SERIALS HOLDINGS WORKSHOP

Trainee Manual

3rd edition

January 2008

Prepared by

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and

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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

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SCCTP Serial Holdings Workshop

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SESSIONS

5 - Recording Textual Holdings

6 - Special Problems; Reinforcement of Concepts; Group Exercise

7 – Trends and Issues in Holdings

8 – Workflow / Implementation: Free group discussion (No Handout)

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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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?

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SCCTP goals

Increase knowledge of and use of holdings standards by all sectors

- for higher productivity
- for lower costs, e.g., in data sharing
- for continuous improvement of the standards and their implementation in systems
- for improved documentation
- for end user satisfaction
- for staff satisfaction and ease of use

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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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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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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 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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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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Analogous relationship of standards

Content	***Communication***
AACR2 ↔	***MARC Format for Bibliographic Data***
Z39.71 and its predecessors ↔	***MARC Format for Holdings Data***

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Display standard: Z39.71(2006)

Example: Detailed level 4

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

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

handles all formats, flexible:

summarized or detailed
itemized or compressed
open holdings possible
multiple presentation options
standardized, simplified punctuation

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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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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:** v.1-5(1990-1994)
  (Summary)
- **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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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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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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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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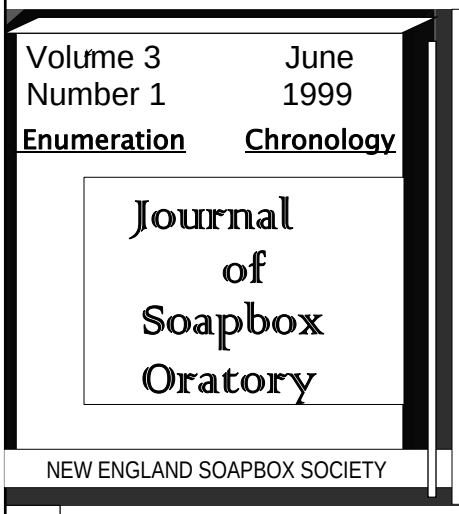
For current receipts MFHD starts with an issue



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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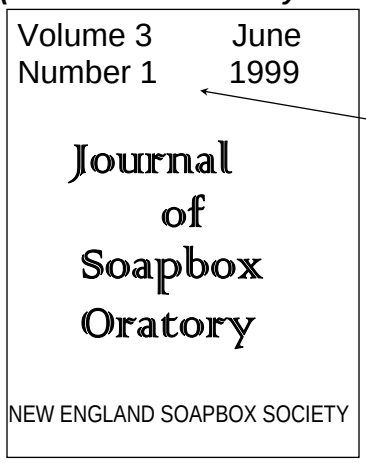
In the bibliographic record…

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



310 Bimonthly

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

500 Latest issue consulted: Vol. 3, no. 6 (Apr. 2000)

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A holdings display in the OPAC

TITLE: Journal of soapbox oratory.
PUBLISHER: New England Soapbox Society
SUBJECTS: Oratory--Periodicals.

LOCATION:	CALL NUMBER:
Main Library/Periodicals	Shelved by title

LATEST ISSUE RECEIVED: v.4:no.1(2000:June)
NEXT ISSUE EXPECTED: v.4:no.2(2000:Aug.)

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Behind the scene is its MFHD record

LEADER: #####cy 22######4n 4500
004: AAC-1885
008: 8505254u 8 0001uu 090824
852 51 FLUNT $b Main Lib $c PER
853 20 $8 1 $a v. $b no. $u 6 $v r $i (year) $j (month) $w b $x06
863 41 $8 1.1 $a 3 $i 1999/2000
863 41 $8 1.2 $a 4 $b 1 $i 2000 $j 06

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An issue is ready to check in

EXPECTED ISSUE CHECK-IN

TITLE: Journal of soapbox oratory.

ISSUE	STATUS	EXPECTED
v.4:no.2(2000:08)		08/01/2000

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A line is added to the MFHD record

LEADER:	#####cy 22######4n 4500
004:	AAC-1885
008:	8505254u 8 0001uu 090824
852 51	FLUNT $b Main Lib $c PER
853 20	$8 1 $a v. $b no. $u 6 $v r $i(year) $j(month) $w b $x06
863 41	$8 1.1 $a 3 $i 1999/2000
863 41	$8 1.2 $a 4 $b 1 $i 2000 $j 06
863 41	**$8 1.3 $a 4 $b 2 $i 2000 $j 08**

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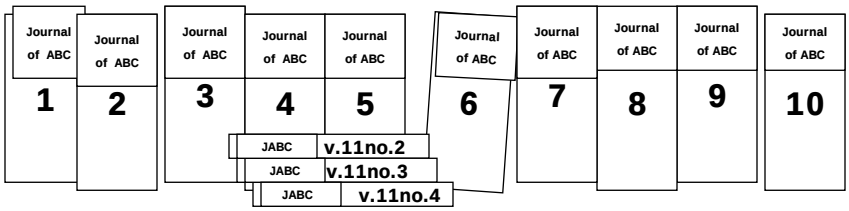
For retrospective holdings



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

- Separate lines for each whole volume, plus lines for unbound issues
- A range statement (coded or textual, detailed level or summary level, open or closed)
- Or a combination.

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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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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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Vendor implementations of the standard

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

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) <u>before</u> you purchase!!**

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

_____ _____

Holdings Session 2 -Overview, Fields 001 through 852

- ***How do we structure a holdings record?***
- ***What is the link to the bibliographic record?***
- ***What do we use fixed field codes for?***
- ***How do we display location and call number information?***
- ***What notes are useful?***
- ***How can this information be utilized by automated systems?***

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Structure of the MFHD

- Leader and Directory
- Variable Control Fields (001-008): codes aid retrieval, encode library policy, processing information, apply Z39.71
- Variable Data Fields (010-880): include control numbers, notes, and holdings data
  - 010-099 Numbers & Codes
  - 5XX Notes
  - 8XX Holdings data, location, call number and notes

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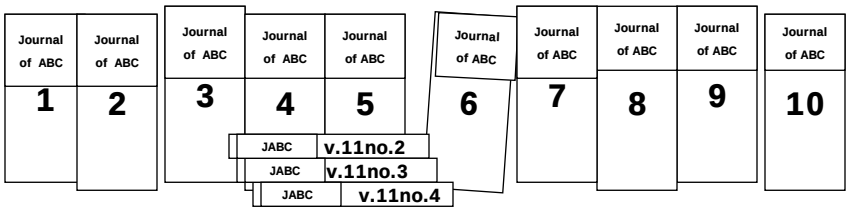

The Journal of ABC

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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.)

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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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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Other control numbers

- **010 LCCN**
- **014 Linkage number (for other bibliographic agency, e.g., a bibliographic utility)**
- **020, 022, 024 Standard control numbers**
  027 Standard technical report number
- **035 System control number**

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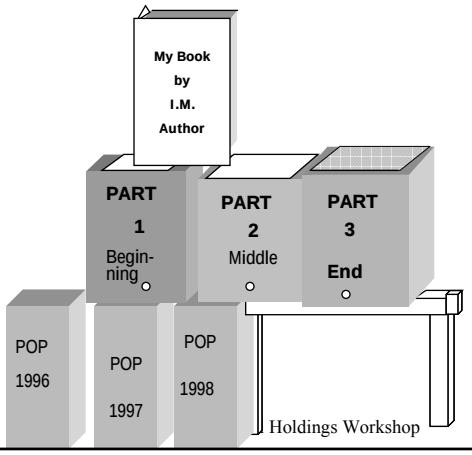
Leader elements

The Type Code (Leader 06)

x single-part item

v multi-part item

y serial



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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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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)

Expected Acquisition End Date: 008/8-11

(4 character positions)

date of expected last issue, or of cancellation of the order

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]

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

[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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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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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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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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Language (008/22-24)

Can translate numeric chronology or ordinal numeration into the desired language for display

01=Jan. *or* equivalent in other languages
21=spring *or* equivalent in other languages

Example:

Lang=eng **1991:01/03 = 1991:Jan./Mar.**

Lang=fre **1991:01/03 = 1991:janv./mars**

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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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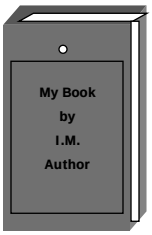
Holdings fixed fields for single-part item



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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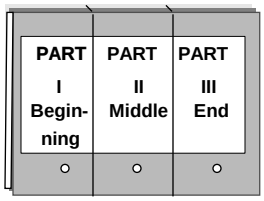
Holdings fixed fields for multipart item

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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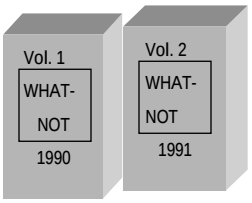
Holdings fixed fields for serials



- **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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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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Notes (copy/title level) cont'd

842 Textual physical form designator

textual form of 007

843 Reproduction note

like 533; used when bib. record describes original

844 Name of unit

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

845 Terms governing use & reproduction note

like 540; special copying, etc., restrictions

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856--Electronic location and access

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

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856--Electronic location and access

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

- reduces confusion among formats in records
- facilitates easy modification of dynamic information
- aids use of "single-record option" in electronic resource cataloging

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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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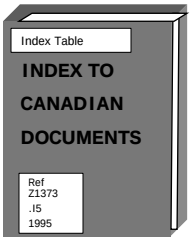
Holdings location field (852)

indicators

Chief data elements

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



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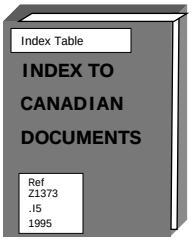
Holdings location field (852)

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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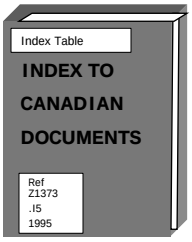
Holdings location field (852)

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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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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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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An example of a complete MFHD record for a CD

Local Holdings Record: Celtic bagpipes

OCLC 43664750 **Dates** 1997

Summary		CD Celtic Bagpipes
Leader		nx a2n
007		sd|fungnn|||eu
008		0701312g 8 4001bbeng0070131
852	60	T@W ‡b T@WA ‡l CD Celtic Bagpipes

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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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SCCTP Serial Holdings Workshop

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 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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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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SCCTP Serial Holdings Workshop

Holdings Session 3
Recording Holdings

- *What fields are used for recording issue, volume, and summary holdings data?*
- *How are they kept in order?*
- *What different display needs can be accommodated?*
- *How are gaps in holdings, and changes in serial numbering, handled?*

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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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Bibliographic units and fields

Different fields are used for:

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

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Definitions: caption data (85X)

Enumeration caption: the word, phrase, or abbreviation used by the publisher to designate each level of the parts issued. Examples: Vol., no., Bd.

Volume 3 June
Number 1 1999

Chronology caption: the name of a division of the year. Understood, but not displayed!

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

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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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85X field structure

indicators Pattern (refers back to prev. subf.) More pattern

85X__ __ $8 [#] a b u v c... h i j ... m **w,x,y**

Tag Linking subfield code Link no. Enumeration captions Chronology captions (not displayed)

$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)

Definitions (86X): enumeration and chronology data

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

Volume	3	June
Number	1	1999

The *data* may be considered apart from the *captions*...

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

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Enumeration and chronology fields (863, 864, 865)

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

Volume 3	June
Number 1	1999

863 41 $8 1.1 $a 3 $b 1 $i 1999 $j 06

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86X field structure

Indicators *Subfields*

86X _ _ $8 1.1 a b c … h i j k … m

Tag **Linking subfield code** **Link no.** **Seq-uence no.** **Enumeration data** **Chronology data**

$8 _._	=	Field link and sequencing
$a-h	=	Enumeration data
$i-m	=	Chronology data
$o, $t	=	Other captions (not shown)

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Link and sequencing

How paired fields are connected:

$8

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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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Putting 853 and 863 together…

Volume 3 June
Number 1 1999

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

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

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

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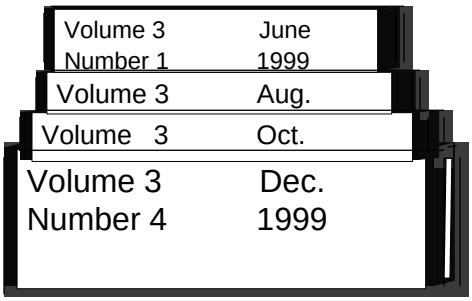
One to many…

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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Recording captions and enumeration/chronology

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Enumeration/chronology subfield codes

	(enumeration)		(chronology)
853 $8 1	$a - $h	...	$i - $m
863 $8 1.1	$a - $h		$i - $m

are correlated for display.

<u>However:</u>

- *Extremely low levels (values $d-h and $l) are fairly rare.*
- *Below first level, enumeration and chronology <u>data</u> subfields are routinely dropped when holdings are compressed (86X).*
- *But <u>there is no need to drop the corresponding captions and pattern,</u> particularly if you want to compress and expand your holdings display in the future.*

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

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Holdings with dates alone

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

1998
Annual Report

853 __ $8 1 $a (year)
863 __ $8 1.1 $a 1998

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Noting a gap

Use a subfield **$w** in the 863 field before the gap. Value **g** (gap/piece not held) will display as a comma.

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

May display as:
1996,
1998;
2000

Value **n** (non-gap break/piece not published) will display as a semicolon.

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Handling changes in holdings

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

853 $8 1 $a bd. $b nr. $i (year) $j (month)
863 $8 1.1 $a 1-25 $i 1971/1972-1995/1996

853 $8 2 $a v. $b no. $i (year) $j (month)
863 $8 2.1 $a 26- $i 1996/1997-

<u>NISO display:</u>
bd.1(1971/1972)-25(1995/1996)
v.26(1996/1997)-

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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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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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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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85X First indicator: compressibility and expandability [853, 854 only]

Values are:

0 - Cannot compress or expand

1 - Can compress but not expand

2 - Can compress or expand

3 - Unknown

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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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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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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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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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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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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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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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86X 2nd indicator 1: Uncompressed holding (issue level)

New holding at time of check-in (Italian title)

853 00 $8 1 $a t. $b n. $i (year) $j (month) $k (day)

863 41 $8 1.1 $a 4 $b 1 $i 1997 $j 01 $k 1

NISO display:
t.4:n.1(1997:genn.1)

La Cultura Romana
Tomo IV
Numero 1
1 gennaio 1997

We are discussing 2nd indicator value 1 before 0 because that is the logical progression!

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86X 2nd indicator 0:
Partial compression--volume-level holdings

La Cultura Romana bound, and on the shelf…

LA CULTURA ROMANA	LA CULTURA ROMANA	LA CULTURA ROMANA
4 1-12 1997 genn.-giugno	4 13-24 1997 luglio-dic.	5 1-12 1998 genn.-giugno
937.35 .C8	937.35 .C8	937.35 .C8

We are now instructing libraries to use second indicator 0 for any holding that contains a range—even an internal one..

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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.

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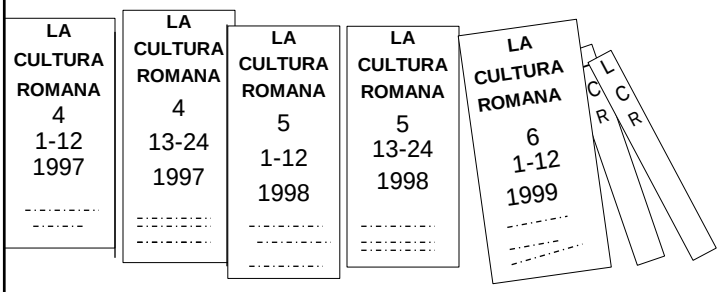
86X 2nd indicator 0: Full compression (“range” holdings)

853 20 $8 1 $a t. $b n. $u12 $v r $i (year) $j (month)$k (day) $w m $x 0101

863 40 $8 1.1 $a 4- $i 1997-



Possible display:

t.4(1997)-

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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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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 (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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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)

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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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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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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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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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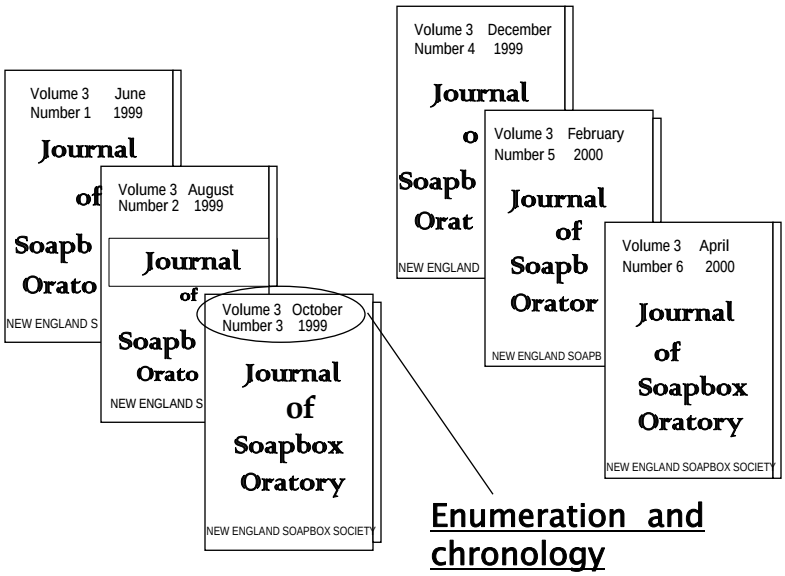
Finding a pattern: Case 1



Enumeration and chronology

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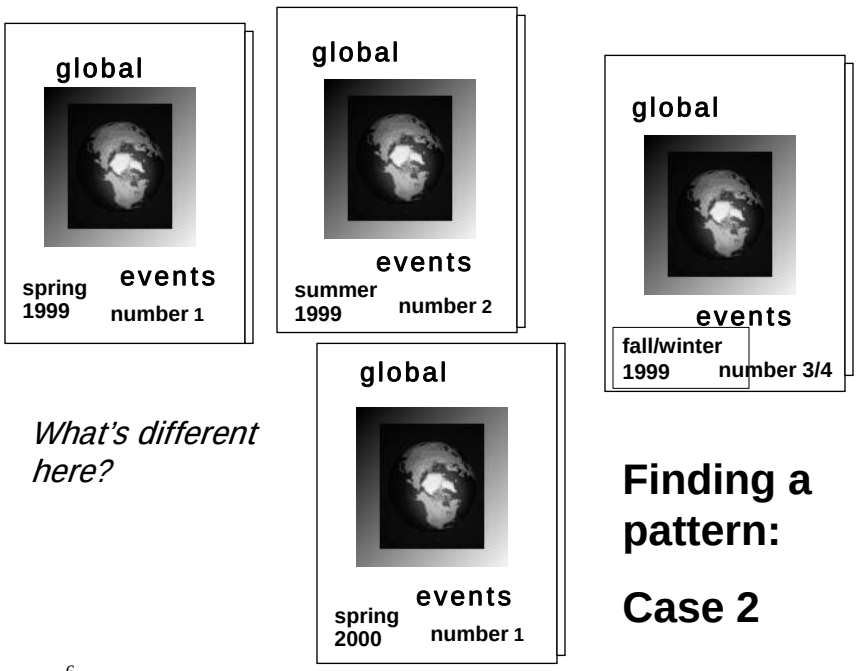

What's different here?

Finding a pattern:

Case 2

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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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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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Subfield $u Examples

On issue: May 1998 volume 12 number 4 [Monthly]

Coded as: 853 00 $8 1 $a v. $b no. $u 12 $i (year) $j (month)

On issue: volume 21 number 4 part 5
[4 numbers in a volume, but a varying number of parts in each number]

Coded as: 853 00 $8 1 $a v. $b no. $u 4 $c pt. $u var*

**No prediction can be made on the basis of values var and und.*

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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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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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Frequency subfield $w

One-character code or a number indicating publication frequency

Codes are used for regular frequencies. For example:

a - Annual **b** - Bimonthly **c** - Semiweekly **d** - Daily
m - Monthly **q** - Quarterly **x** - Completely irregular

A number is used to specify the issues per year when issues come regularly but there is no code established for their interval (e.g., 5,7,13/yr.)

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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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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.
- <u>Month:</u> 01 - 12 <u>Day:</u> 01 - 31
- <u>Season:</u> 21 (Spring) 22 (Summer) 23 (Autumn) 24 (Winter)

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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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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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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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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	22	23	24
	(Spring)	(Summer)	(Autumn)	(Winter)

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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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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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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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Summary

Pattern information is used for two major purposes:

- *<u>Prediction of expected issues</u> for check-in, and subsequent claiming of issues not received*
- *<u>Compression and expansion</u> 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.

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Exercises

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

2. Quarterly: v. 43, no. 1 Winter 1989

3. Monthly (does not publish Dec., June, July, and has a combined issue of Aug./Sept.: v. 12, no. 1, Jan. 1990)

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

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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

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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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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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Definition

Textual holdings

Single fields which combine captions (if any) with enumeration and chronology data. They are for display only (no other functionality is possible).

Depending on linking number used, textual holdings can:

– display as sole holdings
– display in combination with coded holdings
– replace display of coded holdings with same linking no.

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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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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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Indicators of textual holdings fields

First indicator: *Field encoding level*

[blank]	No information provided
3	Holdings level 3
4	Holdings level 4
5	Holdings level 5

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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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Textual holdings displayed alone-- Dead title

range at Level 3

standard: Z39.71

866 31 $8 0 $a v.1(1899)-31(1930)
$zSome issues missing
868 41 $8 0 $a v.1/25(1899/1924)

LADIES' WELFARE LEAGUE. JOURNAL

HQ 235 .C44 Index v.1-25 1899-1924

---

may display as input:

v.1(1899)-31(1930) <Some issues missing>
Indexes: v.1/25(1899/1924)

constant data and display details for notes as supplied by system

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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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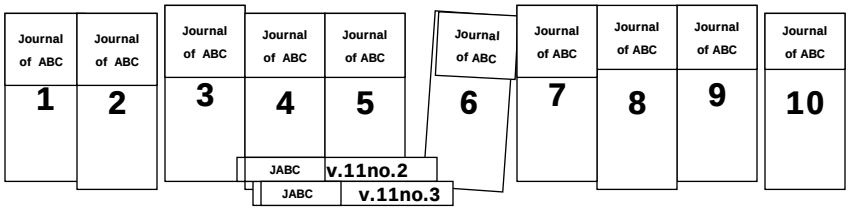
Textual & coded holdings in combined display



853 20 $8 2 $a v. $b no. $u 4 $v r $i (year) $j (month) $w q $x01
866 41 $8 1 $a v.1(1990)-10(1999), ← backrun.-- Comma shows gap
863 41 $8 2.1 $a 11 $b 2 $i 2000 $j 04/06 ←
863 41 $8 2.2 $a 11 $b 3 $i 2000 $j 07/09

Possible display :

v.1(1990)-10(1999),
v.11:no.2(2000:Apr./June)
v.11:no.3(2000:July/Sept.)

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Another case for combined display

853 20 $8 2 $a año $b no. $u 12 $v r …

866 41 $8 1 $a año 1:no.1(1961:enero)-6:9(1967:sept.),

In many systems this string could not be input as a single 863. In 866, input comma shows gap

863 41 $8 2.1 $a 6 $b 11 $i 1967 $j 11 $w g

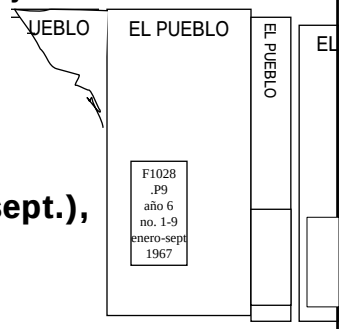
Coded subfield $g for gap

863 40 $8 2.2 $a 7- $i 1968-

Possible display:

año 1:no.1(1961:enero)-6:9(1967:sept.),
año 6:no.11(1967:nov.),
año 7(1968)-

Both gaps display as commas



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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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Textual holdings replacing coded in display

v.1 1979 (no.1-4) Jan,Apr,Jun,Sep
v.2 1980 " 1990
v.3 1981 no. 2-3 1991
v.4 1982
v.5 1983 For later holdings
v.6 1984 see check-in record
v.7 1985
1986 (no.1-4) Spr,Sum,Fall,Winter
1987 "
1988 no. 2-3
1989

Global events.

1992				1993			
no.1	2	3	4	no. 1	2	3	4
1994				1995			
no. 1	2	3	4	no. 1	2	3	4
1996				1997			
no. 1	2	3/4		no.1	2	3/4	
1998				1999			
no. 1	2	3/4		no.1	2	3/4	

Global events has two changes in captions&pattern:

1986 (from v. with months to year with internal seasons); 1996 (change to combined 3rd-4th issues)

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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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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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Add free text fields...

866 31 $8 1 $a v.1-7(1979-1985) $zSome issues missing

866 31 $8 2 $8 3 $a 1986- $zSome issues missing

duplicate linking no.; replaces the fields specified for display

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
863 42 $8 1.3 $a 4-7 $i 1982-1985
863 42 $8 2.1 $a 1986-1987 $w g
863 42 $8 2.2 $a 1988 $b 2-3 $i 1988 $21-23 $w g
863 42 $8 2.3 $a 1989-1995
863 42 $8 3.1 $a 1996-

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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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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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Exercise for Title:Books

852 _ _ $a $b $h $i

866 _ _ $8 $a

867 _ _ $8 $a $z

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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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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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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 --
Special Problems

How do we deal with…

captions not ending in a period?
supplements and indexes?
ordinal numbers?
numbers without captions?
dates with internal numbering?
symbols, hyphens, coding challenges?
"new series" designations?
alphabetic enumeration?
alternative enumeration and chronology?
what's <u>your</u> worst nightmare?

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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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Base Volume, Supplement, Index

GENEALOGY BULLETIN
Volume 2, no. 1
Jan./Mar. 1986

Bulletin-- quarterly

GENEALOGY BULLETIN
Research Notes Volume 2 1986
Supplement 1

Supplement-- semiannual

(arriving June and December)

Genealogy Bulletin Index
Volumes 1 to 10
1985-1994

Index: every ten years

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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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Supplement Summary

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

Semiannual

If we have holdings from v.1, supplement 1, 1985 t 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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Cumulative Index Holding

Genealogy Bulletin Index
Volumes 1 to 10
1985-1994

Ten-year index

Designation requires slash rather than hyphen between units/dates covered

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

865 41 $8 1.1 $a 1/10 $i 1985/1994

May display as:

INDEXES: v.1/10(1985/1994)

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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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Combined holdings...

853 20 $8 1 $a v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 01

863 40 $8 1.1 $a 2- $i 1986-

854 20 $8 1 $a v. $b suppl. $o Research Notes $u 2 $v r $i (year) $j (month) $w f $x 06

864 40 $8 1.1 $a 1-5 $b 1-1 $i 1985-1988 $ 06-06

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

865 41 $8 1.1 $a 1/10 $i 1985/1994

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Combined OPAC display (if cataloged together)

Again—just one possibility for display:

HOLDINGS: v.2(1986)-

SUPPLS: "Research Notes"

v.1:suppl.1(1985:June)-
v.5:suppl.1(1989:June)

INDEXES: v.1/10(1985/1994)

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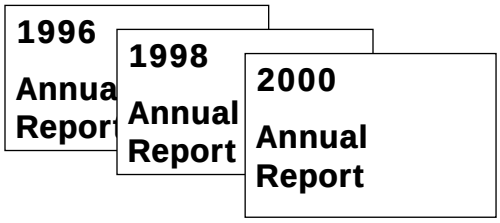
Holdings with Dates



853 20 $8 1 $a (year) $w a
863 41 $8 1.1 $a 1996 $w g
863 41 $8 1.2 $a 1998 $w n
863 41 $8 1.3 $a 2000

May display as:

1996,1998;2000

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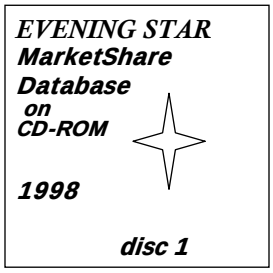
Dates with divisions: Non-chronological

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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Dates with both kinds of division

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

863 41 $8 1.1 $a 1999 $b 1 $i 1999 $j 21

may display as:

1999:no. 1(1999:spring)

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

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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)

VERHANDLUNGEN
DER
AKADEMIE
VON
WISSENSCHAFTEN
Neue Folge IV.Bd
1882

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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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Holdings with ordinals

12th Edition 1990
P. Sarmiento's Guide to Colonial Mexico

14th Edition 1997
P. Sarmiento's Guide to Colonial Mexico

853 10 $8 1 $a +ed. $i (year) $w x

863 41 $8 1.1 $a 12 $i 1990 $w g

863 41 $8 1.2 $a 14 $i 1997

may display (by means of Language code) as…
12th ed.(1990),
14th ed.(1997)

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Holdings with Roman numerals

<u>New holding at time of check-in (Italian title)</u>

853 20 $8 1 $a t. $b n. $u 24 $v r $i (year) $j (month) $k (day) $w s $x 0101 $ypd01,15

863 41 $8 1.1 $a 4 $b 1 $i 1997 $j 0 $k 1

May display in online system as…
t.4:n.1(1997:genn.1)

(semimonthly)

La Cultura Romana
Tomo IV
Numero 1
1 gennaio 1997

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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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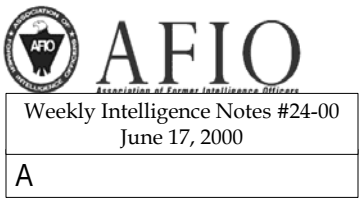
Symbols, hyphens, coding challenges

- 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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Alphabetic enumeration

- Another problematic situation in some systems!
- Alpha enumeration should be input as given.
- Your system should be able to handle it; if it can't, you need to insist that it get up to speed.

OCEANOGRAPHIC
RESEARCH MONTHLY
Volume A1, Number 1
Oct. 1982
Marine Biology

OCEANOGRAPHIC
RESEARCH MONTHLY
Volume B1, Number 1
Oct. 1982
Marine Geology an Physiography

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Alternative enumeration

- Some kinds of publications have two numeric systems.
  - It is not always necessary to record both. If both systems are important, use the 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

ANNALS OF
RELIGIOUS
HISTORY
NEW SERIES 33
OLD SERIES vol. 149

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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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Exercises

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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

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Exercise 2

Three times a year with seasons: Record holdings fields fo these basic issues of a serial that publishes three times a yea 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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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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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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The CONSER Publication Patterns Initiative

- *Why is a pattern and holdings archive desirable?*
- *What is the Project Experiment?*
- *What other goals does the Project have?*
- *What are the differences between Project work and ordinary holdings work? What are the similarities?*
- *How do libraries join and participate?*

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The pattern archive idea

- Automated check-in and the MARC standard inspired libraries to call for an archive of publication patterns for libraries to share.
- Questions:
  - Who would provide the data?
  - Who would manage it?
  - How would it be funded?
  - How would standards and quality control work?
  - How would wide access be preserved?
  - Just Patterns? Or Pieces Published, too?
- CONSER TF in early 90's tried to establish such an archive. Though attempt failed, benefits remained clear

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Benefits for libraries

- Patterns
  - create once, use multiple times
  - communicate seamlessly between systems
  - enable prediction locally
  - accurate pattern for display and compression/expansion
- Holdings
  - determine what has been published
  - most need for the data on first issue
    - › pinpoint when pattern began
    - › ensure coordination of pattern and holdings

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Benefits for serials community

- Make data compatible across all systems
- Division of labor of pattern creation
- Widest possible access to information

These became goals of the new

CONSER Publication Pattern Initiative!

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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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Standard : MARC Format for Holdings Data

Use of MFHD in view of current rapid adoption by libraries, systems

- to give libraries practice in using the format
- to improve the format
- to discuss and promote better implementations in systems

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The CONSER experiment

- Documentation on the CONSER Web Site
- Began June 1, 2000
- Libraries replace records in OCLC to add pairs of 891 fields
  - Field 1 --*captions and pattern* (i.e., the parts and how they are issued)
  - Field 2-- *enumeration and chronology* data for the first issue in that pattern
- Data available for cut & paste or other ways of importing into local systems

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The first pattern entered!

Heart failure reviews (OCLC #35601086)

- 891 30 $9 853 $8 1 $a v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 03
- 891 41 $9 863 $8 1.1 $a <5> $b <1> $i <2000> $j <03>

Input by: University of Cincinnati Health Sciences Libraries

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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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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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Documentation

On the CONSER Web Site:

- Task Force Charge
- The CONSER Experiment: Frequently Asked Questions
- Guidelines for Input of Captions/Patterns and Holdings Data

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

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How to participate:

Contact to apply or ask questions:

***Les Hawkins**, CONSER Coordinator*

lhaw@loc.gov

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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 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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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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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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What is “compliance” with MARC 21 holdings?

- Libraries seek to purchase systems that are fully compliant with MFHD, but what is compliance?!
- Current, working definition of compliance is stated on the CONSER website:

lcweb.loc.gov/acq/conser/MHLDdefinition.html

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Features to look for when shopping for a system

- Provide for all MFHD elements
- Import / export MFHD records
- Display MFHD codes on command or by default
- Sequence fields correctly for public display
- Enable user-composed macros
- Make data available to all processing
- Predict future issues
- Generate summary holdings
- Have extra functionality, e.g., reorder fields

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MARC 21 format problems & changes

Standard does not yet account for all types of serial frequencies or patterns of publication.

As a pattern or frequency is identified, MARBI makes additions or modifications to the MFHD

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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** <u>records the first and last parts of a range of units only, rather than listing all the units.</u> 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**	If no. of units retained exceeds 9,
1-9	**number of units**	give no. in 852 $x or $z
m month(s)	**e ed(s).**	
w week(s)	**i issue(s)**	
y year(s)	**s supplement(s)**	

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]

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From: CONSER Patterns and Holdings Project Guidelines

853-855 $w - Frequency (NR)
A one-character alphabetic code or a number that indicates the publication frequency of the item. Subfield $w is not related to a specific caption. It is input following the last chronology caption used. Specific publishing pattern information is contained in subfield $y (Regularity).

- Codes
  Codes used for frequencies that have a fundamental periodicity.
  - a - Annual
  - b - Bimonthly
  - c - Semiweekly
  - d - Daily
  - e - Biweekly
  - f - Semiannual
  - g - Biennial
  - h - Triennial
  - i - Three times a week
  - j - Three times a month
  - m - Monthly
  - q - Quarterly
  - s - Semimonthly
  - t - Three times a year
  - w - Weekly
  - x - Completely irregular
- Number
  A number is used to specify the issues per year when no codable periodicity exists. Because subfield $w is variable in length, no leading zero is used for a single-character number.

5.2.9. Subfield $y - Regularity pattern:

A regularity pattern subfield is needed only for serials whose periodicity varies from the normal pattern for the frequency by regular omissions or combined numbers. This subfield is composed of codes which are in three parts:

a *publication code*:

c combined
p published
o omitted
a *chronology code definition*:

d day
m month
s season
w week

a chronology code:

Table I. Chronology Codes

Chronology Code Definitions	Pattern	Chronology Code	Meaning
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.

Library of Congress

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

Appendix 6: Post-Workshop Exercises

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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
2. Libraries and Standards
3. Coding Records

1. Standards and Holdings

List the standards that are used by libraries for entering and recording holdings.

2. Libraries and Standards

List as many library system functions as you can that are affected by the holdings format.

List as many reasons as you can why libraries should use the standards.

3. Coding Records

Code the following examples.

Example 1

Cover:

Sports
Magazine
Volume 12 number 11 November 2000

Sports
Magazine

Sports Magazine is published monthly

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 v.2 1980 " v.3 1981 no. 3 v.4 1982 v.5 1983 v.6 1984 + Suppl. 1984 v.7 1985 1986 (no.1-4) Spr,Sum,Fall,Winter	1987 " 1988 no. 2-3 1989 + Index 1979-1988 1990 1991 For later holdings see check-in record

853 20 $8 1 $a v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 01
863 _ _ $8 ___ $a $i $w
863 _ _ $8 ___ $a $b $i $j
863 _ _ $8 ___ $a $i

854 20_$8 ____$a (year)
864 $8 $a

853 _ $8 $a (year) $b no. $u 4 $v r $i (year) $j (season) $w q $x 21
863 $8 $a $w
863 $8 $a $b $i $j $w
863 $8 $a

855 -- $8 $a v. $i (year/year)
865 $8 $a $i

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

<u>OPTION 1 (Separate)</u>

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"

<u>OPTION 2 (Adjacent)</u>

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:

<u>$8, when linking to 863-865</u>

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

<u>$3, when linking to 866-868</u>

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!