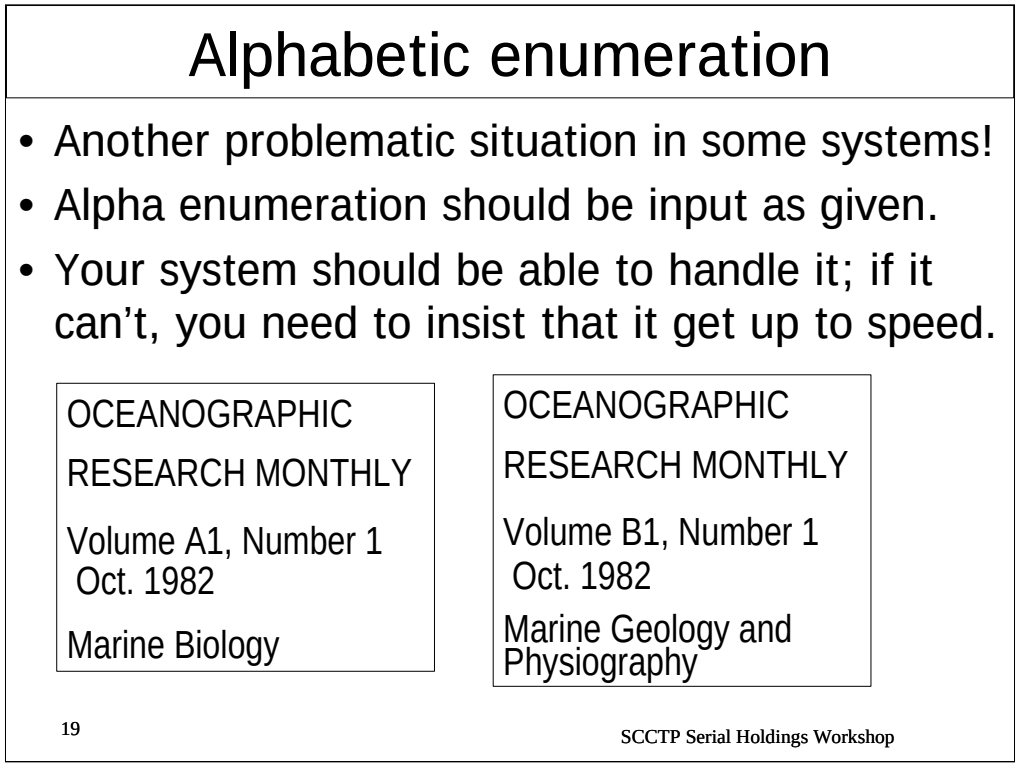
•Sometimes the "caption" is not a word but a symbol. One common symbol is the number sign, #. It is allowable as contents of a caption subfield.

•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.




**J. Alphabetic enumeration**

<The instructor might ask the attendees to do this 853/ 863 enumeration orally, in order to build confidence for the coming exercise.>

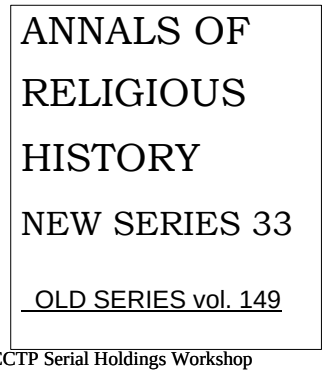
[There is now a pattern subfield in the format designed to handle *prediction* of this type of numbering (853 $z), which is found in Appendix 2—if there is time it can be looked at.]

# 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 prescribed alternative enumeration subfields, $g-h, and (if necessary) chronology subfield, $m.
  - Typical case: Old series continues numbering, but contains new series.

853 00 $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

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**K. 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..

•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.

# Summary

- *There are provisions for less common situations in the MARC Format for Holdings Data.*
- *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.*

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# Exercise Instructions

- Complete 86x fields to record holdings for each example. Use your *Handbook* 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 (you will find examples on the slides).

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# Exercise 1

**Spanned chronology**: When the chronology includes more than one year or more than one month or one day, some systems may have trouble predicting correctly. In some instances, the system supports spanned months only in certain increments, e.g., Jan.-Mar, Apr.-June, July-Sept., Oct.-Dec. 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.

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# Exercise 1 cont.

*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)

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**

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# Exercise 1 cont.

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

# Exercise 2

**Three times a year with seasons**: Record holdings fields fo 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.

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**

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# Exercise 2 cont.

Publication pattern, Index:

855 $8 1 $a **(year)** $w **a**

86_ 4_ $8
86_ 4_ $8
86_ 4_ $8
86_ 4_ $8

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Instructors: We no longer recommend doubling the year. It may affect functionality in certain systems.

# Exercise 3

**Static series designation**: 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 holding would display to the public.

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# Exercise 3 cont.

Publication pattern:

853 20 $8 1 $a **ser. 3:v.** $b **release** $u **12** $v **r** $i **(year)** $j **(month)** $w **m** $x **01**

[Note: “Series 3” is incorporated as part of the first level of enumeration in $a of the 853 publication pattern field.]

86_ 4_ $8

Display:

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# Exercise 4

**Serials with ordinal enumeration**: Record holdings fields for this English-language academic serial that comes out in annual volumes with an issue each semester.

| | |
|---|---|
| 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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# Exercise 4 cont.

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**

[Note: This is not strictly semiannual.]

86_ 4_ $8

86_ 4_ $8

Display:

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# Exercise 5

**Publications lacking captions**: 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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# Exercise 5 cont.

Publication pattern:

853 20 $8 1  $a **(*)** $i **(year)** $w **a**

86_ 4_ $8
86_ 4_ $8
86_ 4_ $8
86_ __ $8

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# Exercise 6

**Publications with alternative numbering.** 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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# Exercise 6 cont.

[Note: This can be coded as textual or coded holdings. We use a coded holding here.]

86_ 4_ $8

Display:

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# Answers—Exercise 1

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 4th statement:

a. Change $i 2001 to $i 2001/2002 [will not look perfect!]

b. Include entire chronology in subfield $i and use natural language chronology:

$i 2001:Nov./2002:Jan.

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# Answers—Exercise 2

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.]

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# Answers—Exercise 3

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.)

# Answers—Exercise 4

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.)

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# Answers—Exercise 5

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)

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# Answers—Exercise 6

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

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# Holdings Session 7
## Trends & Issues in MARC 21 Holdings

- *CONSER Publication Patterns Initiative*
- *Universal holdings*
- *Current issues with MARC 21 Holdings*
- *What is "compliance" with MARC 21 Holdings?*
- *Features to look for when shopping for a system*
- *MARC 21 Holdings format problems & changes*
- *Other?*

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**Holdings Session 7: Trends & Issues in MARC 21 Holdings**

**Contents**

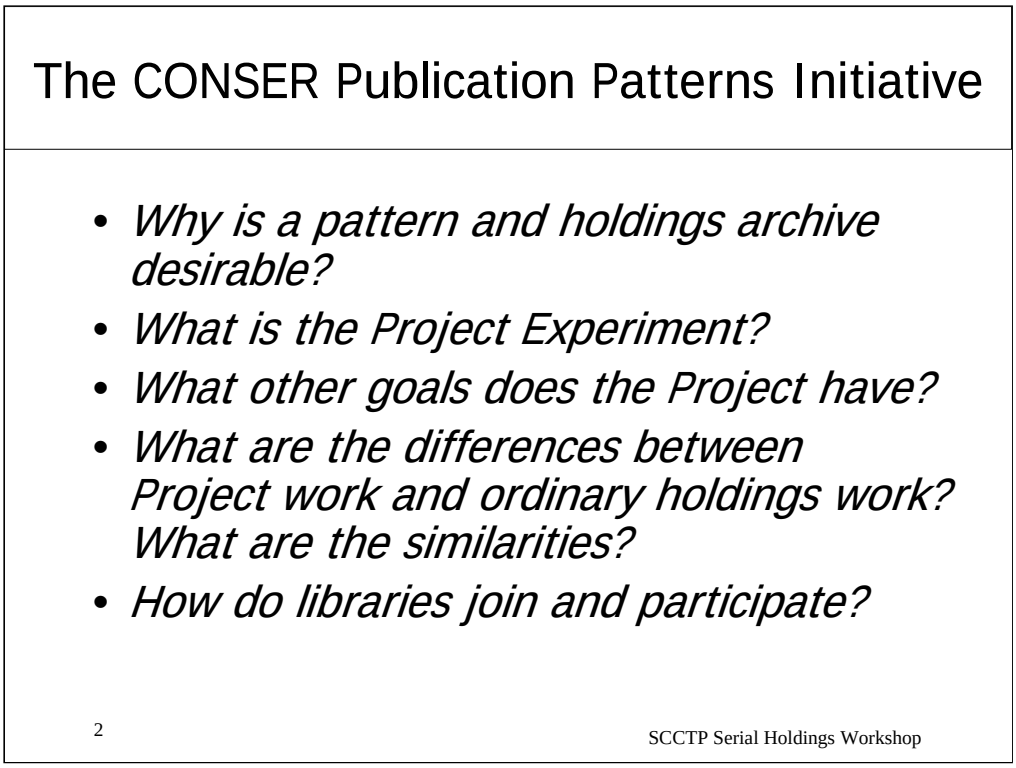
**CONSER Publication Patterns Initiative**: a shared pattern archive

**Publication history**: emergence of the "universal holdings" concept. What is it? How can we benefit from it?

**Current issues:** interfaces, relationship to bibliographic data, relationship to item data, etc.

**Compliance:** LITA and the MARC Formats Interest Group (MFIG) grappling to develop a definition of systems compliance.

**Problems & Changes:** What problems do we have using this format? Can we help each other?




**Holdings Session 8: The CONSER Publication Patterns and Holdings Project**

**Contents**

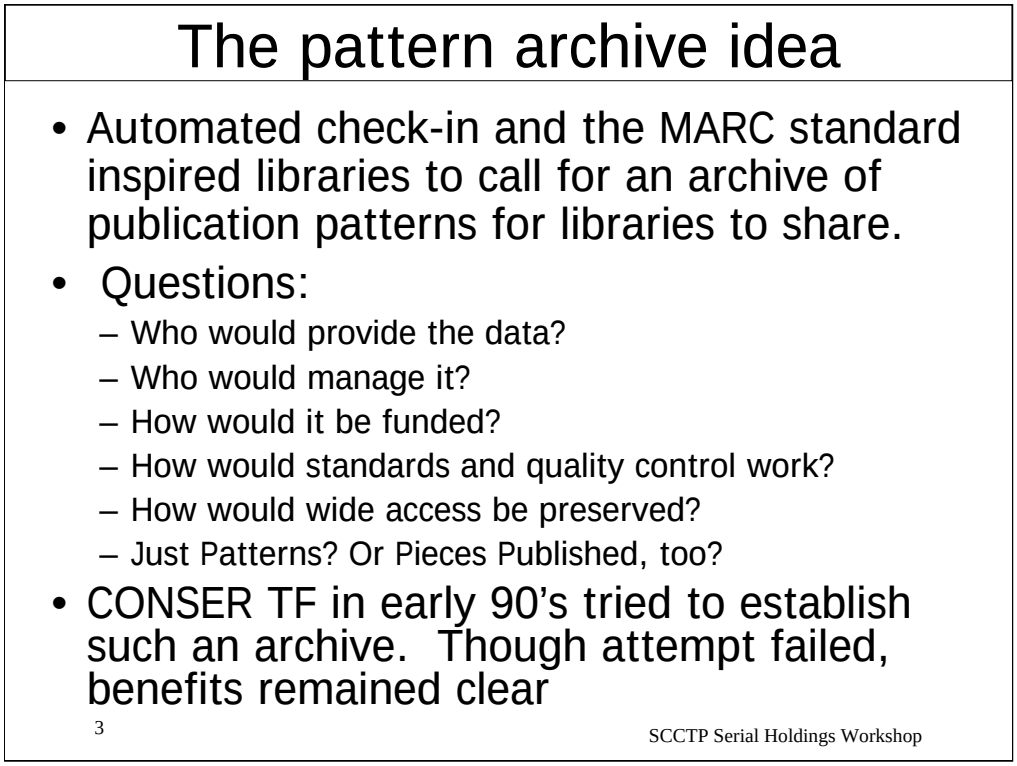
A. The Pattern Archive Idea and its Benefits
B. The CONSER Publication Patterns and Holdings Project
    1. The Plan
    2. The Experiment
    3. Beyond the Experiment
C. Contact Information and Documentation

**References**

The trainer may wish to review the description of the Project on the CONSER web site, http://lcweb.loc.gov/acq/conser/patthold.html, particularly the "Frequently Asked Questions" and "Guidelines for Input."

**Warm Up Exercises**

Ask the audience to tell you about their own libraries' process of pattern creation and sources of pattern data, and then to comment on the idea of having the current pattern available along with the bibliographic record. What use could libraries make of this information?

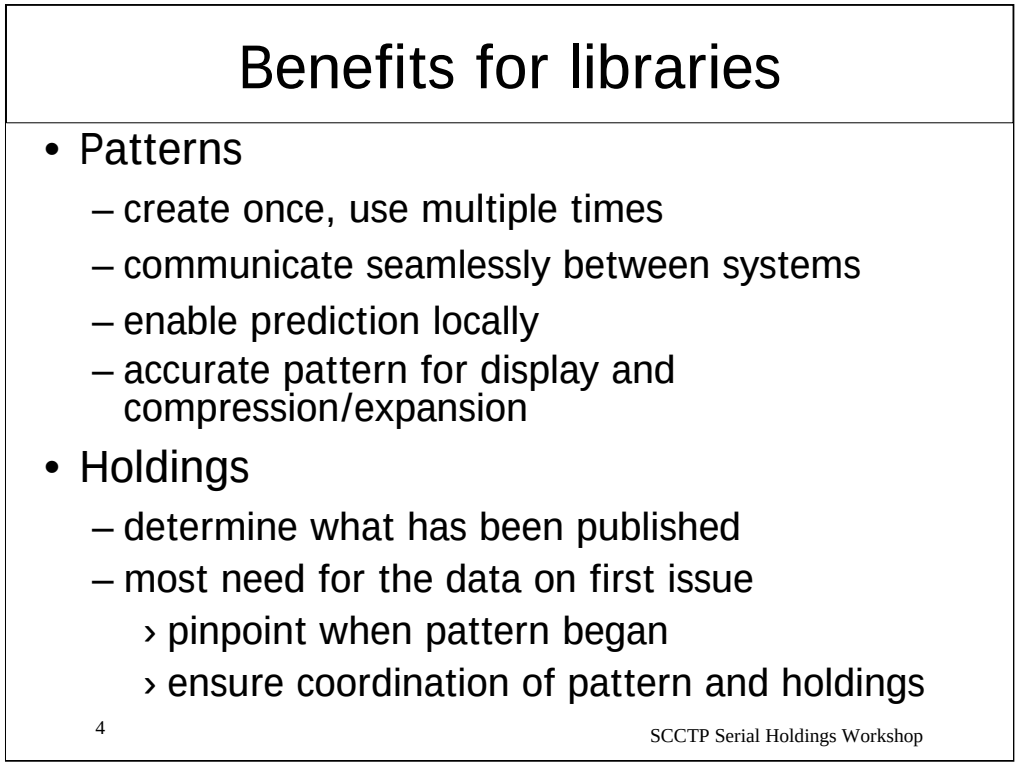



**The Pattern Archive Idea and its Benefits**

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.

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.




The benefits applied to both **patterns** and **holdings.**

For **patterns:**

•you can create once, and use multiple times

•you can communicate holdings data seamlessly between systems

•patterns enable prediction in a local system

•once acquired, the library has an accurate pattern for display and compression/expansion of the OPAC holding

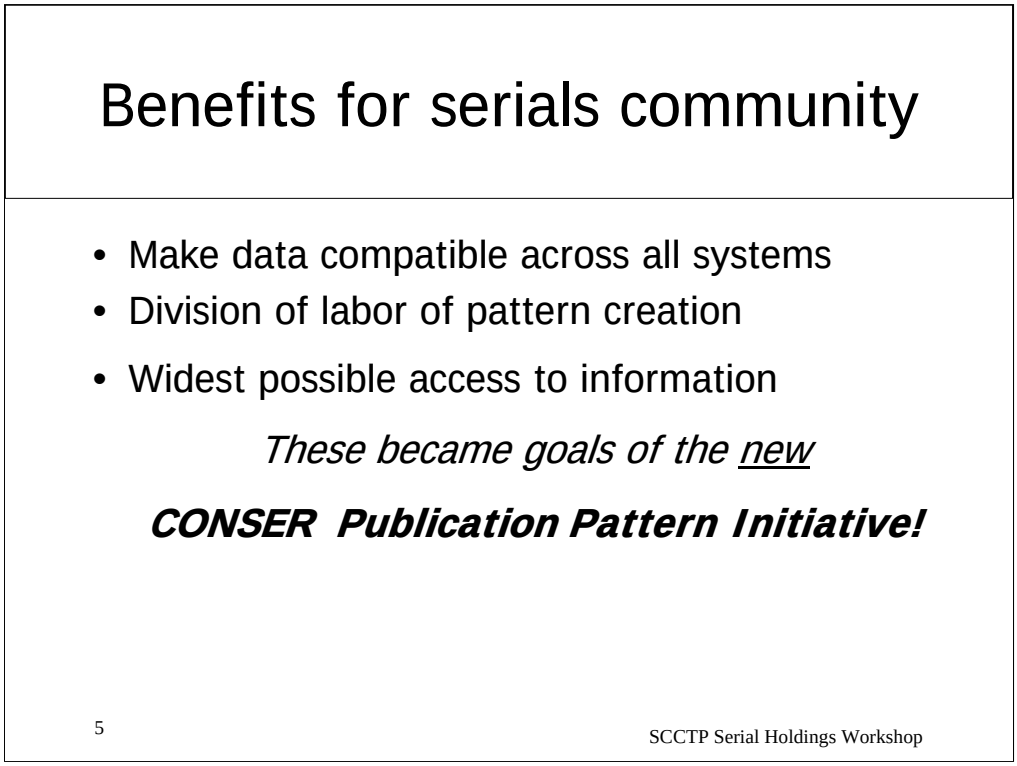
For **holdings:**

•you can determine what has been published

•libraries have most need for the data on first issue

–pinpoint when pattern began

–ensure coordination of changes in pattern with the library's actual holdings




For the serials community as a whole, the benefits of sharing pattern data were:

•making data compatible across all online library systems

•division of the labor of pattern creation

•ensuring the widest possible access to information.

These became the goals of the new CONSER project.

## OCLC & the CONSER database

- MARC-based holdings can be embedded in bibliographic records
- OCLC, which hosts the CONSER database, offered to define holdings format field 891 for embedding regular holdings fields
  - Widely used database favors sharing
  - With minimal programming, automated transfer of data between local system and utility, and back again
  - Present limitation to current data only (may change)

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**The New CONSER Publication Patterns and Holdings Project**

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.

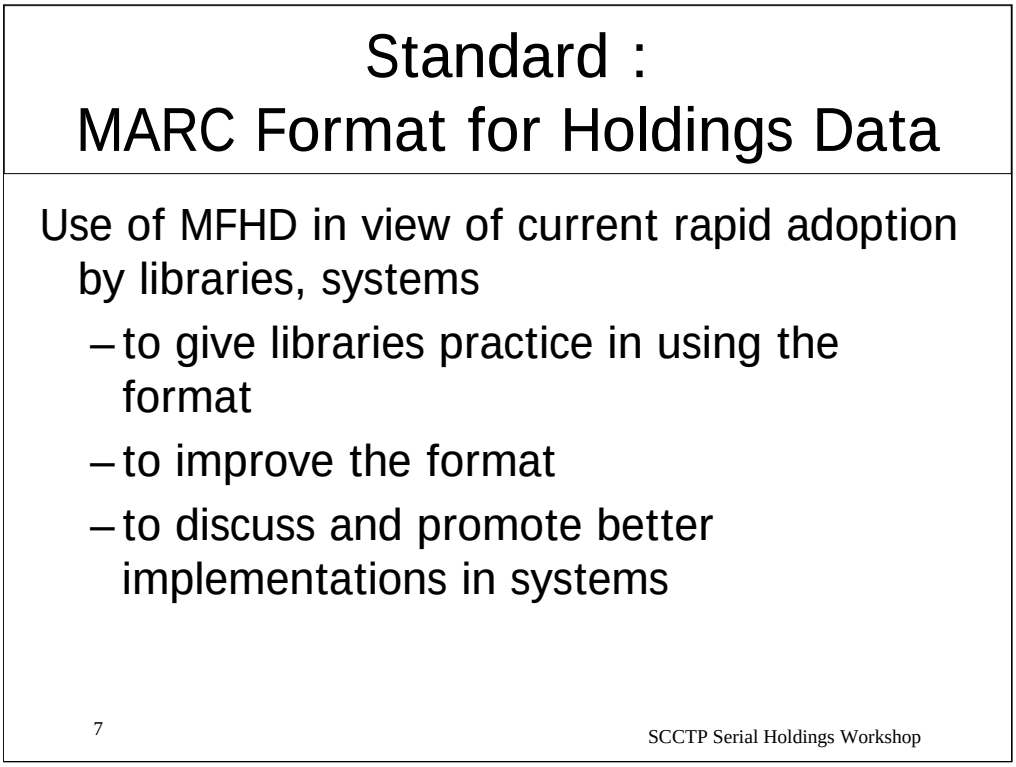
The CONSER database is hosted by OCLC; so early on, OCLC was asked to be a participant in the Task Force. Other participants included interested librarians, representatives of library system s, serials jobbers, bibliographic utilities, and standards committees.

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

•OCLC's limited record size was a constraint on adding full holdings, so the project was limited to current serials only. This could change since space limits no longer apply.



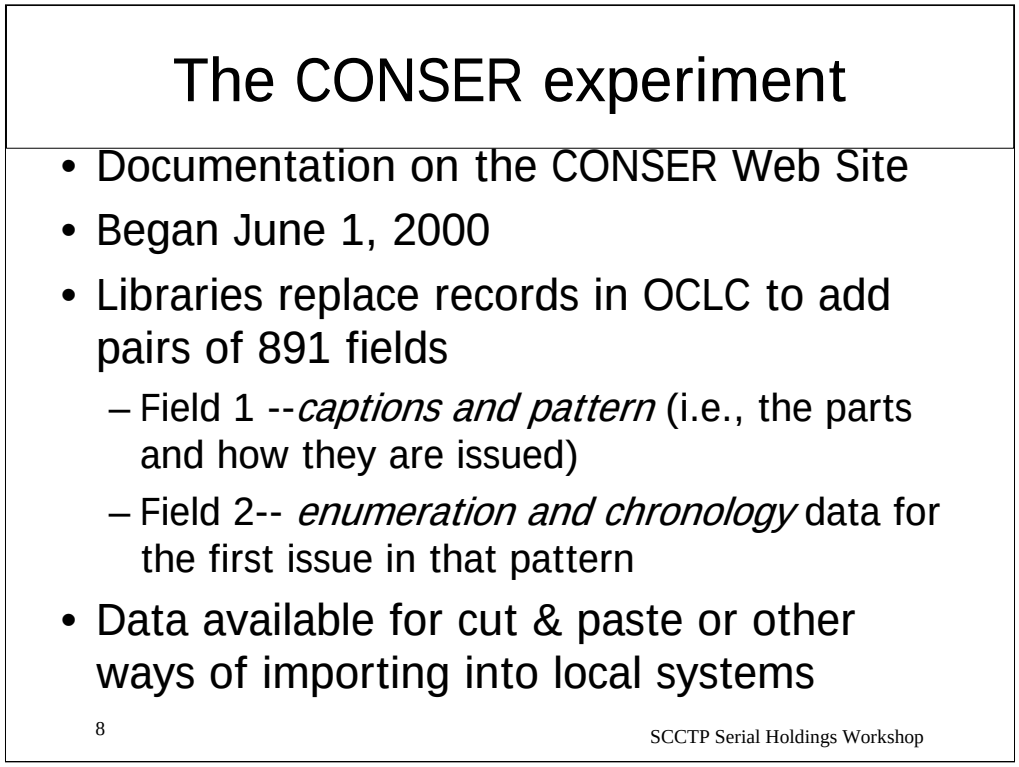

The current rapid spread of the MARC Format for Holdings Data in libraries and library systems gave the Task Force the opportunity to adopt it as the Project standard:

•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.




**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.

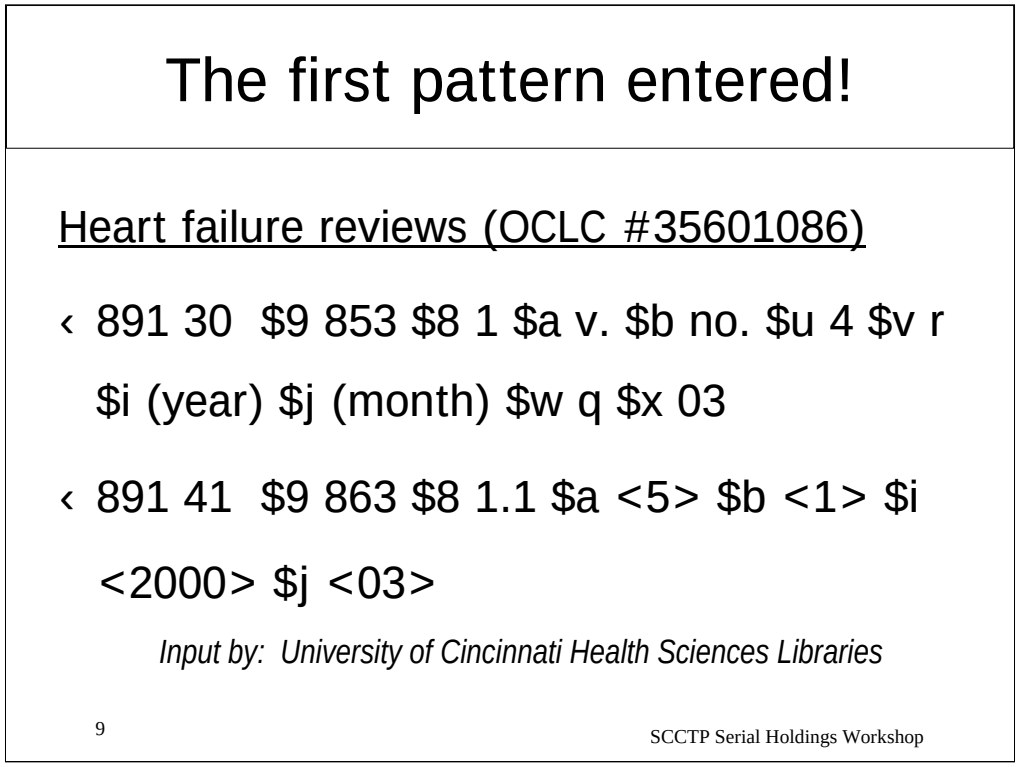
A small, but growing, number of participating libraries began to enter data into actual records on June 1, 2000.

The libraries in the project use CONSER Enhance authorizations to add data to 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 serials control system or OPAC.




This is a picture of the first pair of 891 fields added to a record; note the record title (Heart failure reviews) and the OCLC control 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 inputter'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.

[Trainers: You could refresh memories here by allowing the audience to help you explicate the pattern, which is a very simple quarterly beginning in March of the year.]

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.

## How 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
- Feb. 2001: Load of Harvard MFHD data (over 40,000 records)

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The Library of Congress is one of the participants in the Experiment. It will enter publication patterns and holdings in two ways:

- by manual coding directly into the tagged fields;
- by automated transfer of data from the Library's Voyager system.

Other participants use various methods of entering the data. The macro provided by OCLC has been rewritten for the Connexion system.
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.

## 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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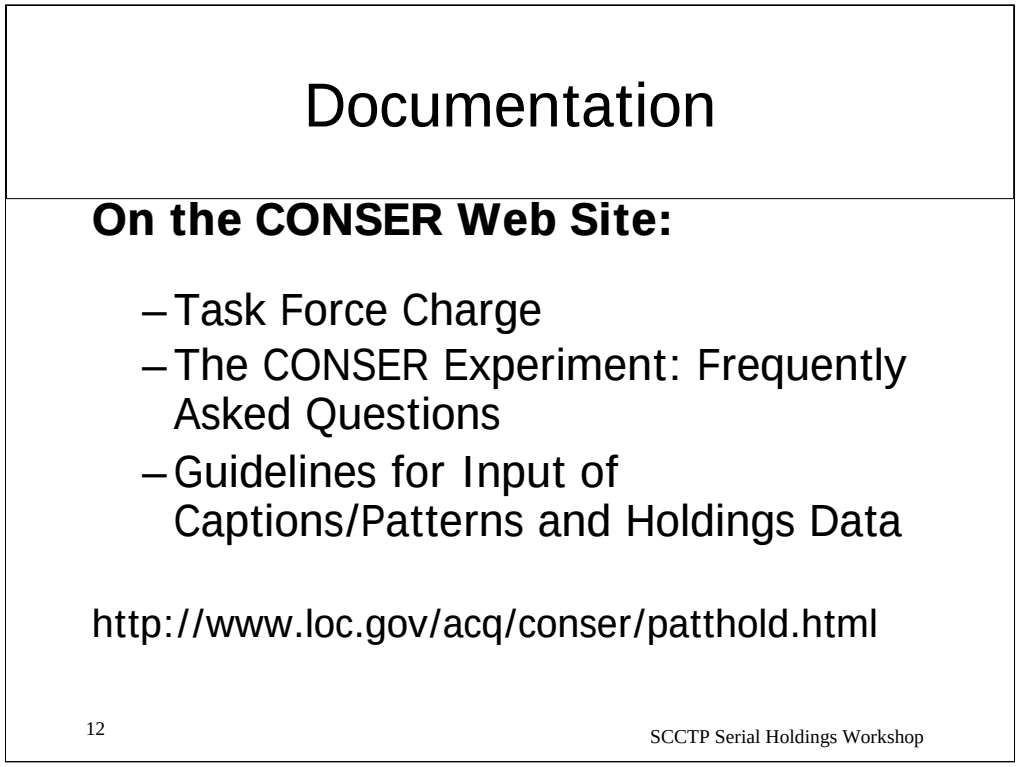
Several other tasks are being carried out with the object of:
•making the Format complete, accurate, and programmable
•improving Format documentation, implementation, and evaluation

Along with librarians, this discussion is being carried out with the participation of:

- the major bibliographic utilities;
- potential data providers, such as PAMs and serials subscription agents;
- most of the major library system vendors.

The major system vendors do support the holdings format to a considerable degree. This is very promising for the future.




**Contacts and Documentation**

Documentation for the Project is on the CONSER Web Site:

http://lcweb.loc.gov/acq/conser/patthold.html

It includes:

– The Task Force charge

–The CONSER Experiment: Frequently Asked Questions

– Guidelines for Input of Captions/Patterns and Holdings Data, with examples

– Pattern Guide Table, pattern examples, and sample records with patterns

and several other features we'll talk about shortly.

## How to participate:

*Contact to apply or ask questions:*

***Les Hawkins**, CONSER Coordinator*

lhaw@loc.gov

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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 History

Some MFHD data elements are universal in nature . Captions, patterns, and actual issue data of publications as they come from the publisher are “universal holdings.”

The Task Force also wants 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.

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“Publication History” is a still-emerging concept, an outgrowth of CONSER’s publication patterns and holdings experiment.

## Publication History and the Super-Record

http://www.lib.unc.edu/cat/mfh/serials_approach_frbr.pdf

Proposes creating a “serials super-record” at the “work level” of a serial, linked to all successive titles, linked to the “universal holdings” for each format for a FRBR-like, flexible, unified display.

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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 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.

# Thinking points with MFHD

## How Many Holdings Records:

If the library has multiple copies of the item, should it create one holdings record (for all copies), or multiple holdings records (one for each copy)?

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)?

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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)

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?

# Thinking points with MFHD

## Electronic Items:

If the library has access to an electronic resource (e-journal, e-book, etc.), should it create a holdings record?

For all electronic items?
Or for locally-stored electronic items?
Or some other variation?

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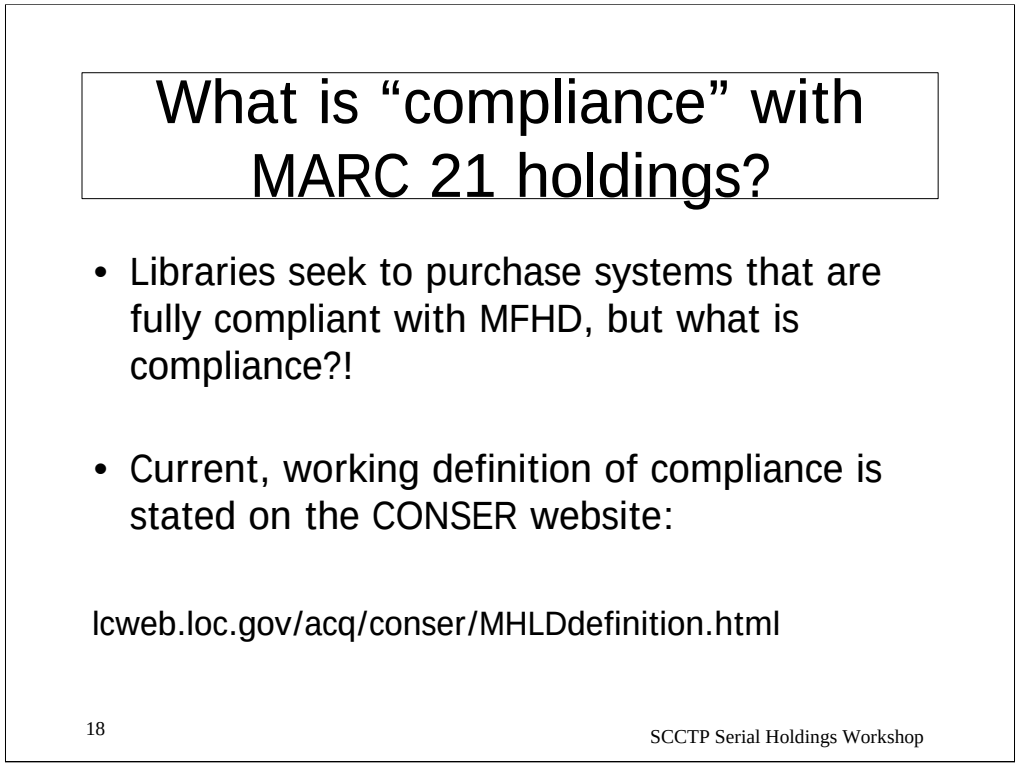
Many possible variations here:

-Create holdings only for physical items stored in the library

-Create holdings for electronic items that are mounted on a local server

-Create holdings for ALL items (physical and electronic) (locally accessed and remotely accessed)

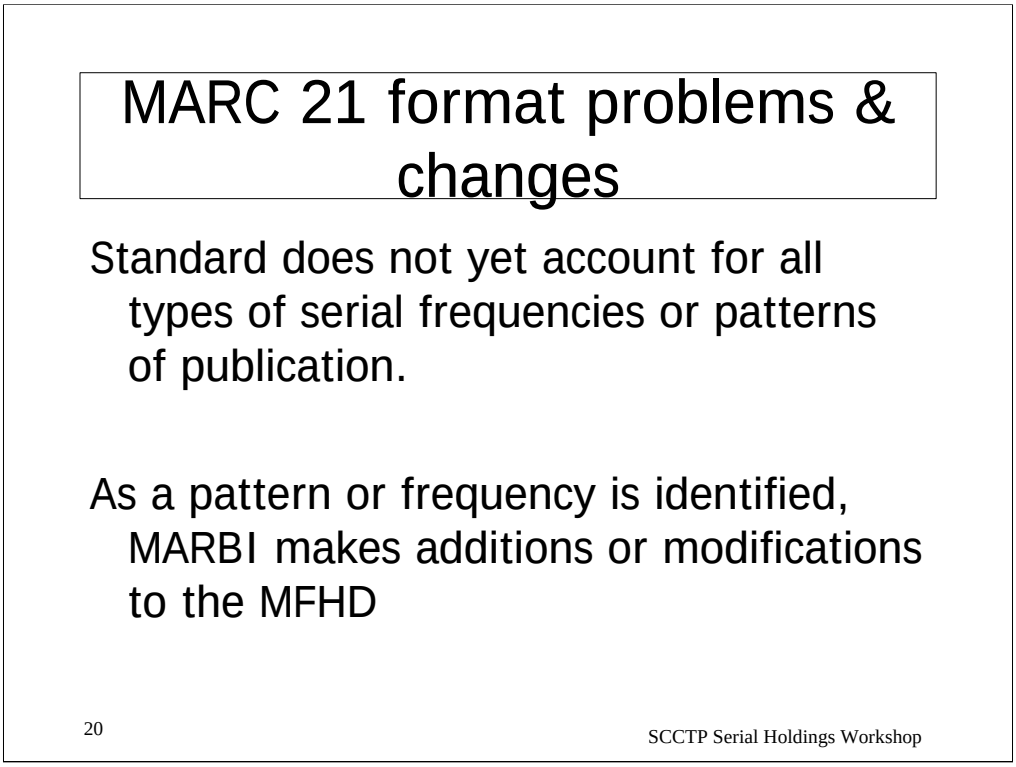
Other issues with MFHD? Poll the attendees and create a list on a flipchart.




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.


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.

What other features would or should libraries add to this list? Ask the trainees to talk about their desired features. Build a list on a flipchart.




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.

<Instructors: This slide could lead to a discussion of trainees' most urgent problems with input of data: What isn't working well? Others may provide a solution. 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.

# 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 Format, its documentation, and the needs of its users for both functionality and data.*
- *The MFHD format is actively changing to account for more functions, more patterns of publication, and wider implementations.*

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# Appendix 1: 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 . 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 multiparts, 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 VTLS 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.

# Appendix 2: Marc21 Format For Holdings Data Handbook

**Rev. 3/1/2007 [F. Rosenberg]**

**LEADER**
**Type of record** **Leader 06**
**v** **Multipart item holdings**
**x** **Single part item holdings**
**y** **Serial item holdings**

**Encoding level** **Leader 17**
**1** **Holdings level 1** [Identifies item and holding library only]
**2** **Holdings level 2** [Identifies item, library, specific material (007/00-01), acquisition status, general completeness, and retention policy.]
**3** **Holdings level 3** [Identifies the foregoing plus holdings at the summary level of Z39.71]
**4** **Holdings level 4** [Identifies the foregoing plus holdings at the detailed level] [Detailed holdings may be compressed, but they guarantee completeness of units]
**m** **Mixed levels**

**VARIABLE CONTROL FIELDS** *(Both are usually system set)*
**004 Control Number for Related Bibliographic Record**
**007 Physical Description Fixed Field** [Identical to 007 in bibliographic record]

**FIXED-LENGTH DATA ELEMENTS (Fixed Field)**
**Receipt or acquisition status** **008/06**
**0** **Unknown**
**1** **Other** [None of codes appropriate]
**2** **Ceased or completed** [Note: previous to Z39.71, this value signified Complete (held in full)]
**3** **On order** [nothing yet received]
**4** **Currently received** [serials and sets being updated or added to]
**5** **Not currently received** [serials and sets for which the organization has holdings but is neither adding to nor intending to add; previous to Z39.71, included ceased serials not held in full]

**Method of acquisition** **008/07**
Codes: **c** **d, e, f, g, p, u, z**
[Codes for: **Collective purchase, deposit, exchange, free, gift, purchase, unknown, other method of acquisition**]

**Intent to cancel date** **008/8-008/11 (4 char positions)**
**yymm** [date of last expected part; if not known, date of cancellation]
**uuuu** [to be cancelled, date unknown]
**[blank]** [no intention to cancel or not applicable]

**General retention policy** **008/12**
**0** **Unknown**
**1** **Other general retention policy**
**2** **Ret. until replaced by updates** [e.g., looseleaf service]
**3** **Sample issue retained**
**4** **Retained until replaced by microform**
**5** **Ret. until repl. by cumulation, replacement volume, or revision** [e.g., CD-ROM titles]
**6** **Retained for a limited period** [Specify period under Specific retention]
**7** **Not retained**

**8 Permanently retained**

**Specific retention policy 008/13-008/15 (3 char positions)**

| | |
|---|---|
| **[blank]** | **No policy** |
| **l latest** | **p previous** |
| **1-9** | **number of units** |
| **m month(s)** | **e ed(s).** |
| **w week(s)** | **i issue(s)** |
| **y year(s)** | **s supplement(s)** |

If no. of units retained exceeds 9, give no. in 852 $x or $z

**Completeness 008/16**

| | |
|---|---|
| **0 Other** | [limited retention; or, no estimate of completeness] |
| **1 Complete** | [95% or more] |
| **2 Incomplete** | [50-94%] |
| **3 Scattered holdings** | [Scattered] |
| **4 Not applicable** | [i.e.,for single-part items] |

**Number of copies reported 008/17-008/19 (3 char positions)**

**001 1 copy**
**002 2 copies** [etc.]

**Lending policy 008/20**

**a Will lend**
**b Will not lend**
**u Unknown**

**Reproduction policy 008/21**

| | | |
|---|---|---|
| **a** | **Will reproduce** | |
| **b** | **Will not reproduce** | [Further specification possible in field 845, |
| **u** | **Unknown** | Terms Governing Use and Reproduction Note; see Format] |

**Language 008/22-008/24 (3 char positions)**

[Can be used to set a table to generate chronological subfields in holdings data, if chronological data will be expressed in numeric form (months 01-12, seasons 21-24). See MARC Code List of Languages (http://lcweb.loc.gov/marc/languages/) for possible codes. Only Current language may be coded. Chronology expressed in numbers as may be translated into the appropriate language via this code, and ordinals can be formulated according to the rules of a particular language.]

**Separate or composite copy report 008/25**

| | | |
|---|---|---|
| **0** | **Separate copy** | [Report covers a single copy] |
| **1** | **Composite copy** | [Report covers more than one copy] |

**583 Action Note** [Used to report processing, reference, and preservation actions in regard to material; 19 possible subfields]

**842 Textual Physical Form Designator** [Description of item; may be coded in 007, with textual description in 842 used to generate display]
[Ex: Computer file; Binder]

**843 Reproduction Note** [Identical to 533 field in bibliographic record. Used when bibliographic information for reproduction differs from description in bib. record]

**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**

**$8 Link and sequence number—**for sequencing multiple holdings records
**$a Holding institution or library**
**$b Sublocation or collection**
**$c Shelving location**
**$h Call number, classification part**
**$i Call number, item part**
**$k Call number prefix** [Ex.: 'Ref']
**$l Shelving title**
**$m Call number suffix** [Ex.: 'Vault']
**$p Piece designation** [barcode]
**$q Piece physical condition**
**$x Nonpublic note**
**$z Public note**
**$2 Source of scheme** 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]
$**p** **Piece designation** [barcode]
$ **Cancelled/invalid piece designation**
$**t** **Copy number**
$**x** **Nonpublic note**
$**z** **Public note**
$2 **Source of notation**
**$3** **Materials specified** [used when specifying only a portion of range referred to, or when linking to Textual Holdings field]



## 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 |
|---|---|---|---|
| **d** | dd | su | Sunday |
| **m** | MM | 09 | Sept. |
| **d** | MMDD | 0925 | Sept. 25 |
| **s** | SS | 22 | Summer |
| **w** | wwdd | 03we | 3rd Wed. of month |
| **w** | MMWWdd | 0599tu | last Tue. in May |
| **w** | 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 |
|---|---|---|
| **mo** – Monday | **01-53** | **01-12** |
| **tu** - Tuesday | | |
| **we** - Wednesday | | |
| **th** - Thursday | | |
| **fr** - Friday | | |
| **sa** - Saturday | | |
| **su** - Sunday | | |

| Week of Month | Season | Day of Month |
|---|---|---|
| 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. Questions on coding patterns or establishing new ones may be addressed by contacting the Network Development and MARC Standards Office (marc@loc.gov) or the CONSER Pattern Holdings Task Force (CONSERHOLD-L@cornell.edu).

# Appendix 3: Glossary

**Alternative numbering scheme.** A secondary sequential designation(s) assigned to some serials and multipart items to provide a continuously numbered sequence in addition to a primary set of hierarchical designations. (MFHD)

**Basic bibliographic unit [*abbrev. basic unit*].** The main bibliographic entity for which holdings are being reported (MFHD). Any of the parts in which a serial or multipart item is published which bears as its designation any part of the basic *enumeration* and/or *chronology* of the item and thus is included within its principal numbering sequence. Cf. *supplemental unit* and *index unit.*

**Basic volume.** A **basic unit** (see above) at the highest, or primary, level of holdings hierarchy; (Cf. **Primary bibliographic unit.)**

**Bibliographic unit.** A discrete bibliographic entity that constitutes either the whole or a part of the *bibliographic item).* (MFHD) A level of holdings hierarchy bearing enumeration and/or chronology which identifies it. A bibliographic unit may or may not be identical to any single *physical* part or *piece.* A bibliographic unit also may itself have been issued in parts which constitute one or more lower levels of bibliographic units.

**Caption.** Word, phrase, or abbreviation indicating the *bibliographic unit* into which a serial or multipart item has been divided by the publisher. Examples: volume, number, Band, Heft, part, side (of a disk), year, etc., and their abbreviations. (MFHD)

**Chronology.** The date(s) used by the publisher on a serially-issued *bibliographic unit* to help identify it or indicate when it was issued. The chronology may reflect the dates of coverage, publication, or printing. (MFHD)

**Closed holdings statement.** A range of enumeration and/or chronology that ends with the enumeration and/or chronology of the last issue held, not with a hyphen. Opposite:*open-ended holdings.* (Z39.71)

**Compressed enumeration and chronology.** A statement of enumeration and chronology which condenses one or more data elements by recording a range of holdings in terms of the enumeration of only the first and last parts held in order to express the same information with fewer characters; or a statement which indicates the holdings of a complete level of hierarchy by recording the enumeration of the next higher level of the hierarchy. (MFHD) Opposite: *uncompressed, itemized.*

**Detailed holdings statement.** 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 (Z39.71). A detailed holdings statement may be compressed or uncompressed. Opposite: *summary holdings statement.*

**Embedded holdings information.** Holdings information contained in the record for the bibliographic description for the bibliographic item. An embedded holdings report does

not have its own *item identifier* [data element identifying the bibliographic item, such as a control number] (MFHD)

**Enumeration.** The designation reflecting the alphabetic or numeric scheme used by the publisher on an item, or assigned when the holdings statement is created, to identify the individual bibliographic or physical parts and to show the relationship of each unit to the item as a whole. (MFHD)

**Index unit.** A physically separate, or separable, alphabetically arranged list of names, places, and subjects treated in a printed work, with page number(s) to direct the reader to the appropriate locations in the text. Only cumulative, physically separate indexes are noted individually on bibliographic records for serials. Cf. *basic bibliographic unit.*

**Itemized.** See *uncompressed.*

**Open-ended holdings statement.** A range of enumeration and/or chronology that ends with a hyphen [Z39.71]. An open-ended statement indicates ongoing issuance or receipt.

**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 or lower bibliographic units, if any, that compose it and the relationship of the lower numbering system to the higher (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. (MFHD)

**Primary bibliographic unit.** A unit, whether basic, supplemental, or index, designated by the highest, or most inclusive, level of holdings hierarchy; ordinarily it will be stated first within a holdings statement. Also called **first-level unit**; other units are called **second-, third- ,** etc., **level units.** Example: in the holdings statement "v.1:no.2", the primary bibliographic unit is a *volume.*

**Summary holdings statement.** Holdings statement at the first (highest) level of enumeration and/or chronology (Z39.71). Cf. *detailed holdings statement.*

**Supplemental unit.** A part of a work, physically separate from the basic bibliographic unit and designated with a term such as "supplement" or its equivalent. Cf. *basic bibliographic unit.*

**Uncompressed enumeration and chronology.** A statement of enumeration and chronology which itemizes, explicitly and without compression, the holdings of each part of a bibliographic unit held. (MFHD)

From: *CONSER Guidelines for Input of Caption/Pattern and Holdings Data*

## Appendix 4: Bibliography


Barry B. Baker, ed. USMARC Format for Holdings and Locations: Development, Implentation, and Use. New York, Haworth Press, 1988.

*Information and Documentation--Holdings Statements--Summary Level (ISO 10324:1997)*
Print: Geneva, Switzerland : International Organization for Standardization, 1997.
in U.S.: available from ANSI (2007 price: $102.00)
http://webstore.ansi.org/ansidocstore/product.asp?sku=ISO+10324%3A1997

Library of Congress. Cooperative Program for Serials Cataloging (CONSER). *CONSER Task Force on Publication Patterns and Holdings.*
http://www.loc.gov/acq/conser/patthold.html

Contains:
*CONSER Guidelines For Input Of Caption/Pattern And Holdings Data*
Pattern Guide Table, 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

_____. Network Development and MARC Standards Office.
*MARC 21 Format for Holdings Data (2000)*
Electronic: in Cataloger's Desktop
Print: Looseleaf, with updates. Washington : Cataloging Distribution Service, Library of Congress.
*MARC 21 Concise Format for Holdings Data.*
http://www.loc.gov/marc/holdings/

National Information Standards Organization (NISO). *Holdings Statements for Bibliographic Items.* Bethesda, Maryland, 2006

http://www.niso.org/standards/standard_detail.cfm?std_id=590 (Purchase paper or download a free electronic copy)

Rosenberg, Frieda. *"Do Holdings Have a Future?*.
http://www.lib.unc.edu/cat/mfh/mfhfuture.html

Rosenberg, Frieda. NASIGuide to Holdings.
http://www.nasig.org/publications/guides/holdings/index.htm

## Appendix 5: Pre-Workshop Exercise Answers
## MARC Format for Holdings Data Workshop


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## Exercise:

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.

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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**Library of Congress**

*Comments: lcweb@loc.gov (10/23/2000)*

# Appendix 6: Post-Workshop Exercises



Note: The answers to these exercises are available from: http://www.loc.gov/acq/conser/scctp/post_ans-Hold.html

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# Post-Workshop Exercises

**Contents**



## 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.

Type: Encoding Level: Receipt./Acquisition status.: Acquisition Method.: Intent to Cancel: General Retention: Specific Retention: Language: eng Completeness: Lending: Reproduction:

004 $a [System generated]
007 $a ta

852 __ $b My library

853 __ $8 2

866 __ $8 1 $a

863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._
863 __ $8 2._

**Example 2**
Cover:


How would this issue be coded in order to add it to the record with the basic units?

855

865

## Example 3

Fill in holdings as far as you can. Summarize where possible, assuming regular numbering.

| | |
|---|---|
| v.1 1979 (no.1-4) Jan,Apr,Jun,Sep<br>v.2 1980 "<br>v.3 1981 no. 3<br>v.4 1982<br>v.5 1983<br>v.6 1984 + Suppl. 1984<br>v.7 1985<br>1986 (no.1-4) Spr,Sum,Fall,Winter | 1987 "<br>1988 no. 2-3<br>1989 + Index 1979-1988<br>1990<br>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

**Library of Congress**
Comments: lcweb@loc.gov (10/23/2000)

# Appendix 7: 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 date 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).

# Appendix 8: Answers to Exercises

**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!)**

**Session 2 Exercise Answers**

**1a. Receipt/acquisition status code**

**1b. General and special retention codes**

**2. $b=location; $k=call no. prefix; $h call number, classification part; $i work no. $z public note $x non-public note (reason)**

**3a. 852, 1st indicator.**

**3b. General retention code.**

**4a. 852, 1st indicator, from 5 to 1; remove 852 $l.**

**4b. 852 $h and $i will follow 852 $c.**

**Session 3. Exercise 1**
**Caption and Enumeration/Chronology Data**

**1. You have a subscription to the Journal of Soapbox Oratory starting with Volume 3, no. 1 (June 1999). 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 enumeration and chronology for the first year of receipt, corresponding to the 853 enumeration and chronology captions.**

**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**

**Session 3. Exercise 2**
**Indicators and Compression**

**Here is the answer from our last exercise. Leave the first 853 indicator blank, since there is no pattern. Using the space beneath the holdings, write in what the compressed data would look like and supply the other appropriate indicator values (considering these issues as unbound).**

**853 0 $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**

## Take Home Exercise

**Fill in holdings as far as you can. Summarize where possible, assuming regular numbering.**

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

**853 20 $8 2 $a (year) $b no. $i (year) $j (season)**

**854 20 $8 1 $a (year)**

**855 $8 1 $a v. $i (year)**

**863 40 $8 1.1 $a 1-3 $b 1-1 $i 1979-1981 $j 01-01 $w g** [with parsing]

**863 40 $8 1.1 $a 1-2 $i1979-1980**

**863 41 $8 1.2 $a 3 $b 1 $i 1981 $j 01 $w g** [without parsing]

**863 40 $8 1.3 $a 4-7 $i 1982-1985**

**864 41 $8 1.4 $a 1984 $z in v.6**

**863 40 $8 2.1 $a 1986** [some systems would use $8 2.5, etc.]

**865 41 $8 2.2 $a 1/5 $i 1979/1983**

**Session 4. Exercise**

**Publication Patterns**

**1.** ***Bimonthly: vol. 47, no. 1, June 1991***
**853 2 0 $8 1 $a v. $b no. $u 6 $v r $ i (year) $j (month) $w b $x 06**

**2.** ***Quarterly : vol. 3, no. 1 Winter 1989***
**853 2 0 $8 1 $a v. $b no. $u 4 $v r $ i (year) $j (season) $w q $x24**

**3.** ***Monthly; does not publish December, June, July and has a combined issue of August/September: vol. 12, no. 1 Jan. 1990***
**853 2 0 $8 1 $a v. $b no. $u 8 $v r $ i (year) $j (month) $w m $y pm01,02,03,04,05,08/09,10,11**

**4.** ***Daily with a combined Saturday/Sunday issue. Friday January 1, 1999***
**853 2 0 $8 1 $a (year) $b (month) $c (day) $w d $y pdmo,tu,we,th,fr,sa/su**

***5. 9 times a year in 3 volumes, none published July-Sept.: vol. 22, no. 1 Jan. 1993, vol. 23, no. 1, April 1993, vol. 24, no 1, Oct. 1993***
**853 2 0 $8 1 $a v. $b no. $u 3 $v r $ i (year) $j (month) $w m $x 01,04,10 $y om07,08,09 [can also use pm coding here: $y pm 01,02,03,04,05,06,10,11,12]**

***6. Irregular with 9 issues per volume: vol. 6, no. 1 Sept. 1998***
**853 2 0 $8 1 $a v. $b no. $u 9 $v r $i (year) $j (month) $w x $x 09**

***7. "1990 Annual Best of the Literature" which is a supplement to the monthly title Literature Review.***
**854 2 0 $8 1 $a (year) $o Annual best of the literature $w a**

***8. Monthly, in 2 volumes: vol. 3, no. 1 January 1989; vol. 4, no. 1 July 1989***
**853 2 0 $8 1 $a v. $b no. $u 6 $v r $ i (year) $j (month) $w m $x 01,07**

**Session 5. Exercise**
**Textual Holdings**

**Exercise: Soviet Studies**

**OPTION 1 (Separate)**

**852 01 $a LJM $b Main $h D1 $i .S72**

**866 41 $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 41 $80 $a v.1(1962/1963)-10(1972),v.12(1974)-30(1991)**

**868 41 $80 $a v.1/30 $z "Cumulative Index"**

**Exercise: Russian Studies**

**852 01 $aLJM $b Main Collection $h D1$i .S721**

**853 20 $8 2 $a v. $b no. $u 4 $v r $i (year)**

**$j (season) $w q $x 22**

**866 41 $8 1 $a v.31(1994)-39(2000) ***

**863 41 $8 2.1 $a 40 $b 1 $i 2001 $j 22**

**863 41 $8 2.2 $a 40 $b 2 $i 2001 $j 23**

**863 41 $8 2.3 $a 40 $b 3 $i 2001 $j 24**

***for separate display:**
**866 41 $8 1 $a v.31-39(1994-2000)**

**Session 5 Exercises cont.**

**Exercise: Books**

**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"**

**Exercise: 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. $u6 $v r $i(year) $j (month) $w b $x 02**

**866 30 $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**

**Session 6. Exercise 1**

**853 20 $8 1 $a v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 02 $ypm02/04,05/07,08/10,11/01**
**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 4th statement:**

**a. Change $i 2001 to $i 2001/2002** [will not look perfect!]

**b. Include entire chronology in subfield $i and use natural language chronology:**

**$i 2001:Nov./2002:Jan.**

**Session 6. Exercise 2**

**853 20 $8 1 $a v. $b issue $u 3 $v r $i (year) $j (season) $w t $x 23 $y os22**
**855 $8 1 $a (year)**

**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.]**

**Session 6. Exercise 3.**

**853 20 $8 1 $a ser. 3:v. $b release $u 12 $v r $i (year) $j (month) $w m $x 01**
**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.)**

**Session 6. Exercise 4.**
**853 20 $8 1 $a v. $b +semester $u 2 $v r $i (year) $j (month) $w 2 $x 09 $y pm09,01**
**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.)**

**Session 6. Exercise 5.**

**853 20 $8 1 $a (*) $i (year) $w a**
**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) or $a 20(2000)-22(2002)**

**Display: 20-22(2000-2002)**
**or 20(2000)-22(2002)**

**Session 6. Exercise 6.**

**853 20 $81 $a new ser.:no. $g no. $i (year)**
**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**

# Appendix 9: 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 $pA14802137389

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 $zlack 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

Appendix 10
CONSER SCCTP 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?

1 2 3 4 5 Comments:

2. Did the speaker and the material presented address the relevant issues and your concerns?
1 2 3 4 5 Comments:

3. Was the speaker well informed on the subject matter?

1 2 3 4 5 Comments:

4. Was there a good balance of time between instruction and audience questions?

1 2 3 4 5 Comments:

5. Were your questions answered?

1 2 3 4 5 Comments:

6. Were the exercises helpful?

1 2 3 4 5 Comments:

7. Was the workshop setting conducive to training?

1 2 3 4 5 Comments:

8.Your overall rating of the workshop?

1 2 3 4 5 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!