



SERIALS HOLDINGS WORKSHOP

Trainee Manual
4th edition
May 2009

prepared by

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Library of Congress

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FOREWORD TO THE 4th EDITION May 2009

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

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

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

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

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

Les Hawkins
CONSER Coordinator
Library of Congress
May 2009

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PREFACE TO THE 4th EDITION

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

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

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

Margi Mann
Wen-ying Lu
May 2009

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PREFACE TO THE 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” not only as it is defined in the glossary of Z39.71, but also as the dropping of lower levels of enumeration and chronology. Under this interpretation, libraries working from lists of complete holdings would not have to downgrade their level just because they lacked information on the internal hierarchy. Legibility would also be much less of an issue because complete volumes could be given in a simple volume-level range.

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

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

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

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

Frieda B. Rosenberg
Margi Mann

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SERIALS HOLDINGS WORKSHOP

Instructors:

Place/Date:

Please Add Your Name, Library &
Local System

					1-2

Contents

Sessions

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

1-3

Contents

Sessions

- 4 - Recording Patterns
(2 hours)
- 5 - Recording Textual Holdings and Item Fields
(2 hours)
- 6 - Special Problems
(2 hours)
- 7 - Trends & Issues in MARC 21 Holdings
(1 hour)

1-4

Session 1 Introduction

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

1-5

Session 1 Introduction

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

1-6

Session 1 Introduction

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

1-7

SCCTP Goals

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

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

1-8

SCCTP Goals

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

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

1-9

Participants' Objectives –
What are *Your* Objectives?

1-10

Participants' Objectives

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

1-11

Participants' Objectives

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

1-12

What Library Functions are Served by Holdings Standards?

1-13

What Library Functions are Served by Holdings Standards?

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

1-14

What Library Functions are Served by Holdings Standards?

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

1-15

Why Use the Standards? Individual Library Benefits

1-16

Why Use the Standards? Individual Library Benefits

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

1-17

Why Use the Standards? Individual Library Benefits

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

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

1-18

Why Use the Standards? Community Benefits

1-19

Why Use the Standards? Community Benefits

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

1-20

Why Use the Standards? Community Benefits

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

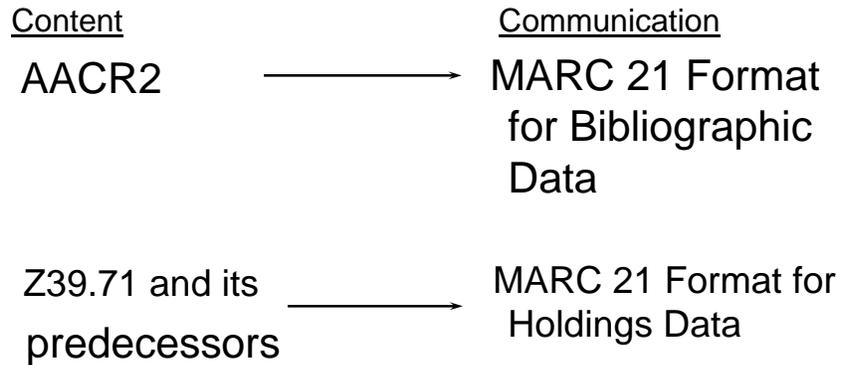
1-21

Two Standards for Holdings

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

1-22

Analogous Relationship of Standards



1-23

Display Standard Z39.71: Main Concepts

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

1-24

Important Z39.71 Concept: Level of Specificity

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

- Level 1 Rarely used for serials
- Level 2 Limited retention
- Level 3 “*Summary level*,” library holds at least some part of each volume shown

1-25

Important Z39.71 Concept: Level of Specificity

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

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

1-26

Display Standard Example: Z39.71

Detailed Level 4

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

OR

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

1-27

Level of Detail or Specificity

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

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

1-28

Level of Detail or Specificity

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

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

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

1-29

Another Important Z39.71 Concept: Form of Holdings

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

1-30

Form of Holdings Example

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

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

1-31

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

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

1-32

Communication Standard:
Where Do You Send Your Holdings Data?

1-33

MFHD Can Answer These Questions
if Coded Correctly:

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

1-34

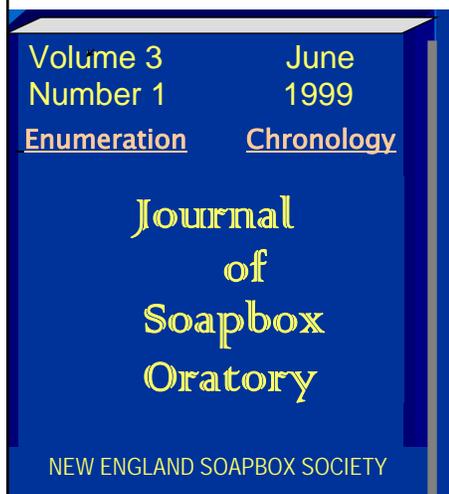
MFHD Can Answer These Questions *if Coded Correctly:*

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

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

1-35

For Current Receipts MFHD Starts with an Issue



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

1-36

For Current Receipts MFHD Starts with an Issue

Volume 3 June
Number 1 1999

Enumeration Chronology

Journal
of
Soapbox
Oratory

NEW ENGLAND SOAPBOX SOCIETY

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

1-37

In the Bibliographic Record...

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

<p>Volume 3 June Number 1 1999</p> <p style="text-align: center;">Journal of Soapbox Oratory</p> <p style="font-size: 0.8em;">NEW ENGLAND SOAPBOX SOCIETY</p>	310	Bimonthly
---	-----	-----------

1-38

In the Bibliographic Record...

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

Volume 3	June
Number 1	1999
Journal of Soapbox Oratory	
NEW ENGLAND SOAPBOX SOCIETY	

310 Bimonthly

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

1-39

In the Bibliographic Record...

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

Volume 3	June
Number 1	1999
Journal of Soapbox Oratory	
NEW ENGLAND SOAPBOX SOCIETY	

310 Bimonthly

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

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

1-40

A Holdings Display in the OPAC

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

1-41

Behind the Scenes is Its MFHD Record

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

1-42

An Issue is Ready to Check In

EXPECTED ISSUE CHECK-IN

TITLE: Journal of soapbox oratory.

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

1-43

What Has Changed Here?

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

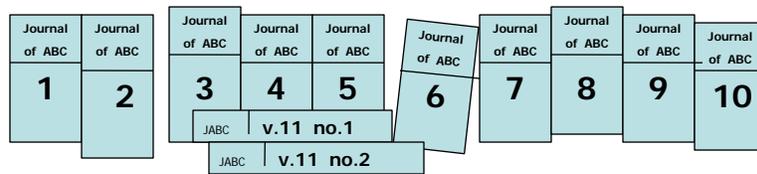
1-44

A Line is Added to the MFHD Record

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

1-45

For Retrospective Holdings



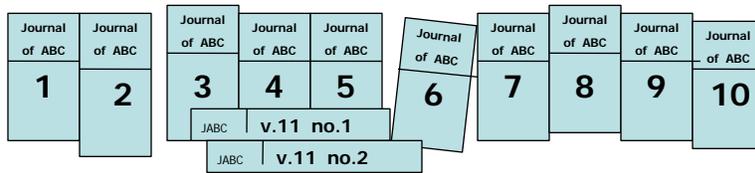
A run of a serial title can be entered in the MFHD record with:

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

```
863 31 $8 1.1 $a 1
863 31 $8 1.2 $a 2
[etc.]
863 41 $8 1.11 $a 11 $b 1
863 41 $8 1.12 $a 11 $b 2
```

1-46

For Retrospective Holdings



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

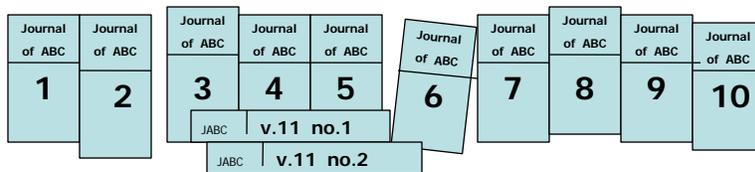
2. A range statement (coded or textual, detailed level or summary level, open or closed)

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

863 30 \$8 1.1 \$a 1-

1-47

For Retrospective Holdings



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

3. A combination

863 30 \$8 1.1 \$a 1-10

863 41 \$8 1.2 \$a 11 \$b 1

863 41 \$8 1.3 \$a 11 \$b 2

1-48

A Holdings Display in the OCLC Union List

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

[Display All Libraries](#)

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

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

1-49

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-

1-50

Discussion: What Union List or Consortial Database (if any) Does Your Library Contribute to?

					1-51

Vendor Implementations of the Standard

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

1-52

Vendor Implementations of the Standard

Examples of specific questions:

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

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

1-53

Summary

Standardized holdings records ...

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

1-54

Summary

Standardized holdings records ...

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

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

1-55

Summary

Standardized holdings records ...

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

1-56

Session 1 Exercises

Identify whether the following holdings statements are:

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

The first is done for you.

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

1-57

Session 1 Exercises

Identify whether the following holdings statements are:

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

- 4. 1908:Jan. 1908:Feb. 1908:Mar. [Monthly] _____
- 5. v.78(1983)- [Quarterly; no gaps] _____
- 6. Extra challenge:
 v.22:no.1(2000:Jan.)-v.22:no.6(2000:Nov.),v.23:no.2(2001:Mar.),
 v.23:no.4(2001:July) [Bimonthly] _____

1-58

Session 1 Exercise Answers

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

1-59

Holdings Session 2 Overview, Control and Location Fields

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

2-1

Holdings Session 2 Overview, Control and Location Fields

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

2-2

Structure of the MFHD

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

2-3

Structure of the MFHD

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

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

2-4

The Journal of ABC

Journal of ABC	Journal of ABC	Journal of ABC	Journal of ABC	Journal of ABC	Journal of ABC	Journal of ABC	Journal of ABC	Journal of ABC	Journal of ABC
1	2	3	4	5	6	7	8	9	10
1990	1991	JABC	v.11 no.1 Jan./Mar. 2000			1996	1970	1998	1999
		JABC	v.11 no.2 Apr./June 2000						

2-5

Sample MFHD Record & Resulting Display

Journal of ABC.
 Type: y Encod.L: 4 Rec./Acq.: 4 Acq.Meth.: p Int.toCanc:
 GenRet: 8 Spec.Ret: Lang.: eng Sep/comp: 0 Copies: 1
 Completeness: 1 Lend: b Repr: a
 004 \$a AA32059
 007 \$a ta
 852 51 \$b 30000 \$c Reading Room
 853 20 \$8 2 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q \$x 03
 866 41 \$8 1 \$a v.1-10(1990-1999)
 863 41 \$8 2.1 \$a 11 \$b 1 \$i 2000 \$j 01/03 \$z Reserve
 863 41 \$8 2.2 \$a 11 \$b 2 \$i 2000 \$j 04/06

Journal of ABC.
 Location: GenLib Reading Room. Currently received. Shelved by title.
 Holdings: v.1-10(1990-1999)
 v.11:no.1(2000:Jan./Mar.)—Reserve
 v.11:no.2(2000:Apr./Jun.)

2-6

Sample MFHD Record & Resulting Display

Journal of ABC.

Type: y Encod.L: 4 Rec./Acq.: 4 Acq.Meth.: p Int.toCanc:

GenRet: 8 Spec.Ret: Lang.: eng Sep/comp: 0 Copies: 1

Completeness: 1 Lend: b Repr: a

004 \$a AA32059

007 \$a ta

852 51 \$b 30000 \$c Reading Room

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

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

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

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

Journal of ABC.

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

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

v.11:no.1(2000:Jan./Mar.) —Reserve

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

2-7

MFHD: Fixed-length Data (Tagged Display)*

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

Acquis. method:_ Lang:___ Compl:_

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

Lend:_ Repro:_ Cancel:_ Copies: ___

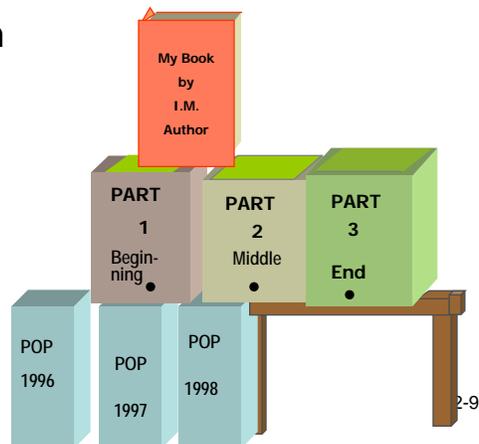
*Shows a hypothetical tagged screen--no
specific system display intended!

2-8

Leader Elements

The Type Code (**Leader 06**)

- x** single-part item
- v** multi-part item
- y** serial



Leader Elements

Encoding Level (**Leader 17**)

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

2-10

Holdings Control Fields

- 001 Control number
- 003 Control # ID
- 004 Control number of related bibliographic record
- 005 Date/Time of latest transaction
- 007 Physical description fixed field (i.e., SMD -- specific material designation)

2-11

Other Control Numbers

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

2-12

Receipt or Acquisition Status **008/06**

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

2-13

Acquisition Method **008/07**

Code: Definition:

c	C ooperative or consortial purchase
d	
e	
f	
g	
m	
n	
p	
u	
z	

2-14

Acquisition Method 008/07

Code: Definition:

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

2-15

Expected Acquisition End Date 008/8-11

Date of expected last issue, OR

Date of cancellation of the order

yymm	Date of last expected part or cancellation
uuuu	To be cancelled, date unknown
[blank]	No intention to cancel or not applicable

2-16

General Retention Policy

008/12

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

2-17

Specific Retention Policy

008/13-15

3 blanks no specific retention policy

position 1 *l* latest OR *p* previous

position 2 *1-9* number of units

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

months years editions issues supplements

2-18

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

2-19

Number of Copies Reported

008/17-19

The number of copies represented by the holdings record

001	One copy reported
002	Two copies reported
Etc.	Etc.

2-20

Lending Policy**008/20**

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

Reproduction Policy**008/21**

- Will reproduce
- Will not reproduce
- Unknown

2-21

Language**008/22-24**

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

2-22

Language

008/22-24

Language code examples:

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

2-23

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

0 Separate copy report

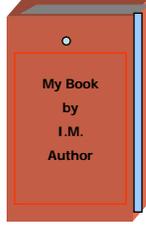
Each copy has a separate holdings record

1 Composite copy report

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

2-24

Holdings Fixed Fields for Single-part Item

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

2-25

Holdings Fixed Fields for Multi-part Item

Type = v



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

2-26

Holdings Fixed Fields for Multi-part Item

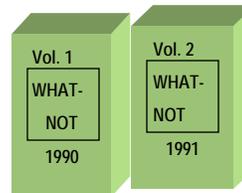
Type = **v**

PART I	PART II	PART III
Beginning	Middle	End
•	•	•

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

2-27

Holdings Fixed Fields for Serials



Type: **y**

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

Receipt or acquisition status:

2 (ceased), **3** (on order), **4** (currently received),

5 (cancelled or not receiving)

Acquisition method: mnemonic codes

2-28

Notes (Copy or Title Level)

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

2-29

Notes (Copy or Title Level)

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

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

2-30

Notes (Copy or Title Level)

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

2-31

Electronic Location & Access **856**

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

2-32

Electronic Location & Access **856**

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

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

2-33

Electronic Location & Access **856**

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

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

2-34

Holdings Location Field 852

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



Holdings Location Field Example

852 01 **\$b** 132000 **\$c** Index Table **\$h** Z1373
\$i .I5 **\$k** Ref **\$z** See Intl.Docs.Div. for
 documents



Holdings Location Field Display Example

Index to Canadian documents.

Location: Main Reference Room, Index Table

Call no.: Ref Z1373 .I5

Note: See Intl.Docs.Div. for documents



2-37

852 Field Indicators

First Indicator (Shelving scheme). Values:

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

2-38

852 Field Indicators

Second Indicator (Shelving order). Values:

- [blank]** No information provided
- 1** By primary enumeration
(most common value)
- 0** Classed separately
- 2** Shelved by secondary enumeration

2-39

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

2-40

An Example of a Complete MFHD Record for a CD

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

2-41

Summary

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

2-42

Summary

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

2-43

Summary

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

2-44

Example 1

JKL bibliography.

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

Sep/Comp:0

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

Might display to public as:

JKL bibliography.

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

2-45

Exercise 1

In the record for JKL bibliography (Example 1):

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

2-46

Example 2

Review of XYZ.

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

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

Might display to public as:

Review of XYZ.

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

2-47

Exercise 2

In the record for Review of XYZ (Example 2):

3. Where do the following notes come from?

- a. Shelved by title
- b. Retained until replaced by microform

4. If we now need to classify this title in Dewey:

- a. What data must we change?
- b. Where must we add subfields, and what will they be?

2-48

Answers to Exercises

- 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.

2-49

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Holdings Session 3

Coded Holdings

Warm-up Exercises

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

3-1

Coded Holdings

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

3-2

Recording Coded Holdings

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

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

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

3-3

Bibliographic Units and Fields

Different fields are used for:

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

3-4

Definitions: Caption Data (85X)

Enumeration

caption:

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

Volume 3
Number 1

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

3-5

Definitions: Caption Data (85X)

Enumeration

caption:

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

Volume 3 June
Number 1 1999

Chronology

caption:

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

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

3-6

Caption Abbreviations

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

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

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

3-7

85X Field Structure

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

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

3-8

Definitions (86X)

Volume 3	June
Number 1	1999

The data may be considered apart from the captions.

3-9

Definitions (86X)

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

Volume 3	June
Number 1	1999

The data may be considered apart from the captions.

3-10

Definitions (86X)

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

Volume 3	June
Number 1	1999

The data may be considered apart from the captions.

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

3-11

Enumeration and Chronology Fields (863, 864, 865)

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

Volume 3	June
Number 1	1999

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

3-12

86X Field Structure

86X _ _ **\$8** _ _ \$a b c ...h i j k ...m o t

\$8 _ _ = Field link and sequence

\$a-h = Enumeration data

\$i-m = Chronology data

\$o = Title of unit

\$t = Copy number

3-13

Linkage and Sequencing

How paired fields are connected:

\$8

3-14

Linking with Subfield 8

853 \$8 1 \$a v. \$b pt. [Caption field]

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

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

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

3-15

Putting 853 and 863 Together...

Volume 3	June
Number 1	1999

3-16

Putting 853 and 863 Together...

Volume 3	June
Number 1	1999

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

3-17

Putting 853 and 863 Together...

Volume 3	June
Number 1	1999

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

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

3-18

Putting 853 and 863 Together...

Volume 3	June
Number 1	1999

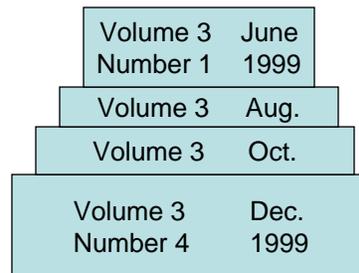
853 \$8 1 \$a v. \$b no. \$i (year) \$j (month)

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

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

3-19

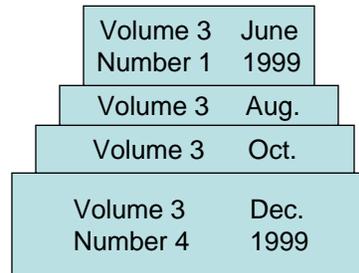
One to Many...



3-20

One to Many...

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



3-21

One to Many...

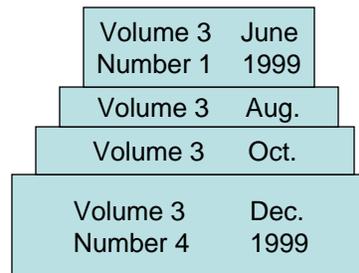
853 \$8 1 \$a v. \$b no. \$i (year) \$j (month)

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



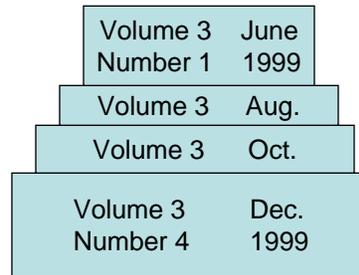
3-22

One to Many...

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

Possible display:

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



3-23

Recording captions and enumeration/chronology

3-24

Enumeration/Chronology Subfield Codes

(enumeration) (chronology)

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

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

are correlated for display.

However...

3-25

Enumeration/Chronology Subfield Codes

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

3-26

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

Example 1

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

Coded as:

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

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

3-27

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

Example 1

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

Coded as:

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

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

Possible display (NISO): v.13:no.4:pt.5(1998:June15)

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

3-28

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

On issue: 1998 no. 1

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

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

3-29

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

On issue: 1998 no. 1

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

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

NISO display: 1998:no.1

3-30

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

Example 3

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

Coded as:

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

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

3-31

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

Example 3

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

Coded as:

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

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

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

3-32

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

Example 4

On issue: New series B number 12

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

863 \$8 1.1 \$a 12

3-33

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

Example 4

On issue: New series B number 12

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

863 \$8 1.1 \$a 12

NISO display: new ser.B:no.12

3-34

Other Subfields

t - Copy caption/number

Example:

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

863 \$8 1 \$a 5 \$b 15 \$i 2005 \$j 05 **\$t 2**

(Copy caption optional in some systems)

Possible display:

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

3-35

Other Subfields

o - Type/title of unit

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

Example:

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

3-36

Other Subfields

Example:

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

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

Possible displays:

1996 (Buyer's guide) c.2

SUPPLEMENTS: Buyer's guide: 1996 c.2

3-37

Special Problems

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

3-38

Dates as Enumeration

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

**1998
Annual Report**

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

3-39

Gaps

**1996
Annual Report** **1998
Annual Report** **2000
Annual Report**

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

3-40

Gaps

1996 Annual Report

1998 Annual Report

2000 Annual Report

Use 863 \$w before the gap:

value g for gap/piece not held

value n for non-gap break/piece not published

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

3-41

Gaps

1996 Annual Report

1998 Annual Report

2000 Annual Report

Use 863 \$w before the gap:

value g for gap/piece not held

value n for non-gap break/piece not published

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

Display as: 1996,1998;2000

Note punctuation

3-42

Changes in Captions

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

3-43

Changes in Captions

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

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

3-44

Changes in Captions

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

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

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

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

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

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

3-45

Exercise

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

853 __ \$8 1 \$a \$b \$i \$j

863 __

863 __

863 __

863 __

863 __

3-46

Exercise Answer

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

853 __ \$8 1 \$a v. \$b no. \$i (year)\$j (month)
 863 __ \$8 1.1 \$a 3 \$b 1 \$i 1999 \$j 06
 863 __ \$8 1.2 \$a 3 \$b 2 \$i 1999 \$j 08
 863 __ \$8 1.3 \$a 3 \$b 3 \$i 1999 \$j 10 \$w n
 863 __ \$8 1.4 \$a 3 \$b 5 \$i 2000 \$j 02
 863 __ \$8 1.5 \$a 3 \$b 6 \$i 2000 \$j 04

3-47

Indicators for 85X

- | | |
|-----|---|
| 1st | Compressibility and expandability
[853, 854 only]

-- Can the data be
compressed or expanded? |
| 2nd | Caption evaluation
[853, 854 only]

-- Did you look at the piece? |

3-48

Indicators for 86X

- 1st Level of specificity
 -- Is it detailed, summary, etc.?
- 2nd Form of holdings
 (compressed or uncompressed)
 -- Is it one, or more than one,
 physical piece (or volume)?
 -- Is it used for display?

3-49

Compression vs. *E-x-p-a-n-s-i-o-n* (85X 1st indicator / 86X 2nd indicator)

Compress:

To display a range of holdings in terms of the enumeration and/or chronology of only the first and last parts held

Example: v.1-v.4

3-50

Compression vs. *E-x-p-a-n-s-i-o-n* (85X 1st indicator / 86X 2nd indicator)

Expand:

To display compressed holdings in an itemized, piece-by-piece or volume-by-volume format

Examples:

v.1 v.2 v.3 v.4
v.1:no.1 v.1:no.2 v.1:no.3

3-51

85X 1st Indicator Compressibility and Expandability [853, 854 Only]

- 0** Cannot compress or expand
- 1** Can compress but not expand
- 2** Can compress or expand
- 3** Unknown

3-52

85X 1st Indicator: **2**

Can Compress or Expand

Example:

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

863 40 \$8 1.1 \$a 1 \$b 3-4 \$i 1994 \$j 07-10
 863 41 \$8 1.2 \$a 2 \$b 1 \$i 1995 \$j 01

May display additionally as:

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

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

3-55

85X 1st Indicator: **3**

Unknown Compressibility

- It is unknown whether enumeration and chronology data in the linked 863 or 864 field can be compressed or expanded.
- This value is often the default value for the automated creation or conversion of holdings data.

3-56

85X 2nd Indicator: Caption Evaluation [853/854 only]

Indicates:

- Whether the captions have been verified from the pieces
- How complete and accurate the captions are for the various levels of enumeration and chronology

3-57

85X 2nd Indicator: Caption Evaluation [853/854 only]

- 0** Captions verified;
all levels present
- 1** Captions verified;
all levels may not be present
- 2** Captions unverified;
all levels present
- 3** Captions unverified;
all levels may not be present

3-58

86X 1st Indicator Level of Specificity

- [blank]** No information provided
- 3** Summary holdings (first level only)
- 4** Detailed holdings (all levels, gaps)
- 5** Detailed with piece designation
(usually for barcoded parts)

3-59

86X 2nd Indicator Form of Holdings

- 0** Compressed; display is generated
- 1** Uncompressed; display is generated
- 2** Compressed; use textual display
- 3** Uncompressed; use textual display
- 4** Item(s) not published

3-60

86X 2nd Indicator 1 Example: Uncompressed Holding (Issue Level)

New holding at time of check-in

La Cultura
Romana

Tomo IV
Numero 1
1 gennaio
1997

853 __ \$8 1 \$a \$b \$i \$j \$k

863 __ \$8 1.1 \$a \$b \$i \$j \$k

3-61

86X 2nd Indicator 1 Example: Uncompressed Holding (Issue Level)

New holding at time of check-in

La Cultura
Romana

Tomo IV
Numero 1
1 gennaio
1997

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

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

3-62

86X 2nd Indicator 1 Example: Uncompressed Holding (Issue Level)

New holding at time of check-in

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

La Cultura
Romana

Tomo IV
Numero 1
1 gennaio
1997

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

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

3-63

86X 2nd Indicator 0 Example: Partial Compression (Volume-Level Holdings)

La Cultura
Romana
bound,
and on the
shelf...

**LA
CULTURA
ROMANA**

4
1-12
1997
genn.-
giugno

937.35
.C8

**LA
CULTURA
ROMANA**

4
13-24
1997
luglio-dic.

937.35
.C8

**LA
CULTURA
ROMANA**

5
1-12
1998
genn.-
giugno

937.35
.C8

3-64

**86X 2nd Indicator 0 Example:
Partial Compression (Volume-Level Holdings)**

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

3-65

**86X 2nd Indicator 0 Example:
Partial Compression (Volume-Level Holdings)**

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

863 50 \$8 1.1 \$a 4 \$b 1-12 \$i 1997 \$j 01-06
\$p10043235678

863 50 \$8 1.2 \$a 4 \$b 13-24 \$i 1997 \$j 07-12
\$p11857763493

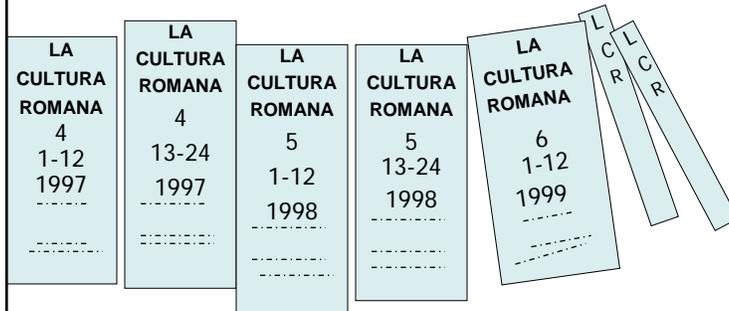
863 50 \$8 1.3 \$a 5 \$b 1-12 \$i 1998 \$j 01-06
\$p13278765835

3-66

86X 2nd Indicator 0 Example: Full Compression (“Range” Holdings)

La Cultura Romana bound, and on the shelf...

(captions tomo and numero not on spines)

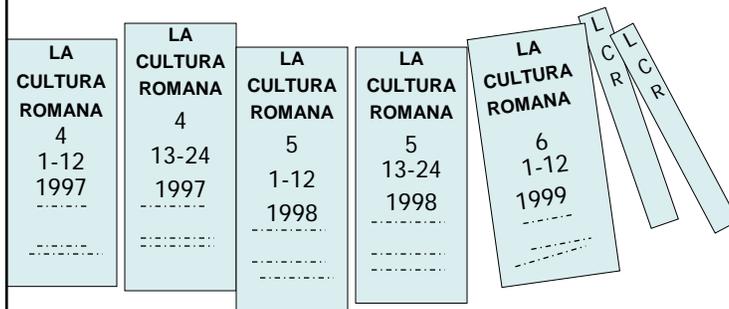


3-67

86X 2nd Indicator 0 Example: Full Compression (“Range” Holdings)

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

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



3-68

86X 2nd Indicator 0 Example: Full Compression (“Range” Holdings)

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

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

Possible display:
t.4(1997)-

3-69

Commonly-Used Indicator Values for Current Receipts

853	1st	2	Can compress or expand
	2nd	0	Captions verified; all levels present
863	1st	4 or 5	Detailed holdings
	2nd	1	Itemized holdings

3-70

Commonly-Used Indicator Values for Retrospective Holdings

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

3-71

Ranges for Detailed Holdings

Some systems allow you to state a range of detailed holdings in the **86X** fields. These statements are characterized by:

- Multiple hyphens in the **86X** coding
- A single hyphen in the display

3-72

Ranges for Detailed Holdings

Example:

853 00 \$8 1 \$a v. \$b no. \$i (year) \$j (month)
\$k (day)

863 40 \$8 1.1 \$a 1-8 \$b 1-10
\$i 1991-1998 \$j 01-04 \$k 06-18

May display as:

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

3-73

Summary

- Use 863-865 to code holdings for issues and volumes, as well as ranges of issues and volumes.
- Pair 863-865 with 853-855 captions for display.
- Codes distinguish base volumes (853/863), supplements (854/864), and indexes (855/865).
- One 85X field can be paired with many 86X fields.

3-74

Summary

- A link number of 85X is coded with a sequence number to display the proper captions and order the holdings sequentially.
- This number increments when captions or patterns change.

3-75

Summary

Data fields comprise:

- Six levels of enumeration
- Four levels of chronology, plus
- Alternative enumeration/chronology.

3-76

Summary

Holdings can be coded at the:

- Issue level
- Physical volume level
- “Range” or summary level

All levels have different uses and functions.

3-77

Summary

Indicators show the:

- Ability to compress
- Authoritativeness of captions
- Level of specificity
- Status of compression.

3-78

Exercise

Here is the answer from our last exercise. Supply the appropriate indicator values (consider these issues as unbound). Then, using the space beneath the holdings, write in what the compressed data would look like in the 863 fields.

853 \$8 1 \$a v. \$b no. \$i (year)\$j (month)
 863 \$8 1.1 \$a 3 \$b 1 \$i 1999 \$j 06
 863 \$8 1.2 \$a 3 \$b 2 \$i 1999 \$j 08
 863 \$8 1.3 \$a 3 \$b 3 \$i 1999 \$j 10 \$w n
 863 \$8 1.4 \$a 3 \$b 5 \$i 2000 \$j 02
 863 \$8 1.5 \$a 3 \$b 6 \$i 2000 \$j 04

3-79

Exercise Answer [compressed holdings]

853 00 \$8 1 \$a v. \$b no. \$i (year)\$j (month)
 863 40 \$8 1.1 \$a 3 \$b 1-3 \$i 1999 \$j 06-10
 \$w n
 863 40 \$8 1.2 \$a 3 \$b 5-6 \$i 2000 \$j 02-04

3-80

Exercise (Take Home)

v.1 1979 no.1-4 Jan, Apr, June, Sept
 v.2 1980 no.1-4 Jan, Apr, June, Sept
 v.3 1981 no.1 Jan.
 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 ?

SCCTP Serial Holdings Workshop 3-81
 3-81

Take-Home Exercise Answer Sheet

v.1 1979 no.1-4 Jan, Apr, June, Sept.
 v.2 1980 no.1-4 Jan, Apr, June, Sept.
 v.3 1981 no.1 Jan.
 v.4 1982
 v.5 1983
 v.6 1984/w Suppl. 1984

v.7 1985
 1986 (no.1-4) Spr, Sum, Fall, Winter
 Index v.1-5 1979-1983

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

853 00 \$8 1 \$a v. \$b no. \$i (year) \$j (month)
 853 00 \$8 2 \$a (year) \$b no. \$i (year) \$j (season)
 854 00 \$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 \$i 1979-1980 } [without parsing]
 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 1.1 \$a 1984 \$z in v.6 [some systems would use \$8 1.4]
 863 40 \$8 2.1 \$a 1986 [some systems would use \$8 2.5, etc.]
 865 41 \$8 1.1 \$a 1/5 \$i 1979/1983

SCCTP Serial Holdings Workshop 3-82
 3-82

Display of Title from Take-Home Exercise

1. Parsed:

v.1:no.1 (1979:Jan.)-3:1(1981:Jan.),

v.4(1982)-7(1985) 1986

Suppl. 1984 <in v.6>

Index v.1/5(1979/1983)

2. Unparsed:

v.1(1979)-v.2(1980)

v.3:no.1(1981:Jan.),

v.4(1982)-7(1985) 1986

Suppl. 1984 <in v.6>

Index v.1/5(1979/1983)

3-83

Holdings Session 4: Publication Patterns (853, 854, 855 Fields, Subfields \$u - \$y)

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

4-1

Publication Patterns

- New ILS systems are making much greater use of predictive check-in
 - System anticipates the next issue(s) for rapid check-in
- Prediction is based on the pattern data from field **85X** subfields **u - y**

4-2

Publication Patterns

- Many systems do not fully accommodate all pattern provisions of the MFHD
- Yet, on the other hand, the Format also needs to recognize more patterns

4-3

Publication Patterns

Patterns are not required in 853/854 when:

- There is no need to compress or expand the holdings
- Only summary level holdings are present in the 863/864
- There is no need to do serials control functions, such as checkin, claiming, or binding

4-4

Publication Patterns

Patterns are required in 853/854 when the library wants:

- To compress or expand the detailed holdings
- To do serials control functions such as predictive checkin, claiming, or predictive binding

4-5

Publishing Pattern Elements

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

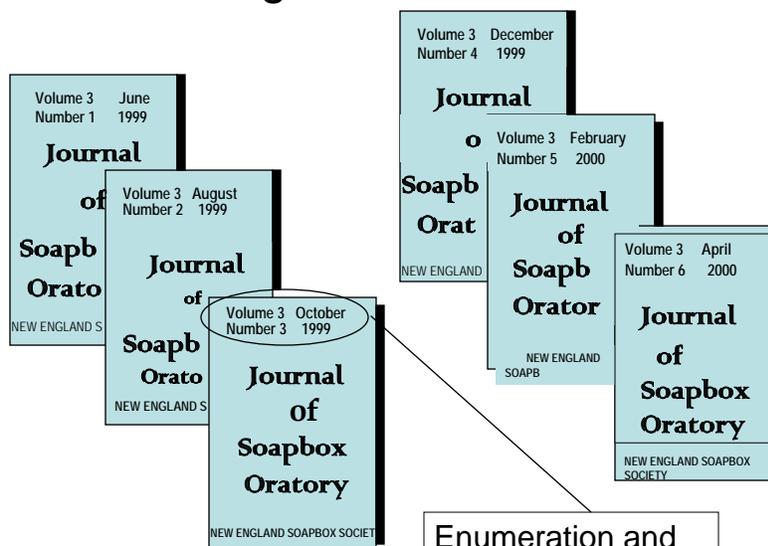
4-6

Publishing Pattern Elements

- The **calendar change** or point in the calendar year when the highest unit increments
- **Variations** in intervals of publication
 - All values are used for predicting a next expected issue **IF** the publishing pattern is regular in nature.

4-7

Finding a Pattern: Case 1



4-8

What's different here?

**Finding a Pattern:
Case 2**

4-9

Publication Pattern Subfield Codes

\$u - \$y

- \$u** Bibliographic units per next higher level
- \$v** Numbering continuity
- \$w** Frequency
- \$x** Calendar change
- \$y** Regularity pattern

4-10

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)

4-11

Bibliographic Units Per Next Higher Level Subfield **\$u**

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

4-12

Subfield \$u Example

Physics Today [Monthly]

On issues:

VOL 3 NO 1 JANUARY 1950
 VOL 3 NO 2 FEBRUARY 1950

 VOL 3 NO 12 DECEMBER 1950
 VOL 4 NO 1 JANUARY 1951

Coded as:

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

4-13

Subfield \$u Example

On issue:

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

Coded as:

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

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

4-14

Numbering Continuity Subfield \$v

One-character code indicating whether the numbering of the described level increments continuously or restarts

Values:

- c** Numbering increments continuously
- r** Numbering of unit restarts at the completion of the next unit above it

4-15

Subfield \$v Example

Estudios sociológicos (Mexico City, Mexico)
[3 numbers a year]

On issues:

v. 20 no. 58	Jan./Apr. 2002
v. 20 no. 59	May/Aug. 2002
v. 20 no. 60	Sept./Dec. 2002
v. 21 no. 61	Jan./Apr. 2003
v. 21 no. 62	May/Aug. 2003

Coded as:

853 11 \$8 1 \$a v. \$b no. \$u 3 \$v c

4-16

Subfield \$v Example

On issues:

volume 21 number 3 part 1
 volume 21 number 3 part 2
 volume 21 number 4 part 1
 volume 21 number 4 part 2
 volume 22 number 1 part 1

Coded as:

853 10 \$8 1 \$a v. \$b no. \$u 4 \$v r
 \$c pt. \$u 2 \$v r

4-17

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

4-18

Frequency Subfield \$w

A number is used to specify the issues per year when issues come regularly but there is no code established for their interval

For example: 5, 7, 13

4-19

Subfield \$w Example

On issue:

June 1999 volume 8 no.10
[Monthly]

Coded as:

853 10 \$8 1 \$a v. \$b no. \$u 12 \$v r
\$i (year) \$j (month) \$w m

4-20

Subfield \$w Example

On issue:

volume 21 number 3 May 1996
[5 issues per year]

Coded as:

853 10 \$8 1 \$a v. \$b no. \$u 5 \$v r
\$i (year) \$j (month) \$w 5

4-21

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 the calendar change.

4-22

Calendar Change Subfield \$x

A month or day code of
less than two digits is right justified,
and the unused position contains a zero.

Codes:

Month: 01 - 12 Day: 01 - 31

Season: 21 (spring) 22 (summer)
 23 (autumn) 24 (winter)

4-23

Subfield \$x Example

On issue:

January 1999 Vol. 6 No. 1
[Monthly]

Coded as:

853 20 \$8 1 \$a v. \$b no. \$u 12 \$v r
\$i (year) \$j (month) \$w m \$x 01

4-24

Subfield \$x Example

Monthly, 2 v. per year. On issue:

volume 21 number 1 July 1996

...

volume 21 number 5 November 1996

volume 21 number 6 December 1996

volume 22 number 1 January 1997

Coded as:

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

4-25

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, omitted or combined.
- Codes are entered in this order:
 (publication code) (chronology code definition)
 (chronology code)

4-26

Regularity Pattern Subfield **\$y**

First code indicates whether the subsequent codes refer to issues that are omitted, published, or combined

Publication code:

- o** Omitted
- p** Published
- c** Combined

4-27

Regularity Pattern Subfield **\$y**

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

Chronology code definition:

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

4-28

Regularity Pattern Subfield \$y

The third code or set of codes (chronology code(s)) indicates when the issues are/are not published

Day: mo,tu,we,th,fr,sa,su Days of the month: 01 - 31

Weeks of the year: 01 - 53 Months of the year: 01 - 12

Seasons: 21 22 23 24
 (spring) (summer) (autumn) (winter)

4-29

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

4-30

Changes to Publication Patterns

- Like changes in *captions*, changes in *pattern* require a new **85X**
- Close the old and open a new **85X** any time a change occurs that would require different coding in the subfields

4-31

Changes to Publication Patterns

- Examples of **85X** pattern changes:
 - Frequency changes
 - Issues start being combined or omitted
 - Numbering becomes continuous rather than restarting
- Subfield **\$3** may be input to aid staff by showing the duration of the pattern, if this is not clear from the **86X** fields.

4-32

Pattern Change Example

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

863 40 \$8 1.1 \$a 1-10 \$i 1980-1989 \$w g

853 20 \$8 2 \$a v. \$b no. \$u 3 \$v r \$i (year)
\$j (season) \$w q \$x 21 \$y ps21,22/23,24

863 40 \$8 2.1 \$a 13- \$b 3- \$i 1992- \$j 24-

4-33

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)-

4-34

Summary

Publication Pattern information is used for two major purposes:

- Compression and expansion of existing holdings in the OPAC display.
- Prediction of expected issues for checkin, and claiming of issues not received.

4-35

Summary

- If compression and expansion will not be needed in the OPAC display, a library may omit the pattern when inputting holdings retrospectively.

4-36

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 all captions and levels of enumeration have been verified.

Create the field using the dollar sign (\$) to delimit a new subfield code, for example, \$a.

4-37

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

4-38

Exercises

5. Nine 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, 2 v. per year. Examples of beginning issues are:
v. 3, no. 1 Jan. 1989; v. 4, no. 1 July 1989

4-39

Answers to Exercises

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

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

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

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

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

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

\$x 01 \$y pm01,02,03,04,05,08/09,10,11

[can also use cm coding here: \$y cm08/09 combined with \$y om06,07,12]

4-40

Answers to Exercises

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
[can also use cm coding here: \$y cdsa/su]

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

853 2 0 \$8 1 \$a v. \$b no. \$u 3 \$v r \$i (year) \$j (month) \$w m
\$x 01,04,10 \$y om07,08,09

[can also use pm coding here: \$w 9 \$y pm 01,02,03,04,05,06,10,11,12]

4-41

Answers to Exercises

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

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

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

4-42

A Guide to 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>

- **Cautionary Notes:**
 - Changes to MFHD have brought additional ways of handling some of these patterns
 - Progress in implementing patterns varies from system to system

4-43

Holdings Session 5 Textual Holdings

- How textual holdings are structured and linked
- How textual holdings are used alone and in combination with coded holdings

5-1

Textual Holdings

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

5-2

Textual Holdings

Depending on the linking number used, textual holdings can:

- Display as sole holdings
- Display in combination with coded holdings
- Replace the display of coded holdings with the same linking number

5-3

Textual Holdings

Textual, or free-text, holdings use three tags (like coded sets of tags):

- 866** Basic bibliographic items
- 867** Supplements
- 868** Indexes

5-4

866-868 Field Structure

- 86X \$8 Link number
- \$a Captions and enumeration/chronology
- \$x Non-public note
- \$z Public note

5-5

866-868 Indicators

1st indicator Field encoding level

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

5-6

866-868 Indicators

<u>2nd indicator</u>	<u>Type of notation</u>
0	Non-standard
1	ANSI/NISO Z39.71 or ISO 10324 (the current standard)
2	ANSI Z39.42 (the 1980 standard)
7	Other standard (e.g.: US Newspaper Program standard with subfield ‡2 usnp)

5-7

866-868 \$8 Subfield Structure

Link number meaning:

0	Display as sole holdings
unique no.	Display in combination with 863-865 holdings
same as 863-865	Display as substitute for the fields 863-865 with the same link number

5-8

**Example:
Textual Holdings Displayed Alone-
Dead Title**

range at Level 3	866 31	\$8 0	\$a v.1(1899)-31(1930)	<div style="border: 1px solid black; padding: 2px; background-color: #808080; color: white; font-size: 0.8em;"> LADIES' WELFARE LEAGUE. JOURNAL </div> <div style="border: 1px solid black; padding: 2px; font-size: 0.8em; margin-top: 5px;"> HQ 235 .C44 Index v.1-25 1899-1924 </div>
standard: Z39.71	\$z Some issues missing			
	868 41	\$8 0	\$a v.1/25(1899/1924)	

5-9

**Example:
Textual Holdings Displayed Alone-
Dead Title**

range at Level 3	866 31	\$8 0	\$a v.1(1899)-31(1930)	<div style="border: 1px solid black; padding: 2px; background-color: #808080; color: white; font-size: 0.8em;"> LADIES' WELFARE LEAGUE. JOURNAL </div> <div style="border: 1px solid black; padding: 2px; font-size: 0.8em; margin-top: 5px;"> HQ 235 .C44 Index v.1-25 1899-1924 </div>
standard: Z39.71	\$z Some issues missing			
	868 41	\$8 0	\$a v.1/25(1899/1924)	

May display as:

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

5-10

Exercise: Retrospective Holdings (Holdings for a Former or Ceased Title)

Enter the Summary Holdings for *Soviet Studies* according to Z39.71. Assume this library shelves its serials by call number.

Call number: D1 .S72

Location: LJM Main Collection

Holdings in card file: v.1-10,12-30

1962/63-1972, 1974-1991 and
“Cumulative Index” for volumes 1-30

5-11

Exercise

852 __ \$a \$b \$h \$i

866 __ \$8 \$a

868 __ \$8 \$a
 \$z

5-12

Exercise: Soviet Studies Answer

OPTION 1 (Separate)

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

866 31 \$8 0 \$a v.1-10,12-30(1962/1963-1972,1974-1991)

868 41 \$8 0 \$a v.1/30 \$z "Cumulative Index"

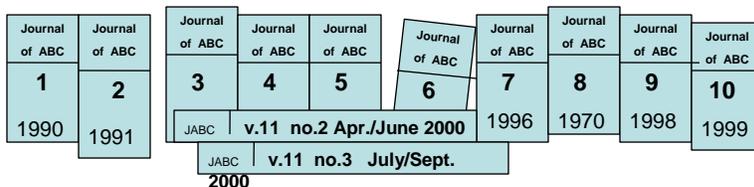
OPTION 2 (Adjacent)

866 31 \$80 \$a v.1(1962/1963)-10(1972),v.12(1974)-30(1991)

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

5-13

Textual & Coded Holdings in Combined Display



853 20 **\$8 2** \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q \$x 01

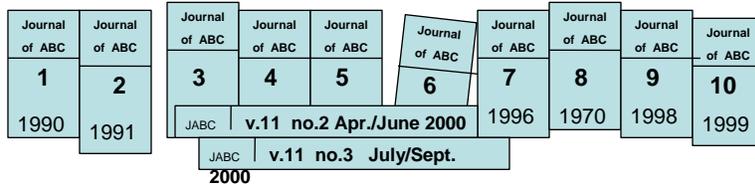
866 41 **\$8 1** \$a v.1(1990)-10(1999),

863 41 \$8 2.1 \$a 11 \$b 2 \$i 2000 \$j 04/06

863 41 \$8 2.2 \$a 11 \$b 3 \$i 2000 \$j 07/09

2-14

Textual & Coded Holdings in Combined Display



853 20 **\$8 2** \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q \$x 01
 866 41 **\$8 1** \$a v.1(1990)-10(1999),
 863 41 \$8 2.1 \$a 11 \$b 2 \$i 2000 \$j 04/06
 863 41 \$8 2.2 \$a 11 \$b 3 \$i 2000 \$j 07/09

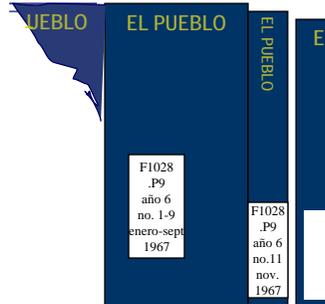
May display as:

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

2-15

Another Case for Combined Display

853 20 **\$8 2** \$a año \$b no. \$u 12 \$v r ...
 866 41 **\$8 1** \$a año 1:no.1(1961:enero)-
 6:9(1967:sept.),
 863 41 \$8 2.1 \$a 6 \$b 11 \$i 1967 \$j 11 \$w g
 863 40 \$8 2.2 \$a 7- \$i 1968-



5-16

Another Case for Combined Display

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

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

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

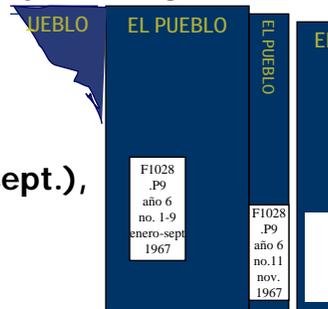
863 40 \$8 2.2 \$a 7- \$i 1968-

May display as:

año 1:no.1(1961:enero)-6:9(1967:sept.),

año 6:no.11(1967:nov.),

año 7(1968)-



5-17

Exercise: Current Title with Retrospective Holdings (*Russian Studies*)

- **Holdings:** v.31-40, 2003-2010.
Library decided to give detailed holdings for the unbound current issues of v.40, 2010
- So the library will build textual holdings for v.31-39, 2003-2009 and coded holdings for the issues of v.40, 2010

5-18

Exercise: Resulting Display

Russian Studies:

Call number: D 1 .S721

Location LJM [library code] Main Collection [shelving]

Holdings: v.31-39 2003-2009

Detailed holdings for seasonal quarterly displaying
v.40 2010 Summer, Fall, Winter

Desired OPAC Display:

Long Library, Main Collection D 1 .S721

v.31(2003)-39(2009)

v.40:no.1(2010:summer) v.40:no.2(2010:fall)

v.40:no.3(2010:winter)

5-19

Exercise for Title: *Russian Studies*

852	__	\$a		\$b		\$h		\$i
853	__	\$8	__	\$a		\$b		\$u
				\$j		\$w		\$x
866	__	\$8	__	\$a				
863	__	\$8	__	\$a		\$b		\$i
								\$j
863	__	\$8	__	\$a		\$b		\$i
								\$j
863	__	\$8	__	\$a		\$b		\$i
								\$j

5-20

Exercise Answer: *Russian Studies*

852 01 \$a LJM \$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(2003)-39(2009)

863 41 \$8 2.1 \$a 40 \$b 1 \$i 2010 \$j 22

863 41 \$8 2.2 \$a 40 \$b 2 \$i 2010 \$j 23

863 41 \$8 2.3 \$a 40 \$b 3 \$i 2010 \$j 24

5-21

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 <u>For later holdings</u> v.6 1984 <u>see check-in record</u> 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)

5-22

Global Events: 853 Fields

853 20 **\$8 1** \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month)
\$w q \$x 01 \$y pm01,04,06,09 \$3 1979-1985

5-23

Global Events: 853 Fields

853 20 **\$8 1** \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month)
\$w q \$x 01 \$y pm01,04,06,09 \$3 1979-1985

853 20 **\$8 2** \$a (year) \$b no. \$u 4 \$v r \$i (year)
\$j (season) \$w q \$x 21 \$3 1986-1995

5-24

Global Events: 853 Fields

853 20 **\$8 1** \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month)
\$w q \$x 01 \$y pm01,04,06,09 \$3 1979-1985

853 20 **\$8 2** \$a (year) \$b no. \$u 4 \$v r \$i (year)
\$j (season) \$w q \$x 21 \$3 1986-1995

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

5-25

Global Events: 853 and 863 Fields

853 20 **\$8 1** \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q
\$x 01 \$y pm01,04,06,09 \$3 v.1-v.7

863 42 \$8 1.1 \$a 1-2 \$i 1979-1980 \$w g

863 42 \$8 1.2 \$a 3 \$b 2-3 \$i 1981 \$j 04-06 \$w g

863 42 \$8 1.3 \$a 4-7 \$i 1982-1985

853 20 **\$8 2** \$a (year) \$b no. \$u 4 \$v r \$i (year) \$j (season)
\$w q \$x 21 \$3 1986-

863 42 \$8 2.1 \$a 1986-1987 \$w g

863 42 \$8 2.2 \$a 1988 \$b 2-3 \$i 1988 \$j 22-23 \$w g

863 42 \$8 2.3 \$a 1989-1995

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

863 42 \$8 3.1 \$a 1996-

5-26

Global Events: Add 866 Freetext Fields

866 31 **\$8 1** \$a v.1-7(1979-1985) \$z Some issues missing

866 31 **\$8 2 \$8 3** \$a 1986- \$z Some issues missing

863 42 \$8 1.1 \$a 1-2 \$i 1979-1980 \$w g

863 42 \$8 1.2 \$a 3 \$b 2-3 \$i 1981 \$j 04-06 \$w g

863 42 \$8 1.3 \$a 4-7 \$i 1982-1985

863 42 \$8 2.1 \$a 1986-1987 \$w g

863 42 \$8 2.2 \$a 1988 \$b 2-3 \$i 1988 \$j 22-23 \$w g

863 42 \$8 2.3 \$a 1989-1995

863 42 \$8 3.1 \$a 1996-

5-27

Global Events: Possible Displays

Standard display:

v.1-7(1979-1985)<Some issues missing>

1986-<Some issues missing>

5-28

Global Events: Possible Displays

Standard display:

v.1-7(1979-1985)<Some issues missing>
1986-<Some issues missing>

Alternate Display:

v.1(1979)-2(1980),
v.3:no.2(1981:Apr.)-3:3(1981:June),
v.4(1982)-7(1985)
1986-1987,
1988:no.2(1988:summer)-1988:no.3(1988:fall),
1989-1995
1996-

5-29

Exercise for Title: *Books*

Note: *Books* later changed to *World Literature*. The library has a gap in its main holdings from 1932-1955.

Call number: Z1007.B7

Location: LJM, Literature Building

Holdings:

volume 1, 1931

volume 25-50, 1956-1981

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

5-30

Exercise for Title: *Books*

852 _ _ \$a \$b \$h \$i

866 _ _ \$8 \$a

867 _ _ \$8 \$a
 \$z

5-31

Exercise Answer: *Books*

Desired Holdings Display:

Location: Long Library, Literature Building

Call Number: Z1007 .B7

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

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

852 01 \$a LJM \$b Literature Building \$h Z1007 \$i .B7

866 41 \$8 0 \$a v.1(1931),v.25(1956)-50(1981)

867 41 \$8 0 \$a no.1(1956)-4(1959)

\$z "Special Supplement"

5-32

Exercise for Title: *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) starts in Spring, -v.75(2006);

Bimonthly starts in February, v.76(2007)-

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

5-33

Exercise for Title: *World Literature*

852	__	\$a	\$b	\$h	\$i				
866	__ \$8	\$a		\$z					
853	__ \$8	\$a	\$b	\$u	\$v	\$i	\$j	\$w	\$x
853	__ \$8	\$a	\$b	\$u	\$v	\$i	\$j	\$w	\$x
863	__ \$8	\$a	\$b	\$i		\$j			
863	__ \$8	\$a	\$b	\$i		\$j			
863	__ \$8	\$a	\$b	\$i		\$j			
863	__ \$8	\$a	\$b	\$i		\$j			

5-34

Exercise Answer: *World Literature*

852 01 \$a LJM \$b Literature Building \$h Z1007 \$i .B7

853 20 \$8 2 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (season)
\$w q \$x 21

853 20 \$8 3 \$a v. \$b no. \$u 6 \$v r \$i (year) \$j (month)
\$w b \$x 02

866 31 \$8 1 \$a v.51(1982)-74(2005) \$z Some issues lacking

863 41 \$8 2.1 \$a 75 \$b 1 \$i 2006 \$j 21

863 41 \$8 2.2 \$a 75 \$b 2 \$i 2006 \$j 22

863 41 \$8 2.3 \$a 75 \$b 3 \$i 2006 \$j 23

863 41 \$8 2.4 \$a 75 \$b 4 \$i 2006 \$j 24

863 41 \$8 3.1 \$a 76 \$b 1 \$i 2007 \$j 02

5-35

Exercise Answer Holdings Display: *World Literature*

Location: Long Library, Literature Building

Call Number: Z1007.B7

Library Has:

v.51(1982)-v.74(2005) <Some issues lacking>

v.75:no.1(2006:spring)

v.75:no.2(2006:summer)

v.75:no.3(2006:fall)

v.75:no.4(2006:winter)

v.76:no.1(2007:Feb.)

5-36

Summary

- Captions and enumeration/chronology are input together
- No manipulation by computer is possible
- Textual holdings are often used for retrospective holdings

5-37

Summary

- Depending on the link number used, textual fields can:
 - Display as sole holdings (link no. 0)
 - Display interfiled with holdings
 - Replace display of coded holdings

5-38

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Holdings Session 6 Special Problems

- Captions not ending in a period
- Supplements and indexes
- Ordinal numbers
- Numbers without captions
- Dates with internal numbering

6-1

Holdings Session 6 Special Problems

- Symbols, hyphens, coding challenges
- “New series” designations
- Alphabetic enumeration
- Alternative enumeration

6-2

Captions Not Ending in a Period

Small problem

año 1 looks a lot better than **año1**.

See ANSI/NISO Z39.71-2006, Section 5.5.4.2, for caption examples.

Solution in programming

Tell the system to add a space at the end of any caption that lacks a final period.

6-3

Base Volume, Supplement, Index

GENEALOGY BULLETIN

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

Bulletin-- quarterly

GENEALOGY BULLETIN

Volume 2 1986
Supplement 1
Research Notes -- June

Supplement-- semiannual
(arrives June and December)

Genealogy Bulletin

Index

Volumes 1 to 10
1985-1994

Index: every ten years

6-4

Supplement Holding

GENEALOGY BULLETIN

Volume 2 1986

Supplement 1

Research Notes -- June

Semiannual

Designation:
v.:suppl.(year:month)

6-5

Supplement Holding

GENEALOGY BULLETIN

Volume 2 1986

Supplement 1

Research Notes -- June

Semiannual

Designation:
v.:suppl.(year:month)

For a single supplement:

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

864 41 \$8 1.1 \$a 2 \$b 1 \$i 1986 \$j 06

6-6

Supplement Holding

GENEALOGY BULLETIN

Volume 2 1986

Supplement 1

Research Notes -- June

Semiannual

Designation:

v.:suppl.(year:month)

For a single supplement:

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

864 41 \$8 1.1 \$a 2 \$b 1 \$i 1986 \$j 06

May display as:

v.2:suppl.1(1986:June) "Research Notes"

6-7

Supplement Summary

For multiple supplements:

v.1, supplement 1, June 1985 to

v.5, supplement 1, June 1989

6-8

Supplement Summary

For multiple supplements:

v.1, supplement 1, June 1985 to
v.5, supplement 1, June 1989

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

6-9

Supplement Summary

For multiple supplements:

v.1, supplement 1, June 1985 to
v.5, supplement 1, June 1989

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

864 40 \$8 1.1 \$a 1-5 \$b1-1 \$i 1985-1989 \$j 06-06

6-10

Supplement Summary

For multiple supplements:

v.1, supplement 1, June 1985 to
v.5, supplement 1, June 1989

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

864 40 \$8 1.1 \$a 1-5 \$b1-1 \$i 1985-1989 \$j 06-06

May display as:

SUPPLEMENTS: v.1:suppl.1(1985:June)-
5:1(1989:June) "Research Notes"

6-11

Cumulative Index Holding

**Genealogy Bulletin
Index**

Volumes 1 to 10
1985-1994

Ten-year index

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

6-12

Cumulative Index Holding

Genealogy Bulletin Index

Volumes 1 to 10
1985-1994

Ten-year index

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

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

May display as: INDEXES: v.1/10(1985/1994)

6-13

Captions for Supplements & Indexes

- It is allowable to use **Suppl. to v.** and **Index to v.** as captions for clarity.
- However, it is preferable that the system clearly show that the holdings are for indexes or supplements through interpretation of the coding.

6-14

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-

6-15

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

6-16

Combined Holdings

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

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

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

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

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

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

6-17

Combined OPAC Display (If Cataloged Together)

HOLDINGS: v.2(1986)-

SUPPL: "Research Notes"

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

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

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

6-18

Exercise 1

Three times a year with seasons: Record holdings fields for these basic issues of a serial that publishes three times a year in Autumn, Winter, Spring. There is no Summer issue.

Vol. 1, issue 1 (Autumn 2002)

Vol. 1, issue 2 (Winter 2002)

Vol. 1, issue 3 (Spring 2003)

Also record a holding for the index designated: 2002/2003.

For both the serial issues and the index, code the second indicator of the 86x for uncompressed (itemized holdings), set to display.

6-19

Exercise 1

Publication pattern, serial:

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

Publication pattern, index:

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

86_ 4_ \$8

86_ 4_ \$8

86_ 4_ \$8

86_ 4_ \$8

6-20

Holdings with Dates As Enumeration



6-21

Holdings with Dates As Enumeration



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

6-22

Holdings with Dates As Enumeration



853 20 \$8 1 \$a (year) \$w a

863 41 \$8 1.1 \$a 1996 \$w g

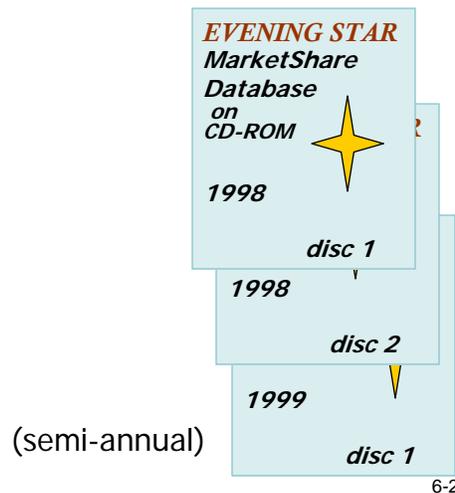
863 41 \$8 1.2 \$a 1998 \$w n

863 41 \$8 1.3 \$a 2000

May display as: 1996,1998;2000

6-23

Dates with Divisions: Non-Chronological



6-24

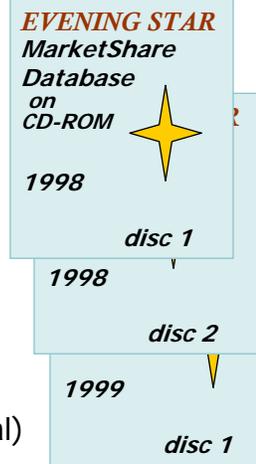
Dates with Divisions: Non-Chronological

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



(semi-annual)

6-25

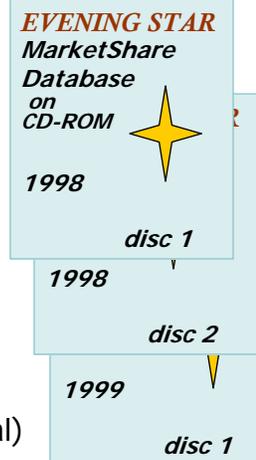
Dates with Divisions: Non-Chronological

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



May display as:

1998:disc 1

1998:disc 2

1999:disc 1

(semi-annual)

6-26

Dates with Both Kinds of Division



6-27

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

6-28

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)

6-29

Holdings with Roman Numerals

La Cultura
 Romana

Tomo IV
 Numero 1
 1 gennaio
 1997

(semimonthly)

6-30

Holdings with Roman Numerals

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

853 20 \$8 1 \$a t. \$b n. \$u 24 \$v r \$i (year)
\$j (month) \$k (day) \$w s \$x 0101 \$y pd01,15

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

(semimonthly)

La Cultura
Romana
Tomo IV
Numero 1
1 gennaio
1997

6-31

Holdings with Roman Numerals

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

853 20 \$8 1 \$a t. \$b n. \$u 24 \$v r \$i (year)
\$j (month) \$k (day) \$w s \$x 0101 \$y pd01,15

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

May display as:

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

(semimonthly)

La Cultura
Romana
Tomo IV
Numero 1
1 gennaio
1997

6-32

Holdings with Successive Series Numbering

- Some serials, especially scholarly and society publications, come out in several successive series, for example, new ser., ser.3, ser.4....
- Combine the series designation with the next hierarchical unit designation in a single subfield. A colon (:) joins the two designations.

Examples: new ser.:v.1(1990)
ser.2:v.3 (1995)

6-33

Holdings with Successive Series Numbering

VERHANDLUNGEN
DER
AKADEMIE
VON WISSENSCHAFTEN
Neue Folge IV.Bd
1882

6-34

Holdings with Successive Series Numbering

853 00 \$8 1 \$a n.F.:Bd. \$i (year) \$w a
863 41 \$8 1.1 \$a 4 \$i 1882

VERHANDLUNGEN
DER
AKADEMIE
VON WISSENSCHAFTEN
Neue Folge IV.Bd
1882

6-35

Holdings with Successive Series Numbering

853 00 \$8 1 \$a n.F.:Bd. \$i (year) \$w a
863 41 \$8 1.1 \$a 4 \$i 1882

May display as:
n.F.:Bd.4(1882)

VERHANDLUNGEN
DER
AKADEMIE
VON WISSENSCHAFTEN
Neue Folge IV.Bd
1882

6-36

Exercise 2

Record a holdings field for these basic issues of a serial that publishes monthly and uses the static series designation of **Series 3**.

Ser. 3 vol. 4, release 1 (January 2002)

Ser. 3 vol. 4, release 2 (February 2002)

Ser. 3 vol. 4, release 3 (March 2002)

Code the second indicator of the 86X for compressed holdings, set to display.

Write how this compressed holdings would display to the public.

6-37

Exercise 2

Publication pattern:

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

86_ 4_ \$8

Display:

6-38

Ordinal Numbers

- Often recorded as a volume + cardinal number
e.g., record “4. Band” and “1. año” as
Bd. 4 and año 1
- Both word orders are often acceptable in the languages involved
- No choice in word order, however, when combining designations like n.F.:Bd.
- There is a special provision that can be used where a caption *follows* an ordinal number

6-39

Holdings with Ordinals

12th Edition 1990

*P. Sarmiento's
Guide to
Colonial Mexico*

14th Edition 1997

*P. Sarmiento's
Guide to
Colonial Mexico*

6-40

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

6-41

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

6-42

Holdings with Ordinals

12th Edition 1990

*P. Sarmiento's
Guide to
Colonial Mexico*

14th Edition 1997

*P. Sarmiento's
Guide to
Colonial Mexico*

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

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

863 41 \$8 1.2 \$a 14 \$i 1997

May display (by means of language code) as...

12th ed.(1990),

14th ed.(1997)

6-43

Exercise 3

Record holdings fields for this English-language academic serial that comes out in annual volumes with an issue each semester. Note that this campus has only two semesters.

Vol. 10, 1st semester September 2000

Vol. 10, 2nd semester January 2001

Vol. 11, 1st semester September 2001

Compress volume 10. Itemize the first semester of volume 11. Write how this should display to the public.

6-44

Exercise 3

Publication pattern:

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

86_ 4_ \$8

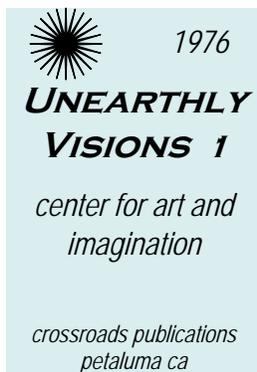
86_ 4_ \$8

Display:

6-45

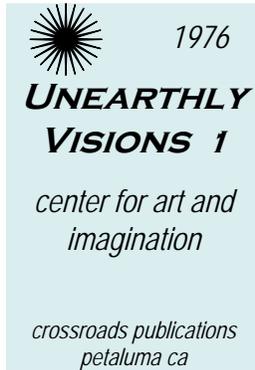
Captionless Enumeration

Many serials have enumeration alone, with no caption.



6-46

Captionless Enumeration



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

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

863 41 \$8 1.1 \$a 1 \$i 1976

May display as: 1(1976)

6-47

Exercise 4

Some enumerations are not preceded by a caption. We use the convention of (*) to indicate that no caption is present for this part of the enumeration. The example used for this exercise is an annual with number and year.

20 // 2000

21 // 2001

22 // 2002

Code the second indicator of the three 86x for uncompressed, use textual display. Give a textual holding that would correspond to this range. (Be sure to check the *Handbook* for the meaning of the indicators in the textual field.)

6-48

Exercise 4

Publication pattern:

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

86_ 4_ \$8

86_ 4_ \$8

86_ 4_ \$8

86_ _ \$8

6-49

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.

6-50

Symbols, Hyphens, Coding Challenges



Weekly Intelligence Notes #24-00
June 17, 2000

6-51

Symbols, Hyphens, Coding Challenges



Weekly Intelligence Notes #24-00
June 17, 2000

853 20 \$8 1 **\$a no.** \$i (year) \$j (month)
 \$k (day) \$w w \$x 0107
 863 41 \$8 1.1 **\$a 24.00** \$i 2000 \$j 06 \$k 17

6-52

Symbols, Hyphens, Coding Challenges



Weekly Intelligence Notes #24-00
June 17, 2000

853 20 \$8 1 \$a no. \$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: no.24.00(2000:June17)

6-53

Alphabetic Enumeration

- Publishers sometimes do not use numbers but letters or other non-Arabic numbering schemes as enumeration
- Use \$z in the 85X field to indicate the numbering scheme is alphabetic or other non-Arabic enumeration
- Use alphabetic or other non-Arabic enumeration in the 86X exactly as it is given on the item

6-54

Alphabetic Enumeration

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

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

6-55

Alphabetic Enumeration

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

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

853 10 \$8 1 **\$a v.** \$b no. \$i (year) \$j (month) \$x 10
\$z dclatn \$o Marine Biology

853 10 \$8 2 **\$a v.** \$b no. \$i (year) \$j (month) \$x 10
\$z dclatn \$o Marine Geology and Physiography

863 41 \$8 1.1 **\$a A1** \$b 1 \$i 1982 \$j 10

863 41 \$8 2.1 **\$a B1** \$b 1 \$i 1982 \$j 10

6-56

Alphabetic Enumeration

OCEANOGRAPHIC
RESEARCH MONTHLY

Volume A1, Number 1
Oct. 1982

Marine Biology

OCEANOGRAPHIC
RESEARCH MONTHLY

Volume B1, Number 1
Oct. 1982

Marine Geology and
Physiography

May display as:

v.A1:no.1(1982:Oct.) Marine Biology

v.B1:no.1(1982:Oct.) Marine Geology and
Physiography

6-57

Alternative Enumeration

Some kinds of publications have two
numeric systems:

- It is not always necessary to record both
- If both systems are important, use the
subfields for alternative enumeration,
\$g-h, and alternate chronology, **\$m**

6-58

Alternative Enumeration

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

6-59

Alternative Enumeration

853 20 \$8 1 \$a new ser. **\$g old ser.:v.** \$w a

863 41 \$8 1.1 \$a 33 \$g 149

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

6-60

Alternative Enumeration

853 20 \$8 1 \$a new ser. **\$g old ser.:v.** \$w a

863 41 \$8 1.1 \$a 33 \$g 149

May display as:

new ser.33=old ser.:v.149

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

6-61

Exercise 5

Code the holdings for a title that has both a new series designation and a whole series designation. This series is now complete. Since it was all received years ago, no publication pattern was entered.

853 00 \$8 1 \$a **new ser.:no.** \$g no. \$i (year)

The volumes have two numbering systems:
new ser.:no. 1 1884 (no. 142 of entire series) to
new ser.:no. 80 1957 (no. 222 of entire series).
Code this numbering in compressed format.
Write how it should display to the public.

6-62

Exercise 5

853 00 \$8 1 \$a new ser.:no. \$g no.
\$i (year)

86_ 4_ \$8

Display:

6-63

Summary

- Captions not ending in a period
- Supplements and indexes
- Holdings with dates as enumeration
- Roman numerals
- Holdings with successive series numbering

6-64

Summary

- Ordinal numbers
- Captionless enumeration
- Symbols, hyphens, coding challenges
- Alphabetic enumeration
- Alternative enumeration

6-65

Exercise 6: Spanned Chronology

When the chronology includes more than one year or more than one month or one day, use a slash (/) to indicate the span.

Scenario: You are recording holdings for a quarterly serial that uses the following spans:

Vol. 4, no. 1 (Feb./Apr. 2001)

Vol. 4, no. 2 (May/July 2001)

Vol. 4, no. 3 (Aug./Oct. 2001)

Vol. 4, no. 4 (Nov. 2001/Jan. 2002)

6-66

Exercise 6: Spanned Chronology

Publication pattern:

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r

\$i (year) \$j (month)

\$w q \$x 02

\$y pm02/04,05/07,08/10,11/01

6-67

Exercise 6: Spanned Chronology

Code the issues as they would be generated by the system.

Code the second indicator of the 86x for uncompressed (itemized holdings).

What could you do to make the last issue display correctly?

86_ 4_ \$8

86_ 4_ \$8

86_ 4_ \$8

86_ 4_ \$8

6-68

Discussion: Possible Enhancements for MFHD & Holdings

- Provisions for less common situations
- Clarification of some coding situations
- Better implementations in library systems
- Open discussion within the community on how MFHD and holdings should evolve.
- Other?

6-69

Exercise 1 Answers

863 41 \$8 1.1 \$a 1 \$b 1 \$i 2002 \$j 23

863 41 \$8 1.2 \$a 1 \$b 2 \$i 2002 \$j 24

863 41 \$8 1.3 \$a 1 \$b 3 \$i 2003 \$j 21

865 41 \$8 1.1 \$a 2002/2003

Note that the link and sequence numbers can be reused for base volumes, supplements, and indexes.

6-70

Exercise 2 Answers

863 40 \$8 1.1 \$a 4 \$b 1-3 \$i 2002 \$j 01-03

Display:

ser.3:v.4:release 1(2002:Jan.)-4:3(2002:Mar.)

6-71

Exercise 3 Answers

863 40 \$8 1.1 \$a 10 \$i 2000-2001

863 41 \$8 1.2 \$a 11 \$b 1 \$i 2001 \$j 09

Display: v.10(2000-2001)

v.11:1st semester(2001:Sept.)

6-72

Exercise 4 Answers

863 43 \$8 1.1 \$a 20 \$i 2000

863 43 \$8 1.2 \$a 21 \$i 2001

863 43 \$8 1.3 \$a 22 \$i 2002

866 41 \$8 1 \$a 20-22(2000-2002)

Display: 20-22(2000-2002)

Note: Could also be keyed in adjacent
format

6-73

Exercise 5 Answers

863 40 \$8 1.1 \$a 1-80 \$g 142-222
\$i 1884-1957

Display:

new ser.:no.1(1884)-80(1957)=no.142-222

6-74

Exercise 6 Answers

863 41 \$8 1.1 \$a 4 \$b 1 \$i 2001 \$j 02/04

863 41 \$8 1.2 \$a 4 \$b 2 \$i 2001 \$j 05/07

863 41 \$8 1.3 \$a 4 \$b 3 \$i 2001 \$j 08/10

863 41 \$8 1.4 \$a 4 \$b 4 \$i 2001 \$j 11/01

To alter the 4th statement:

1. Change \$i 2001 to \$i 2001/2002. [Will not look perfect!]
2. Include entire chronology in subfield \$i and use natural language chronology:
\$i 2001:Nov./2002:Jan.
\$i 2001/2002 \$j Nov./Jan.

6-75

Holdings Session 7 Trends & Issues in MARC 21 Holdings

- CONSER Publication Patterns Initiative
- Publication history
- Current issues with MARC 21 Holdings

7-1

Holdings Session 7 Trends & Issues in MARC 21 Holdings

- “Compliance” with MARC 21 Holdings
- Features to look for when shopping for a system
- MARC 21 holdings format problems & changes
- Other?

7-2

The CONSER Publication Patterns Initiative

- Pattern and holdings archive
- Benefits
- Project experiment
- Other activities
- Participation

7-3

The Pattern Archive Idea

- Automated check-in and the MARC standard inspired libraries to call for an archive of publication patterns for libraries to share.
- CONSER task force in early 90's tried to establish such an archive. Though the attempt failed, the benefits remained clear.

7-4

Benefits for Libraries

Patterns:

- Create once, use multiple times
- Communicate seamlessly between systems
- Enable prediction locally
- Enable accurate pattern for display
- Enable compression/expansion of holdings on the OPAC

7-5

Benefits for Libraries

Holdings:

- Determine what has been published
- Pinpoint when pattern began
- Ensure coordination of changes in pattern and holdings

7-6

Benefits for Serials Community

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

7-7

Project Experiment

- Give libraries practice using MFHD
- Improve MFHD
- Discuss and promote better system implementations of MFHD
- Document and test MFHD

7-8

Project Experiment

- MARC-based holdings are embedded in bibliographic records
- OCLC, which hosts the CONSER database, defines field 891 for embedding MFHD holdings fields
- Documentation is on the CONSER website

7-9

The CONSER Experiment

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

7-10

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

7-11

How OCLC Members Participate

- Most use a Connexion macro designed by Robert Bremer (OCLC) which creates 891 fields from the data in the bib. record
- May use cut and paste from local systems

7-12

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

7-13

Documentation on the CONSER Web Site

- *Publication Pattern Initiative: Frequently Asked Questions*
- *Guidelines for Input of Captions/Patterns and Holdings Data*
- Pattern guide tables, examples, sample records, etc.

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

7-14

How to Participate?

Contact to apply or ask questions:

CONSER Coordinator

Les Hawkins

lhaw@loc.gov

7-15

Publication Pattern History

- Some MFHD data elements are universal in nature (i.e., the same from library to library)
- Captions, patterns, and actual issue data of publications as they come from the publisher are “universal holdings”

7-16

Publication Pattern History

- A CONSER task force also wanted to consider the possible use of this data to make holdings data easier to share and more intelligible in all the arenas where it is found
- The concept was renamed from “universal holdings” to “publication pattern history”

7-17

Publication Pattern History and the Super-Record Proposal

- Creating a “serials super-record” at the “work level” of a serial
- Linked to all successive titles and their publication pattern histories

7-18

Publication Pattern History and the Super-Record Proposal

- Linked to each format and their publication pattern histories
- Generating a FRBR-like, flexible, unified display

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

7-19

Current Issues with MFHD

How many holdings records (i.e. one, multiple, or other) does your library have for the following scenarios:

1. Multiple copies
2. Multiple versions or formats

7-20

Current Issues with MFHD

Electronic Resources (e-journals, e-books, etc.).

Should the library create a holdings record for:

- All electronic items? Or just some?
- Locally-stored electronic items?
- Some other variation?

7-21

What Is “Compliance” with MARC 21 Holdings Format?

For a current, working definition of
compliance, see:

[www.loc.gov/acq/conser/
patthold-MHLDdefinition.html](http://www.loc.gov/acq/conser/patthold-MHLDdefinition.html)

7-22

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

7-23

Features to Look for When Shopping for a System

- Enable user-composed macros
- Make data available to all processing
- Predict future issues
- Generate summary holdings
- Have extra functionality, e.g. reorder fields

7-24

MARC 21 Holdings Format Problems & Changes

- Standard does not yet account for all types of serial frequencies or patterns of publication.
- As a pattern or frequency is identified, MARBI makes additions or modifications to the MFHD.

7-25

Workshop Discussion

What else would you like to discuss about holdings records that we have not yet covered?

7-26

Summary

- Automated check-in would be greatly facilitated if libraries could share publication patterns and holdings data.
- Beyond the Experiment, CONSER has set up groups to assess the MFHD, its documentation, and the needs of its users for both functionality and data.

7-27

Summary

- The MFHD is actively changing to account for more functions, more patterns of publication, and wider implementations.

7-28

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	\$l	Shelving title
\$a	Holding institution or library	\$m	Call number suffix [Ex.: 'Vault']
\$b	Sublocation or collection	\$p	Piece designation [barcode]
\$c	Shelving location	\$q	Piece physical condition
\$h	Call number, classification part	\$x	Nonpublic note
\$i	Call number, item part	\$z	Public note
\$k	Call number prefix [Ex.: 'Ref']	\$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 caption

\$o Type of unit [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), **p** (published), **c** (combined)

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 unit [if different from the type of unit specified in 853-855]

\$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]	\$2 Source of notation
\$ Cancelled/invalid piece designation	\$3 Materials specified [used when specifying only a portion of range referred to, or when linking to Textual Holdings field]
\$t Copy number	
\$x Nonpublic note	
\$z Public note	

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From: *MARC 21 Format for Holdings Data*

853-855 \$w - Frequency (NR)

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), including exceptions to the frequency coded in this subfield. Subfield \$p is also used when both a frequency code and number of pieces per issuance need to be recorded for multipart titles.

- 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
 - 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.

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

(<http://www.loc.gov/acq/conser/conserhold/guidelinesTOC.html>)

5.2.10. 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		

Conventions-Enumeration:

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.

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://lweb.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 (ndmso@loc.gov) or the CONSER Pattern Holdings Task Force (CONSERHOLD-L@cornell.edu).

SCCTP Serials Holdings Workshop

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Appendix 2: Pre-Workshop Exercises

Please print out the following exercises and complete as many of as you can. The purpose of these exercises is to help you determine what areas you may want to pay particular attention to during the workshop.

Bring the completed exercises and any questions you may have with you to the workshop to facilitate discussion about the examples during the scheduled sessions.

Please also note that information used in these exercises may have been altered to illustrate various points of practice.

1)

Cover:

Today's Education

The Journal of the National Education Association

Contents page:

The Annual of the National Education Association
1982-83 Volume 71, Number 3

Today's Education

Verso of contents page:

Published once a year by ...
(ISSN) 0271-3573

Your library has a subscription to this title starting with this issue. Your library has retained all issues. List the information about your holdings you would expect to enter into a holdings record.

2) List as many library functions that you can think of that are affected by having holdings recorded in your library system.

3) The following title is issued annually.

CD-ROM label: **Who's Who in Canadian Business**
17th Edition 1997

ISSN 1209-8299

What is the caption for this issue? _____

What is the abbreviation for the caption? _____

What is the enumeration for this issue? _____

What is the publishing frequency for this title? _____

4)

Title page: **Trends in
Cognitive
Sciences**

REFERENCE EDITION

Volume 1

1997

Elsevier Science

Your library only retains the latest 2 years of this title. How do you communicate that information to your users?

Would you expect the holdings record to contain that information for you? Yes No

5)

Title 1: **Marriage and divorce statistics**
New issue: **Marriage, divorce and adoption statistics**

When a serial title changes is a new holdings record required? Circle one: Yes No

Why? _____

6)

Title 1: **Architectural Review**
 Volume 17, April 1910

New issue: **Architectural Review**
 New Series, Volume 1, January 1912

Would the appearance of different captions require a new holdings record? Circle one: Yes No

Why? _____

7)

Title 1: **Australian Review of Fiction**
 Volume 1, number 1 Spring 1957

Your library has scattered holdings for this title. Some of the back volumes are retained on microfilm and others are bound volumes. Your library has just started to receive issues after a 3 year gap. You are about to add all the holdings for this title into your automated system for the first time.

At what level or levels would your holdings be entered? I.e., would you want either summary (range) or itemized (piece by piece) holdings here? _____

Why? _____



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Appendix 2: Pre-Workshop Exercise Answers

SCCTP Serials Holdings Workshop

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1)

Cover: **Today's Education**
The Journal of the National Education Association

Contents page: The Annual of the National Education Association
1982-83 Volume 71, Number 3

Today's Education

Verso of contents page: Published once a year by ...
(ISSN) 0271-3573

Your library has a subscription to this title starting with this issue. Your library has retained all issues. List the information about your holdings you would expect to enter into a holdings record.

Location	Call number	Issues held	Issue numbers	Receipt status	Physical format
----------	-------------	-------------	---------------	----------------	-----------------

2) List as many library functions that you can think of that are affected by having holdings recorded in your library system.

Serials check-in	Labels	OPAC		
Circulation	ILL	Bindery	Reports	

3) The following title is issued annually.

CD-ROM label: **Who's Who in Canadian Business**
17th Edition 1997

ISSN 1209-8299

What is the caption for this issue? Edition

What is the abbreviation for the caption? ed.

What is the enumeration for this issue? 17th

What is the publishing frequency for this title? annual

4)

Title page: **Trends in
Cognitive
Sciences**

REFERENCE EDITION
Volume 1
1997
Elsevier Science

Your library only retains the latest 2 years of this title. How do you communicate that information to your users?

In a note that appears on the bibliographic record in our online catalog

Would you expect the holdings record to contain that information for you? Yes

5)

Title 1: **Marriage and divorce statistics**
New issue: **Marriage, divorce and adoption statistics**

When a serial title changes is a new holdings record required? Circle one: Yes

Why? Because when a title changes a new bibliographic record is created and the holdings for each title are linked to the bibliographic record.

6)

Title 1: **Architectural Review**
Volume 17, April 1910
New issue: **Architectural Review**
New Series, Volume 1, January 1912

Would the appearance of different captions require a new holdings record? Circle one: No

Why? Because the holdings are still attached to the same title and there is a way in the holdings record to note the new caption.

7)

Title 1: **Australian Review of Fiction**
 Volume 1, number 1 Spring 1957

Your library has scattered holdings for this title. Some of the back volumes are retained on microfilm and others are bound volumes. Your library has just started to receive issues after a 3 year gap. You are about to all the holdings for this title into your automated system for the first time.

At what level or levels would your holdings be entered? (Probably) summary and detailed

Why? Detailed holdings result from the check-in process. Once issues are checked in, it is up to the individual library how to handle data in the OPAC. Holdings are usually at least partially summarized, to the volume level; in many catalogs they are further summarized to the level of a range. The library will base its decision on what the holdings are needed for: a quick look, management of individual pieces, or detailed reports to union lists, for example.



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Appendix 3: Post-Workshop Exercises

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

Post-Workshop Exercises

Contents

1. Standards and Holdings
2. Libraries and Standards
3. Coding Records

1. Standards and Holdings

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

2. Libraries and Standards

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

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

3. Coding Records

Code the following examples.

Example 1

Cover:



Your library has holdings from volume 1 number 1, January 1989. The title is classified using the LC call number: GV561 .S761 and is bound through Volume 11. Summarize the volume holdings in a textual field, but itemize the issue information.

Appendix 3: Post-Workshop Exercises

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



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Appendix 4: Additional Examples for Some 85X/86X Indicators

853/854 1st indicator: 0 Cannot compress or expand

853 03 \$8 1 \$a (year)

853 00 \$8 1 \$a v. \$b no. \$i (year) \$j (month)
[with only one issue in hand and frequency unknown]

854 00 \$8 1 \$a v. \$b suppl. \$i (year) \$j (month) \$k (day)

853/854 1st indicator: 1 Can compress but not expand

853 10 \$8 1 \$a (year) \$b (month) \$w a

853 10 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month)

853 10 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q

853 10 \$8 1 \$a ed. \$i (year) \$j (month) \$w a

853/854 1st indicator: 2 Can compress or expand

853 20 \$8 1 \$a ed. \$i (year) \$w a

853 20 \$8 1 \$a no. \$i (year) \$w x (only 1 level)

853 20 \$8 1 \$a (year) \$b (month) \$w m [assuming \$x 01 as default]

853 20 \$8 1 \$a (year) \$b (month) \$w f \$x 06 \$y pm01/06,07/12
[On issues: Jan.-June 2005, July-Dec. 2005]

853 20 \$8 1 \$a v. \$i (year) \$j (month) \$w m \$x 05

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$w q

853 20 \$8 1 \$a v. \$b no. \$u 12 \$v r \$g no. \$i (year) \$j (month) \$w m \$x 01

See <http://www.loc.gov/acq/conser/pathhold-853-examples.html> for more examples.

86X 2nd indicator: 2 Compressed, use textual display

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q \$x 03

863 42 \$8 1.1 \$a 8-10 \$b 1-4 \$i 1976-1978 \$j 03-12

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

863 42 \$8 2.1 \$a 11-14 \$b 1-2 \$i 1979-1982 \$j 03-09 \$w g

853 20 \$8 3 \$a v. \$i (year) \$w a

863 40 \$8 3.1 \$a 16-23 \$i 1984-1991

866 31 \$8 1 \$8 2 \$a v.8(1976)-v.14(1982)

Display: v.8(1976)-v.14(1982),v.16(1984)-v.23(1991)

86X 2nd indicator: 3 Uncompressed, use textual display

853 20 \$8 1\$a (year) \$w a

863 43 \$8 1.1 \$a1983 \$w g

863 43 \$8 1.2 \$a1985 \$w g

863 43 \$8 1.3 \$a1987

863 43 \$8 1.4 \$a1988 \$w g

863 43 \$8 1.5 \$a1990

866 31 \$8 0 \$a 1983-1990 \$z Some issues lost

Appendix 5: History of Holdings Standards

A. NISO Holdings Standards

The perception of holdings as purely local delayed the rise of standards for decades. And yet in some aspects, such as that of a title as it comes from the publisher, the record of volumes and years is as universal as the bibliographic information. Contrast this situation with the decades of work on standards for every aspect of the bibliographic record, so that we have worked out the meaning of every bit of syntax and punctuation, and plentiful documentation exists for each part of the record and each code. Holdings standards did not arise until the 1980s, and they followed an era which depended on manual input of holdings in free style. There is still a lot of resistance to incorporating standards for something so “local” as holdings into our large bibliographic utilities such as OCLC. In fact, OCLC defined the MARC Format for Holdings fields as “local” fields and uses them only for local output, excluding them from the master record. Now that they have entered again, even though it has to be through embedding in other fields, there is definitely hope that more influential groups will be using the format, looking out for its improvement, and promoting its use nationwide.

The first standards were **display** standards: **Z39.42** and **Z39.44**. As explained in the session, this meant that they dealt with the content of a holdings statement and how it should be presented, whether manually, electronically, or some other way. The later Format dealt only with identifying the parts of the statement to communicate it electronically. So the first thing to stress is that even though the Format and NISO standards were developed in coordination, neither requires the other. The MARC Format for Holdings is capable of generating any display according to the programming provided by whatever software is in use in the library.

a. Z39.42 (1980), Serial Holdings Statements at the Summary Level

ANSI Committee Z39 (Information Standards), Subcommittee 40, finished this standard and had it promulgated in 1980. There were “three levels of specificity” in this standard:

–Level 1: identified only *item and holding institution*

–Level 2: added *date of recording* and optional *notes on retention policy and completeness*, among other values

– Level 3: was the first to give *actual holdings*. The detail was similar in its roughness to the manual statements of the era (printed union lists, card files, paper, computer-output microfiche). Note the absence of captions such as volume and number; the open holding indicated by a hyphen, and the lack of supplements or indexes.

Ex. 1-3,5- 1975-1977,1979

Quick definition: A **summary statement** records the first and last parts of a range of units only, rather than listing all the units. A statement listing all the units would

be *itemized*, which is not provided for in this standard. It is important to realize that a volume is listed--as complete--if 50% or more of it is held. If less than 50% is held, the volume is omitted entirely. In other words, there is no detail whatsoever below the level of the volume, and even the volume level is up to fifty per cent approximation.

Though the standard is long superseded, data conforming to it is being loaded even today into online systems. This is why the 866-868, often used for retrospective holdings, allows the coder to specify this standard in the second indicator value.

b. Z39.44 Serial Summary and Detailed Holdings

This standard was called the NISO holdings display standard at the Summary and Detailed Level because the ANSI Subcommittee Z39 became the National Information Standards Organization, or NISO, around 1983, while this standard was being worked on by Subcommittee E. It started out to be a standard for detailed holdings, but as it became clear that the two levels would contradict each other, the decision was made to replace the earlier standard and add a new fourth level. At the same time this work was proceeding, another group outside NISO was working on the MARC Format for Holdings. Though there was some collaboration, the two groups did not really work together.

The standard looks different in that the numbering now includes captions (vol., no., tome, anno, etc.) Underlying differences are even greater, because now, a volume is listed if any part of it is held, rather than only if 50% or greater portion is held. There is now a fourth level, so this level 3 is the successor to the previous standard.

At Level 3, the summary level, options exist for displaying the data, one (Option B) that looked more like the previous standard:

Level 3, Option B: v.1-v.5 (1980-1984)

and one newer form (Option A) that—except for spacing/punctuation—looks more like the enumeration and chronology syntax in the bibliographic record (the 362 field).

Level 3, Option A: v.1(1980)-v.5(1984)

There is also a new fourth level of specificity, which guarantees the completeness and accuracy of the holdings statement to the issue level, for detailed holdings. Full detail at the issue level is now possible. The format at Level 4 is akin to that of Level 3, Option A, with *adjacent* presentation of enumeration and chronology.

Level 4 (Detailed) v.1:no.1(1995:Jan.)-v.2:no.1(1996:Jan.), v.2:no.3(1996:Mar.)-v.3:no.12(1997:Dec.)

When holdings are given in detail, some detail can be *compressed*. If *complete*, a compressed statement would look very much like a summary statement at Level 3. The difference is that at Level 4, the completeness of each unit given is guaranteed.

If there is a gap, it must be explicitly expressed in the holdings statement. Moreover, it is to be expressed “positively,” in terms of the units held, not units missing. At Level 4, the complete range between each gap is expressed as in this example, with the complete designation of each issue given before and after the gap:

**v.1:no.1(1995:June-v.1:no.3(1995:Aug.),v.1:no.5(1995:Oct.)-
v.1:no.7(1995:Dec.),v.1:no.9(1996:Feb.)-v.1:no.12(1996:May)**

Holdings with many gaps could end up looking very crowded. Some libraries tried to follow Level 4 holdings standards, except in simplifying the notation of multiple gaps (particularly within a single volume:

**v.1:no.1-3,5-7,9-12(1995:June-Aug.,Oct.-Dec.,1996:Feb.-May)
or simply v.1:no.1-3,5-7,9-12(1995-1996)**

At Level 4, there were no options for display. Since open holdings were not allowed at this level, the statement also had to be constantly updated as issues were added. This was almost always done manually because so few systems had this capability.

During the creation of Z39.44, another unrelated group began working on the communication standard, the *MARC Format for Holdings*. Though there was some cross-checking, the two groups did not formally work together.

c. Z39.57 (Holdings Statements for Non-Serial Items (1989))

Belatedly, a monographic standard was added to the serials standard. Its conventions were mostly compatible with the serials standards that had preceded it. The monographic standard used some punctuation of its own which in the later standard has also been adopted for display of serial holdings.

The same year that this standard came out was the year the Holdings Format came out in its revised and expanded form, as the *MARC Format for Holdings Data*.

At this point, the library world began a debate whether it was better to continue two standards or to combine the standards into one. Certainly, the existence of only one Holdings Format was an influence, as was format integration on the bibliographic side. The International Standards Organisation (ISO) also had a single summary holdings standard for all formats.

Eventually, the subcommittee called Standards Committee AL was formed in 1995 and considered whether to revise Z39.44 or make an entirely new standard. They decided on the latter course.

d. Z39.71 (Holdings Statements for Bibliographic Items (1999))

The new standard was approved in March of 1999. It is “instantly” downloadable from NISO’s Web site, at www.niso.org. The latest arrangement on the NISO web site is that though hard copy costs \$55, a downloaded PDF version is available for free!

Level 4:

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

This standard is described in Session 1. The following are important features for serials:

–It handles all formats, so that serials and multipart, for example, can be handled the same way.

–Some provisions and punctuation in earlier standards are made obsolete but may be retained in older holdings displays.

–The new standard was intended to be pragmatic, based on common sense, and minimally disruptive to current practice. It is also much more flexible than any of the earlier standards, with options for presentation even at the highest level. This makes it easier to customize for each library’s needs.

–This standard seems to recognize the trend that more and more libraries seem to be itemizing their serial holdings in OPAC displays, so it gives more examples and guidelines for this type of display. A holdings statement can also be partly itemized, partly compressed. A space or line break separates items within an itemized statement.

–Some of the distinctions in layout which made it easy to tell which standard and which level of the standard was being used are now optional or gone altogether. This may make it harder to distinguish, for example, between Level 3 and Level 4 holdings. MARC coding, if fully used and visible, can fill this information gap.

B. The MARC Format for Holdings

Impetus for a MARC format for holdings grew out of the desire of a regional group of libraries to share periodical holdings information, particularly of their scientific and technical periodical literature, in the early eighties. Eight southeastern research libraries, members of ASERL, agreed among themselves to design a software program to communicate periodical holdings information among their institutions. They obtained a

Title IIC grant in October 1981. A first edition of the documentation was produced in 1984. The software was produced, and the libraries contracted with SOLINET to put the program into production with a union catalog for the participants. The result was LAMBDA, which lasted for a few years in the mid-eighties, and attracted nationwide notice, though little emulation. Eventually, LAMBDA had to be abandoned as the capacity to maintain it was ending and none of the campuses could take it over. Some of the member library data that it held, however, was able to be transferred into MARC-based holdings in the OPACS of the home institutions.

Through arrangement with the Library of Congress, and continuing cooperation with the Z39 Committee and with MARBI, the group was eventually commissioned to develop their creation into a new MARC Format, covering both serial and non-serial items. The new work was initially called the *MARC Format for Holdings and Locations*, or MFHL (1986). It was revised and expanded as the *MARC Format for Holdings Data* (1989). The description of this Format is the subject of the bulk of this course, so we will not cover it here.

There were hindrances to the development and widespread use of the Format. One of those was the reluctance of the bibliographic utilities to adopt it. OCLC had its own pre-MFHL software underlying its Union List subsystem, and declined to change over to MARC—or even to adopt a newer or higher-level display standard. Programmers seemed to find the Format a hard nut to crack.

For the time being, its spread was very slow, with VTLIS for several years the only national ILS producer who offered a fairly full implementation. As early adopters, they had legacy codes and data to contend with when the standard was later updated; with this standard, however, this did not happen too often! Some in-house models based on the early software were in use, as at the University of Kansas, but these developed apart from the check of the standard and adopted their own features. Gradually, in the nineties, MARC Holdings implementations, varying in completeness, were developed for, among others, NOTIS, DRA, SIRSI, Geac, Innovative Interfaces, Dynix, ExLibris, and Endeavor Voyager. Now interest began to mount in the field for the missing features which were such a widespread problem in most implementations.

In analogy with its sister formats, MFHD has in 1999 assumed the “MARC21” prefix to its name for the new millennium. With the turn of the year 2000, many new systems and many updated or completely rewritten systems are now being built or coming on the market, having had a fresh look at the standard. The hope of all those participating in the CONSER Publication Patterns and Holdings Task Force is that developmental difficulties in the Format, its implementation, and its documentation will be talked out among the experts and the users, so that we all can benefit from better products and a clearer idea of how to use them.

Source: Rosenberg, Frieda. “Managing Serial Holdings,” in: *Managing Serials*, ed. Marcia Tuttle. Greenwich, Conn.: JAI Press, 1996.

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Appendix 6: Other Holdings Applications (MFHD-compatible)

This appendix contains information on OCLC's Local Holdings Records and the various components of the emerging ONIX for Serials standards.

A. OCLC Local Holdings Records

With its launch in early 2006, OCLC Local Holdings replaced the utility's earlier, non-MARC compatible Local Data Records; at the same time, the former Union List program took the name Local Holdings Maintenance. OCLC migrated Union Listing off the Union List subsystem and at the same time retired Passport for Union List. The enhanced Connexion browser that supports Local Holdings Maintenance became available on Sunday, February 19, 2006.

OCLC's support was welcome news to the growing number of libraries using the MARC Format for Holdings Data. Libraries that had been re-inputting data from their holdings into the LDR format could now batch-load it by exporting it from their own local catalog to OCLC, and better yet, could receive non-MARC data back as MARC for a very reasonable fee. Some of the greatest beneficiaries were interlibrary loan staff, who could input both accurate, item-specific holdings data *and* lending/reproduction policies into their Local Holdings records (or have them uploaded from the catalog) and deflect—or if desirable, attract—ILL requests, ending up with a high fill rate.

Serials data makes up the bulk of Local Holdings data at present, but there is no theoretical limitation to serials in the plans for LHR; nor are electronic formats excluded. OCLC is actively working with PAMs (Public Access Management companies) and large libraries (particularly the University of Washington) to establish and promote a service that includes e-journals and e-books.

Here are OCLC's notes about its service:

- WorldCat is a worldwide union catalog of library holdings, supporting holdings data for any type of material, not just serials.
- Through FirstSearch, even library patrons can see who owns the item.
- WorldCat local holdings records conform to the MARC 21 Format for Holdings Data.
- You can indicate item-specific copying and lending policies and scope of coverage for your library's holdings.
- Any OCLC institution, whether involved in a union list group or not, can create local holdings records through the Connexion browser interface.
- Attach your local holdings to records created and maintained by national libraries and CONSER (Cooperative Online Serials Program) participants.

There is no separate fee for participation, although to be visible, libraries are required to use certain OCLC services. A participating library must use OCLC cataloging, batch processing or other services to contribute holdings and other metadata to the WorldCat database, and maintain a subscription to the WorldCat database on FirstSearch.

At the present time, the Connexion browser is the only interface that can be used with Local Holdings data. Documentation is available for establishing and maintaining holdings in WorldCat:

<http://www.oclc.org/support/documentation/localholdings/default.htm>

Final Report of the Ad Hoc Task Force on Union Listing

<http://www.oclc.org/oclc/union/taskforce.htm>

B. ONIX for Serials: SOH, SPS, SRN

ONIX for Serials is a “family of XML formats” for communicating information about serials as publisher products and as library collections, using the design principles and many of the elements defined in ONIX for Books.

Its objective of computer-to-computer communication makes its role similar to that of MARC, and the holdings component of its format has been made, where possible, compatible with MFHD with cross-mapping and encouragement of the development of conversion routines. Its messages describe and communicate serial holdings (individual issues and sequences of issues), serial coverage (including complexities of licensed access), serial subscription products, optionally with prices and specific subscription information, and serial releases (new content being released from the publisher).

The launch of these from EDItEUR, the international group coordinating development of the standards infrastructure for electronic commerce in the book and serials industries, is a fresh development in 2007. NISO, EDItEUR’s working partner, announced the availability of both SOH and SPS (Serial Products and Subscriptions) this April. As this is being written, EDItEUR has announced the availability of a draft of a detailed ONIX for Serials Coverage statement, which, in their words, “allows the expression of more complex holdings than the structures currently found in the SOH and SPS formats.” Among other things, it allows for the expression of “moving starts” (aka “rolling starts”) and the enumeration and chronology of supplements.” SOH is being redrafted to incorporate these coverage extensions to form a “composite,” which is strongly promoted to the holdings community by its creators.

The typical use of the SOH (Serials Online Holdings) format is to convey specific details of electronic serials holdings from PAMs (publication access management companies that handle the recording of subscription details for changing e-journal content) to libraries. SOH has been implemented by a number of vendors, including Serials Solutions, EBSCO and TDNet as senders and Innovative Interfaces and OCLC as recipients. According to the NISO website, the SOH message can provide updated information for library catalogs, link resolvers, and A-to-Z lists.

The SPS (Serials Products and Subscriptions) format is in its pilot phase. It is used to transmit price data from publishers or agents to libraries; and to distribute a library's subscription list among publishers, agents and libraries.

SRN (Serials Release Notification) may notify clients of the availability of new content from a publication either in hard copy or electronic format. SRN notifications, according to NISOLine, will “serve to advertise the availability of new content, will help in minimizing unnecessary claims, and will make possible the automatic maintenance of precise holdings in online catalogs and link resolvers.”

Further information about ONIX for Serials, including the XML schemas, may be found on the EDItEUR website (www.editeur.org/onixserials.html).

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Appendix 7: Item Fields

An item field contains data applicable to a single physical piece.

Item fields are a belated addition to the MARC Format for Holdings Data, entering with the 1994 update. At least one system at the start of the millennium—Innovative Millennium—has implemented them for some customers, so it's likely that they will be more evident before long.

Item records are of course a part of current systems, and their use pre-dates the MARC holdings format. Even where a MARC holdings record exists, the item record is usually a non-MARC, proprietary segment of the data, linked to the MARC record by a related ID number. Item records contain information needed by the user, including the piece-level information which displays in an OPAC, and which the advanced Z39.50-based search engines are now searching out and combining with holdings information to form part of the report sent in answer to a remote multiple-catalog search.

It should be stated that even with MARC item fields in place, there will still be a system-dependent item record in the local OPAC. This is because the MARC item fields do not include the temporary and transaction-level data that is needed for the tracking and day-to-day management of library holdings. Instead, the new fields are limited to the kind of data that is *permanent or relatively permanent*. Unfortunately, this may exclude some of the crucial data needed by staff and users, particularly that circulation transaction data that will tell the searcher whether the volume is on the shelf or not. This exclusion in the Format means that remote search engines will have to interface to many proprietary database designs in locating and combining availability status data with MARC holdings data for display. However, other data, such as withdrawn and lost status data, may be MARC-coded in the new item fields.

The Format states, "These fields contain item level information about the pieces of the item specified in the holdings record. They contain various data elements that it may be desirable to record for specific items for use in acquisition or circulation applications, among others."

Again, these fields come in a set of three:
876 for Basic bibliographic item,
877 for Supplements,
878 for Indexes.

The indicators of the item field are *undefined*.

In the list of subfields below, several are covered in the SCCTP Serial Holdings Workshop. In systems without item fields, several subfields (\$p, \$t, \$x and \$z) are located in piece holdings fields, 863-865. They may also be found in some 866-868

fields, if the system permits—though the textual holdings fields, being designed for summaries, are normally less likely to contain item-level information than 863-865.

Here is the list of subfields for 876-878 (Item fields):

required for serials (*Encoding level 3 or 4*):

internal item number (\$a) [the item, or piece-level, record ID] , plus **either**:
link and sequence no. (\$8)
Materials specified (\$3)

optional subfields:

piece designation (\$p) [the piece's barcode or accession]
copy number (\$t)
cost (\$c)
date acquired (\$d)

Ex.: 863 41 \$8 1.2 \$a 1993/1994
876 ## \$8 1.2 \$a AAH8128-1-1 \$t 2 \$c \$41.00 \$d 19940622
\$p A14802137389

source of acquisition (\$e)
use restrictions (\$h)

Ex.: 854 10 \$8 1 \$a v. \$b suppl. \$i (year)
864 41 \$8 1.1 \$a 10 \$b 1 \$o EU Alumni register \$i 1997
877 ## \$8 1.1 \$a ADX-8900-3 \$e Alumni Assoc. anniversary gift \$h Building use

item status (\$j) [note: relatively permanent changes in status, like loss or withdrawal
from a collection]
temporary location (\$l)

Ex.: 866 41 \$a v.4-8(1937-1941)
876 ## \$3 v.4 \$a 0045-1 \$j Lost
876 ## \$3 v.5 \$a 0045-2 \$l Social Studies alcove

public/nonpublic notes (\$z/\$x)

Ex.: 863 20 \$8 1.56 \$a 2001
876 ## \$8 1.56 \$a 2870958a \$t 1 \$z Pocket diskettes (4) \$x Transfer to
Reference

Items are linked to fields according to some fairly strict rules. *The examples above show the two types of links.*

Subfield \$8 is used to link an item field to a coded 863-865 field. Serial holdings records with items must be encoded, at a minimum, at Level 3. Each part for which an item field

is desired must be input separately. The link and sequence numbers of the 86X and the related 87X must be identical. This means that item fields are compatible with itemized holdings, but not with summaries input in 863-865.

Item fields may be linked to Textual holdings fields, but different restrictions apply. Textual fields may contain ranges of holdings, but only one physical piece in such a statement may be represented by each item field. That piece is enumerated in subfield \$3 of the associated 87X field. If the Textual Holdings field information is not equivalent to a physical piece, the \$3 subfield must contain only the information pertaining to a single piece; and it is not repeatable (each piece needs a separate item field).

Further examples:

\$8, when linking to 863-865

fields must be itemized, linked by identical \$8 subfields

Ex.: 863 41 \$8 1.5 \$a 109 \$b 1-6 \$i 1990 \$j 01-06

876 \$8 1.5 \$a AAA-1334 \$j Lost \$p A0043456788

\$3, when linking to 866-868

Ex.: 866 31 \$8 1 \$a v.55-56 \$z lack v.55:no.4, 56:no.1,4

876 ## \$3 v.55:no.1-3 \$a ACC1322 \$p 00014361655 \$c \$6.00

876 ## \$3 v.56:no.2-3 \$a ACC1323 \$p 00014346345

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Appendix 8: Glossary

Alternative numbering scheme. A second numbering scheme (i.e. enumeration) published on some serials and multi-part items. It is independent from the primary numbering scheme.

Basic bibliographic unit. Also called the basic unit. It is the name of the main bibliographic entity for which holdings are being reported (e.g. *volume* or *year*), and it represents the principal numbering sequence published on the serial or multi-part item. It is distinct from the *supplemental unit* and the *index unit*.

Bibliographic unit. A discrete bibliographic entity that constitutes either the whole or a part of the bibliographic item recorded in a holdings record. A bibliographic unit may or may not be identical to any single physical part or piece. Within the holdings record, a bibliographic unit may represent either the highest level of the serials hierarchy or one or more lower levels of the same hierarchy.

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

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

Closed holdings statement. Also called closed holdings. A range of enumeration and/or chronology that ends with the enumeration and/or chronology of the last issue held by the library. It is the opposite of *open-ended holdings* or *open holdings*.

Compressed enumeration and chronology. Also called compressed holdings. A holdings statement which records the range of enumeration and/or chronology in terms of only the first and last parts held. This is done in order to express the same holdings information with fewer characters. It is the opposite of *uncompressed holdings* or *itemized holdings*.

Detailed holdings statement. Also called detailed holdings. The set of data elements required for Level 4 holdings to identify and record, at the most specific level of information, the parts of a bibliographic unit. A detailed holdings statement may be compressed or uncompressed. It is the opposite of *summary holdings statement*.

Embedded holdings information. Holdings information contained in the bibliographic record. An embedded holdings report does not have its own *item identifier*.

Enumeration. The alphabetic or numeric scheme used by the publisher on an item to identify the individual bibliographic or physical parts and to show the relationship of each unit to the item as a whole.

Index unit. A physically separate item distinct from the basic bibliographic unit. It is an alphabetic list of names, places, and/or subjects treated in a printed work, with page number(s), to direct the reader to the appropriate location(s) in the text. Only cumulative, physically separate indexes are noted individually on holdings records for serials. See also *basic bibliographic unit*.

Itemized holdings. See *uncompressed holdings*.

Open-ended holdings statement. Also called open holdings. A range of enumeration and/or chronology that ends with a hyphen. An open-ended holdings statement indicates the ongoing receipt by the library.

Pattern (or Publication pattern). The array of data elements used to describe the pattern of issuance, or publication, of a serial or multipart item, including:

- its frequency
- for each bibliographic unit, the number of secondary and/or lower bibliographic units, if any, that compose it
- The relationship of the lower numbering system(s) to the higher (i.e. whether it restarts or is continuous)
- the calendar change point where the higher number increments
- variations in the intervals of issuance

Piece. A single physical part.

Primary bibliographic unit. Also called the first-level unit. A bibliographic unit (whether basic, supplemental, or index) designated by the highest, or most inclusive, level of the holdings hierarchy. Other units are called **second-, third-**, etc., **level units**. For example, in the holdings statement "v.1:no.2", the primary bibliographic unit is the volume.

Summary holdings statement. Also called summary holdings. A holdings statement recorded at the first (i.e. highest) level of enumeration and/or chronology. The opposite of *detailed holdings statement*.

Supplemental unit. A physically separate item distinct from the basic bibliographic unit. It is designated with a term such as "supplement" or its equivalent. See also *basic bibliographic unit*.

Uncompressed enumeration and chronology. Also called uncompressed holdings or itemized holdings. A statement of enumeration and/or chronology which itemizes, explicitly and without compression, the holdings of each part of a bibliographic unit held. The opposite of *compressed enumeration and chronology (compressed holdings)*.

Appendix 9: Bibliography

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<http://webstore.ansi.org/RecordDetail.aspx?sku=ISO+10324%3a1997>

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Contains:

- *CONSER Guidelines for Input Of Caption/Pattern and Holdings Data*
- *Pattern Guide Table and Examples* (provided by John Espley, VTLS)
- *Sample Records with Publication Patterns*
- *Basic Compliance with MARC Holdings: a Definition*
- *Universal Holdings Data: Definition and Function*
- Task Force Plan, Milestones, FAQ, Roster

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Available in the full and concise formats.

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Pint: Looseleaf, with updates. Washington: Cataloging Distribution Service, Library of Congress.

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Appendix 10: CONSER SCCTP Serials Holdings Workshop Evaluation Form

Sponsor of session _____ Date _____

Instructor(s): _____

Type of Library (circle)—Academic Public School Special Other OR
Organization or Firm (please describe) _____

Your Primary Area of Responsibility _____

Please evaluate the program, assigning ranking of 1 to 5 . Circle the chosen number.

(5=excellent 4=very good 3=pretty good 2=not so good 1=useless)

1. Did the title and the description of the program match the subject matter covered?

5 4 3 2 1 Comments:

2. Did the speaker and the material presented address the relevant issues and your concerns?

5 4 3 2 1 Comments:

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

5 4 3 2 1 Comments:

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

5 4 3 2 1 Comments:

5. Were your questions answered?

5 4 3 2 1 Comments:

6. Were the exercises helpful?

5 4 3 2 1 Comments:

7. Was the workshop setting conducive to training?

5 4 3 2 1 Comments:

8. Your overall rating of the workshop?

5 4 3 2 1 Comments:

9. How did you hear about the workshop? Check all that apply

_____ E-mail program announcement on discussion list

_____ Printed or published announcement

_____ Through your library

_____ Through your professional organization

_____ Other (please describe)

10. What about the workshop did you like or find useful?

11. What would you suggest to improve the workshop?

12. Are there other serials-related topics that you would like to see handled by a workshop from the Serials Cataloging Cooperative Training Program? Please make suggestions.

THANK YOU!