Holdings: How Shall We Hold?

Using NISO Z39.71-2006: Holdings Statements for Bibliographic Items and
MARC 21 Format for Holdings Data (MFHD)

Display and Standards

- Think of NISO Z39.71 as the "AACR2/RDA of Holdings"
- Think of MHLD as what BIB MARC is to AACR2/RDA

Let's Talk NISO

- Z39.71 covers not only serials but all types of monographs.
- Today's training is limited to serials.
- Assumptions will be made as to what you should:
  - Read on your own
  - Prepare beforehand
  - Practice and homework
Broad themes for Z39.71

• Definitions
  ◦ Basic bibliographic unit
  ◦ Bibliographic unit
  ◦ Caption
  ◦ Chronology
  ◦ Completeness
  ◦ Compress
  ◦ Enumeration
  ◦ Extent of Holdings Area

• Definitions (Continued)
  ◦ Gap
  ◦ Hierarchical level, etc.
  ◦ Holdings Statement
  ◦ Lacking
  ◦ Non-gap Break
  ◦ Physical part/piece/unit
  ◦ Punctuation
  ◦ Range

Punctuation is important

• Refer to Table 3.1 in NISO Z39.71
  ▪ Important punctuations:
    ◦ : Colon Levels of hierarchy
      v.1:no.4 or 1997:June
    ◦ , Comma gap in range of holdings
      v.1-4.6-8 or 2000-2004,2009-2012
    ◦ / Virgule Combined numbering/chronology
      v.1/2-5/6 means 1/2 & 3/4 & 5/6
**Punctuation (Con’t)**

- **Hyphen** unbroken range of holdings or open holdings
  v.1-123 or 1955-1969 or 1940- or v.1-
- **( )** Parentheses Separates enumeration and chronology when the data are recorded together.
- **;** Semicolon Indicates a non-gap break. This means that the gap is intentional
  v.4;6 or v.5(2000)-v.7(2002);v.9(2003)-
- **[ ]** Square brackets Supplied information
  [1981/1982]

**Content Holdings (Level)**

- **Table 3.2** contains the level of detail
  - Generally level 3 is the acceptable level for serials. Level 4 contains some detailed/item level information.
  - **Level 3:** v.1(1950)-v.6(1956)
  - **Level 4:**
    - v.1(1950)
    - v.2(1951)
    - v.3(1952)
    - v.4(1953) etc.

**Physical Form**

- **Table 3.3** Physical form designators
  - Will be important when coding in MARC
    - Associated with 007/0 and 007/1
    - For print, it is “ta” generally.
    - For Microforms is is “h_” The second letter is the same as 007/1
    - Other than Print, one can generally depend on the 007 from the bibliographic record
    - NB: We can now code for music: 007 qa
Z39.71 Section 5: Data Elements
The following will have MARC21 references to assist in mapping

- **5.2.3 Copy Identifier (MARC 008/17-19)**
  - You enter the number of copies here for that location

- **5.3 Date of Report (MARC 008/26-31)**
  - Think of this as your last revised date.

- **5.4.2 Physical Form Designator (007)**
  - Code exactly as in bib record. Print is generically “ta” unless you have braille or some other type.

- **5.4.3 Completeness (008/16)**
  - Code for the completeness

- **5.4.4 Acquisition Status (008/6)**
  - Code for the status: currently received, not currently received, unknown, other receipt, etc.

- **5.4.5 Retention (008/12)**
  - How long will you retain? “8” is permanent retention. “4” or “5” for replacement by mf or other means

- **5.5 Extent of Holding Area**
  - The MEAT of Holdings
    - Compress or not to compress?
      - v.1(1990)-v.5(1994)
    - Separate Display or Adjacent Display?
      - v.1-5(1990-1994) [Separate]
      - v.1(1990)-v.5(1994) [Adjacent]
    - Adjacent is the most common. Most ILS are set up as the only way to display. To override, one has to code, in addition to 853/863 pairs, an 866.
5.5.1.1 Choice of Data Element

- Name of Unit
- Extent of Unit
- Enumeration
- Chronology
- Enumeration and Chronology

5.5.1.3 Secondary Bibliographic Units

- Used for Supplements, Indexes, and other parts to the main:
  - 1 booklet + 1 sound cassette
  - + Suppls.
  - + 1.v Suppl.

5.5.14 Enumeration/Chronology

- When both are present, both should be recorded.
  - Data can be displayed separately or adjacent
  - Enumeration precedes chronology, except in rare cases.
  - Chronology is contained in parentheses.
  - Exception: When only Chronology is used as the only type of extent, (i.e. no enumeration present)
5.5.4 Enumeration

- Holdings are recorded by enumeration if present:
  - Volume 5 becomes v.5
  - Band 6 becomes Bd.6
  - Third series becomes ser.3

5.5.4.1 Levels of Enumeration
(853/863 $a-g)

- Remember the “:”
  - v.1:no.1
  - Bd.1:T.1:Nr.3
  - ser.3:v.1  [The first level is a numbered series, “ser.3”]
  - new ser.:v.1  [The first level is an unnumbered “new series”]
  - 1998:v.1
  - 1998:v.2

5.5.4.2 Captions (853$a-g)

- Volume 5 become v.5
- “v.” is the caption
- Levels of Captions do happen:
  - “v.” is first level
  - “no.” is second level
  - etc.
5.5.5 Chronology (853/863 $h-p)

- Only the highest level is records in Level 3 (Summary). Usually the year.
- Partial binding/publications may warrant more levels:
  - (1995-Jun.)

You have the Caption, what's the pattern?

- Pattern is the frequency
  - Enumeration is coded in 853 $u$ and $v$
  - Chronology is coded 853 $w$
  - But both are intertwined with the other subfield of caption and should be interpreted together

MARC21: Don’t get nervous

- III Fixed fields duplicate some of the LDR and 008 fields
- 008 fields, when properly coded in current serial receipts can make the “Extrapolation” feature work really well with the checkin cards.
  - Used for odd publication patterns:
    - 7 times a year. Combines June/July issue
Leader LDR
- LDR/05 Record Status.
  - Used to internally track status. Can be used to flag for potential deletion
  - c Corrected or Revised
  - d Deleted
  - n New

- LDR/06 Type of Record
  - “y” Serial Holdings for this training.

Leader LDR
- LDR/17 Encoding Level.
  - Your choice, but level 3 is the one we will use for today’s training purposes.

- LDR/18 Item Information in record
  - “n” Unless you plan to use 878 this is no. Rarely used, but available. Stores item record information in this field

007 Physical description
- Refer to 007 in the Bibliographic record for coding microforms. (Easiest
- For print, 007 has generalities:
  - 007 ta [regular print]
  - 007 qu [music]
  - 007 c__ [electronic resources]
008 Fixed-Length Data

- Important to code
  - Track acquisition status (008/06)
  - Method of acquisition (008/07)
  - General Retention (008/12)
  - Completeness (008/16)
  - Lending policy (008/20)
  - Reproduction policy (008/21)
  - Lending and reproduction, when coded appropriately and records are sent to OCLC, can be used for automatic deflection

008 (con’t)

- Date of Report (008/26-31)
  - Local used to track revisions of holdings for updating purposes with OCLC
  - When sharing MHLD data with OCLC 008 can make ILL work much easier. Less work, less staff time needed for error control

010-066 Fields

- Not generally coded.
- ILL can create MARC Holdings using existing data in Bibliographic record
- These fields may be used to create 852 (see later)
3XX, 5XX, 84X Notes
- Can be helpful for local use.
- Create lists can find these fields
- Will not be covered today

852 Location
- 852 is used by Ex Libraris Alphas ILS, Voyager ILS, and VTLS
- Not used by III as an active field
- III creates 852 for data output of Holdings to OCLC.
- 852 contains:
  - Location
  - Sublocation
  - Shelving location
  - Classification (Call number portion)
  - Item part (Cutter # and on)
  - Location is NUC Symbol
  - Sublocation is location code in MHLD record
  - Has to be mapped to a 049 symbol if loading to OCLC. OCLC configures their system to cross-map all of this
856 Electronic Location
- III can store URLs in Checkin record
- Will not cover in this training

85X Captions and Pattern
- 853 is for the Basic Bibliographic Unit
- 854 is for Supplementary Materials (Suppls)
- 855 is for Indexes
- Other than Indicators, Subfield codes are the same
- Training will concentrate on 853 (through osmosis 854, 855 will be learned)

853 Basic Bibliographic Unit
- Indicator 1 indicates Compressibility and expandability.
  - One can inform the system that the holdings can be compressed or expanded; one not the other.
  - Compression is used for level 1-3
  - Expansion is used for level 4
  - This training will concentration on Level 3
  - Encoding level (LDR) and this indicator should be the same
- Indicator 2 indicates verification level
10/15/12

- If you cannot verify, second indicator of “3” is always appropriate.
- Verification means that you have physically examined an item and that all captions levels and whether the captions actually appear on the items.
- Bibliographic records in OCLC sometimes contain 89X fields that show whether or not CONSER participant has verified caption statements

853 Enumeration

- Subfield $8$ is the link.
  - Used to link 853 with 863 fields.
- Subfields $a-h$ contain the enumeration caption
  - Hierarchical
    - 853 13 $81$av.$bno.$
    - 853 13 $81$av.$bpt.$cno.

- Subfield $u$ Bibliographic units per next highest level
  - 853 13 $81$av.$bno.$su12
    - There are 12 parts ("no") making up the volume
- Subfield $v$ Numbering continuity
  - c – Number increments continuously
  - r – Number restarts
    - 853 13 $81$av.$bno.$su12$vr
      - There are 12 parts making up v. They start at "no.1" each time the next volume is published
853 $i-m Chronology captions

- Captions are enclosed in parenthesis “( )” when used with enumeration ($a-h$).
- When only chronology captions are used on an item (that is, the item carries no enumeration), the chronology captions are carried in the relevant enumeration caption subfields ($a-h$) and no captions are record in subfields $i-m$. If a chronology caption is not to be used in a display of the 863-865 fields, it is enclosed in parenthesis.

853 $i-m$

- $i$ First level of Chronology
  - 853 13 $81$av.$i$(year)

- $j$ Second level of Chronology
  - 853 13 $81$ av.$bno$((year)$j$(month)
  - 853 13 $81$ av.$bno.$i(year)$j$(season)

853 $w$ Frequency

- See MARC 853-855 for complete tables
  - Codes will work with III Extrapolation
853 $x Calendar Change
• $x contains one or more two- or four-character numeric codes that indicates the chronological point at which the highest level increments or changes
• 853 13 $81$av.$bno.$u6$vr$i(year) $j(month)$wb$x07

853 $y Regularity Pattern
• $y contains codes that describe the regularity coded in $w$. Examples:
  ◦ Combined
  ◦ Omitted
  ◦ Published
  ◦ $yc06/07 June/July is a combined issue
  ◦ $yo07 Not published July
  ◦ $y0su Not published on Sundays (Weekly)

86X Enumeration and Chronology
• The actual data is placed in these fields and linked via $8$ to the 85X fields.

Example:
- 853 13 $81$av.$bno.$u12$vr$i(year) $j(month)$wm
- 863 30 $81.1 Sal-15$1990-2004

Examples

- 853 13 $81$a(year)$wa$
- 863 30 $81.1$a1961-1962
    
    Display: 1961-1962

Example

853 13 $81$a(year)$wa$
863 30 $81.1$a1990-1999
863 30 $81.2$a17-$i2006-

Example of Editions

- 853 13 $81$a(unit)$i(year)$wa
- 863 30 $81.1$a1st ed.-23rd ed.
  $i1901-1923$

- Display: 1st ed.(1901)-23rd ed.(1923)
- By using the phrase “unit” in parenthesis the system is able to interpret correctly.

Let's code some real records