



**A Holdings Primer:
Principles & Standards for Local
Holdings Records**

A Holdings Primer

Second Edition

Principles and standards for local holdings records

Revision history

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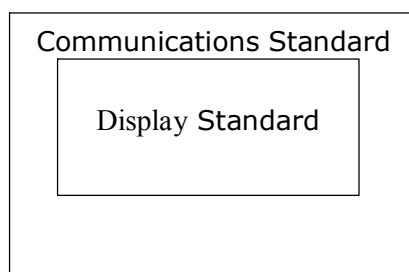
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1. Introduction

Electronic holdings records, in general, are composed of two interlocking standards:

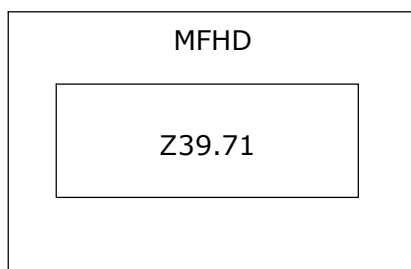
- **Display standard**, which determines the conceptual data elements and how they display to staff and patrons.
- **Communications standard**, which transmits the holdings data to unrelated computer systems. It may also store the holdings record internally in a particular system.

The relationship between the two types of standards can be thought of as a “box within a box”:



The display layer is officially referred to as the *content designation*, and the communications layer is officially referred to as the *record structure*.

Within integrated library systems (ILSs) in North America, the current holdings display standard is Z39.71, and the official communications standard is MARC 21 for Holdings Data (MFHD). The North American landscape can be illustrated as follows:



2. Z39.71

The ANSI/NISO Z39.71 holdings display standard is a combination of two things: the conceptual holdings elements (officially called *Data Areas*), and nine principles for recording the holdings elements (officially called the *Principles*).

2.1 Data Areas & Data Elements:

There are six Data Areas, or fields. A Data Area can sometimes be further subdivided into multiple subfields. These are officially referred to as Data Elements. The order of the Data Areas is not specified by the standard. However, within each Data Area, the order of the Data Elements is prescribed. The six Data Areas are:

Item Identification Area. This is the link from the holdings record to the bibliographic record; it identifies the bibliographic record the holdings record should be attached to. The actual link (technically referred to as the *identifier*) can vary: ISSN, ISBN, OCLC record number, etc. It can even be a partial bibliographic description.

Location Data Area. Identifies the exact location of the item. It can be in free text, although some systems mandate specific formats. It has four Data Elements: the *library code*, the *branch or sublocation*, *copy number*, and *call number*.

Date of Report Area. The date the holdings record was created or updated. It is recorded in YYYYMMDD format. An unknown date is recorded as 00000000.

General Holdings Area. Contains general holdings information, such as whether an item is a book or a DVD. This is subdivided into five Data Elements, and each element has a series of coded values. Systems typically convert the coded values into full-text for OPAC displays:

Type of Unit: Is it a volume, a supplement, or an index?

Physical Form Designator: Is it a hardback, a paperback, or an e-book?

Completeness Designator: If it's a serial, how much of the serial do you hold?

Acquisition Status Designator: Is it on order, currently acquired, or ceased publication?

Retention Designator: The library's retention policy. Is the item retained until replaced by microfilm? Or permanently kept?

Extent of Holdings Area. For serial publications, this field contains specific holdings information about the range of volumes held by the library. It consists of five Data Elements:

Name of Unit: Is it a volume, an issue, a bund, or a tome?

Extent of Unit: How many parts does the item have?

Enumeration: The actual number of the volume

Chronology: The date on the volume

Specific Extent Note: Information clarifying the contents of any of the other Data Elements. For example, "bound" or "unbound"

Holdings Note Area. Free-text note field relating to the holdings (not the bibliographic record). Examples of notes include whether or not the item circulates, or its physical condition.

Exercise 1: Identify Z39.71 Data Elements

For each piece of information given below, identify the Z39.71 data area and, where applicable, the data element. The first one has been completed for you as an example. The answers can be found in Section 6, Exercise Answer Key.

Information	Data Area	Data Element
Holdings 60% complete	<i>General Holdings Area</i>	<i>Completeness Designator</i>
Library has more than one copy	_____	_____
Subscription is no longer active	_____	_____
Library retains last 5 years	_____	_____
Library owns volumes 1 to 10	_____	_____
Library owns 1990-1999	_____	_____

2.2 Nine Principles:

Z39.71 lays out nine principles, or major concepts, that holding records need to adhere to.

1. Levels of Specificity. There are four levels of specificity, ranging from a simple statement that the library holds the item on up to a complex, detailed statement of exactly what parts of the item are held. ANSI/NISO is discussing adding a fifth level that would include a barcode. See *Table 1: Levels of Specificity* for examples.

2. Identification of Data Elements. Data Elements are identified, or set off from each other, by punctuation. Punctuation is prescribed within two Data Areas (the General Holdings Area, and the Extent of Holdings Area), but does not need to be consistent from Data Area to Data Area. See *Table 2: Punctuation* for punctuation definitions.

3. Optional Data Area or Element. The standard designates each Data Area, and each Data Element, as being *mandatory*, *not used*, or *optional* in a holdings record. This may vary with the Level of Specificity of the holdings record, in that a Data Area may be optional for one level but required for another level.

The absence of an optional element does not imply that the actual item lacks that characteristic. In a similar fashion, the presence of an optional Data Area or element does not necessarily imply the completeness of the data recorded.

4. Pieces Held. For Level 1 - 3 holdings statements the standard focuses on the parts of the item that are held, rather than those parts that are not held. Gaps can optionally be recorded in the Holdings Note Area.

5. Number of Locations and Copies. If a library holds multiple copies in multiple locations, it has two options:

1. Create multiple holdings records, one for each copy or location.
2. Create one holding record (a "composite" record) reflecting the multiple copies or locations.

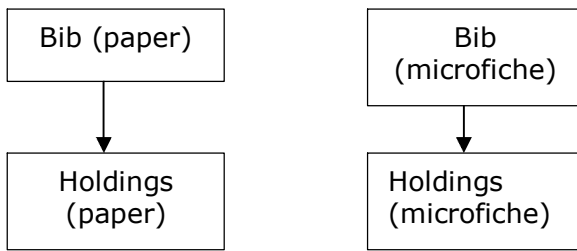
6. Form. Holdings may be recorded in either compressed or itemized form. Additionally, the same holdings record could have both compressed and itemized holdings information.

7. Cataloging System. The holdings standard is independent of a cataloging system or code. When Z39.71 conflicts with AACR2, use Z39.71. Put another way, AACR2 is for bibliographic records, and Z39.71 is for holdings records.

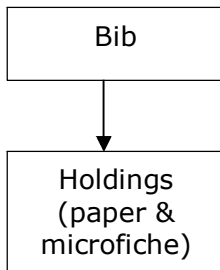
8. Relationship of Holdings Statement to Bibliographic Item. The holdings record will link to only one bibliographic record. However, the bibliographic record itself may reflect multiple items (Examples: a series, supplements).

9. Formats. If a library holds multiple versions of the same item (for example, it holds both the paper & microfiche for *Time* magazine), it has a few options for how many holdings records to create, and which bibliographic record or records to link to.

Option A: Multiple bibliographic & holdings records. Create separate bibliographic records, one for each format. Then, create separate holdings records.



Option B: Create a single, bibliographic record. It may represent all formats, or it may represent just the paper. Then, create a single, composite holdings record.



Option C: Create a single, bibliographic record. It may represent all formats, or it may represent just the paper. Then, create multiple holdings records.

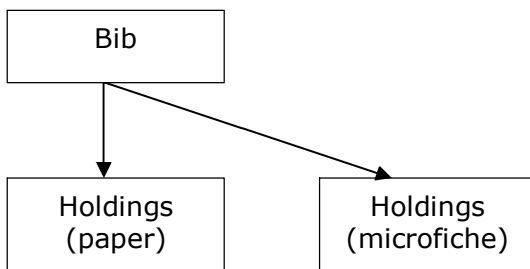


Table 1: Levels of Specificity

Level	Definition / Description	Example
1	<p>Basic statement that the library holds the item.</p> <p>Consists of the Item Identification Data Area & the Location Data Area</p>	<p>0040-781x T@W</p> <p>In this example, an ISSN is the Item Identification, and T@W is the library's Symbol.</p>
2	<p>General statement of how complete the library's holdings are.</p> <p>Consists of all Level 1 elements plus the Date of Report Area. Optionally contains a General Holdings Area</p>	<p>0040-781x T@W 20020221</p> <p>OR</p> <p>0040-781x T@W 20020221 (a,ta,1,5,8)</p>
3	<p>Summary holdings statement recording which volumes a library holds at the highest level of enumeration & chronology</p> <p>Consists of all Level 2 elements plus the Extent of Holdings Area. Optionally contains a General Holdings Area</p>	<p>0040-781x T@W 20020221 v.1-v.56 1923-1979</p> <p>OR</p> <p>0040-781x T@W 20020221 v.1-v.56 1923-1979 (a,ta,1,5,8)</p>
4	<p>Detailed holdings statement recording which volumes a library holds at all levels of enumeration & chronology</p> <p>Consists of all Level 2 elements plus the Extent of Holdings Area. Optionally contains a General Holdings Area</p>	<p>0040-781x T@W 20020221 v.1:no.1-v.56:no.52 1923:Mar. 3-1979:Dec. 29</p> <p>OR</p> <p>0040-781x T@W 20020221 v.1:no.1-v.56:no.52 1923:Mar. 3-1979:Dec. 29 (a,ta,1,5,8)</p>

Table 2: Punctuation			
Name	Symbol	Purpose	Examples
Angle Brackets	< >	Encloses the Specific Extent Note. Always preceded & followed by a blank	<fire damaged>
Blank		Indicates the separation of Data Elements within a Data Area	v.15 <Supplement>
Colon	:	Separates hierarchical levels of enumeration and/or chronology	v.1:pt.1 1923:Mar. 3
Comma	,	Indicates a gap in the range of holdings.	v.1,v.3
Equal Sign	=	Separates alternative numbering	v.2:no.5=no.11
Forward Slash	/	Indicated combined enumeration or chronology	v.1/3
Hyphen	-	Indicates an unbroken range of holdings or open holdings	v.1-v.3
Parentheses	()	Separates the enumeration & chronology when they are recorded together	v.1-v.3 (1980-1982)
Plus Sign	+	Separates the basic & secondary bibliographic units	v.1+1 disk
Question Mark	?	Indicates unknown digits of a date	200?-2002
Quotation Marks	“ ”	Encloses the Name of Unit. Always preceded & followed by a blank	“Supplement”
Semicolon	;	Indicates a non-gap break	v.1-v.4;v.6-
Square Brackets	[]	Encloses supplied enumeration or chronology. Always preceded & followed by a blank	[1981/1982]

Exercise 2: Interpret Z39.71 Holdings Records

Look at the following holdings records. Then, identify the data areas/data elements and answer the questions. For this set of exercises, the library code is W7L. The answers can be found in Section 6, Exercise Answer Key.

1. The item is a multi-volume monographic set, and the ISBN is 0-252-18123-1. The subscription is complete (i.e., has come to an end).

0252181231 W7L 19890524 (a,ta,4,2,8) v.1-v.20

How is the library linking to the bibliographic record in the Item Identification Area?

What level is this holdings statement? Note: the level is not explicitly stated.

When was this holdings record last modified?

Which data element(s) are reported in the Location Data Area?

2. The item is a printed text. The library also subscribes to the microform version. The ISBN is 0-904351-114, and the Call Number starts with PZ.

0904351114 W7L C2 PZ7.D684 A1 1997 19970303 (a,ta,0,0,8)

What data elements has the library reported in the Location Data Area?

Based on the previous answer, what copy does this holdings record represent, and what call number is it shelved in?

3. The item is a multi-part videocassette. In the library's OPAC, the bibliographic record the item links to is 0054378.

**0054378 W7L HN535.2M2J68 19940525 (a,vf,2,0,8)
No. 1-No.14 VHS. Does not circulate**

How is the library linking to the bibliographic record in the Item Identification Area?

Is this library classifying its videocassettes?

What is the last Data Area listed? And what does it indicate?

Extra challenge: In what Data Element is the code for the item's physical form, and can you guess the code for a videocassette?

Note: the actual codes are listed in the Z39.71 standard and are not listed in the Holdings Primer. The Z39.71 standard can be downloaded from the NISO website at

<http://www.niso.org>.

2.3 Two Descriptive Dimensions for Holdings:

Principles one (Level) and six (Form) are frequently confused with each other. More specifically the terms "summary vs. detailed" (i.e., levels 3 and 4) and "compressed vs. itemized" are often expressed as something like "summary vs. itemized" or "compressed vs. detailed". In fact these principles, and their respective terms, define two different dimensions for describing a holdings statement:

	Summary Level "Highest Level"	Detailed Level "All Levels"
Compressed Form "First, Last"	v.1-v.4	v.1:no.1-v.4:no.12
Itemized Form "All Items"	v.1 v.2 v.3 v.4	v.1:no.1 v.1:no.2 v.1:no.3 v.1:no.4

Thus, the holdings statement *v.1-v.4* is both summary and compressed, and the holdings statement *v.1:no.1 v.1:no.2 v.1:no.3 v.1:no.4* is both detailed and itemized.

Exercise 3: Form and Level of Holdings

For the following holdings records (in the *Extent of Holdings* Data Area), determine both the form and the level of holdings. The first one has been completed for you as an example.

Holdings Record	Level	Form
v.1-8(1993-1996)	<i>Summary</i>	<i>Compressed</i>
v.108:no.1-v.108:no18	_____	_____
1990,1995,1996,1997	_____	_____
1908:Jan. 1908:Feb. 1908:March	_____	_____
v.78(1983)-	_____	_____
Extra challenge: v.22:no.1-v.22:no.6,v.23:no.1, v.23:no.2,v.23:no.3	_____	_____

2.4 Other Items of Note:

Z39.71 adopts many of the practices of its preceding standards (Z39.42, Z39.44, and Z39.57), and also attempts to adhere to the international standard (ISO 10324). As a result, past practices that were prescribed may be optional in the current standard. This section outlines some of these new options.

Itemized vs. compressed holdings. An itemized holdings statement lists each part of the unit held. By contrast, a compressed holdings statement lists only the first and the last part in the range of units held. A holdings statement may be itemized, compressed, or a combination of the two.

Ordering of enumeration & chronology. Enumeration & chronology data may be recorded separately, and with or without parentheses. Or, they may be recorded adjacent to each other. In this case, parentheses must surround the chronology.

Separate: v.1-v.5(1923-1928) or v.1-v.5 1923-1928

Adjacent: v.1(1923)-v.5(1928)

Numbered and unnumbered series are the exception. The series designator and the second-level enumeration are always recorded together. For example, series one volume one to series 3 volume 2 would be recorded as: Ser.1:v.1-Ser.3:v.2.

Captions. Under the current standard, recording the caption with the enumeration is optional but highly recommended. Thus, volume 1 can be recorded as both *v.1* or *1*.

When recording a range of holdings, captions can be recorded either at the beginning of the range or repeated throughout the range. Thus volumes 1 through 23 can be recorded as both *v.1-23* or *v.1-v.23*. Captions should always be repeated when needed for clarity.

All caption abbreviations should be done according to AACR2 B, "*Abbreviations*". If the caption is not listed in Appendix B, then spell it out in full. Thus, *supplement* is recorded as *suppl.* but *supplemento* is recorded as *supplemento*.

Similarly, if the number has no caption, do not supply it; record only the number.

Ordinal Numbers. Ordinal numbers (1st, 2nd, etc.) may be recorded as either ordinal or cardinal numbers (1, 2, etc.). If ordinal numbers are recorded, the number should be abbreviated according to AACR2 Appendix C, "*Numerals*".

Exercise 4: Code Z39.71 Holdings Records

Library W7L owns one copy of the serial *Discover*. The ISSN is 0344-8577. The subscription is current, and it began in 1990 with volume 26. The library links its serial holdings to the bibliographic record with the ISSN. Based on this information, code a basic holdings record with the date Jan. 1, 2008:

Library W7L owns two copies of Time magazine. The ISSN is 0444-8731. The paper subscription is held for the current 3 years. The microform subscription began in 1971 and is current. The library links its serial holdings to the bibliographic record with the ISSN. Based on this information, code a basic holdings record for the microform with the date Jan. 1, 2008. The physical form Designator code for microform is *hu*:

3. MARC 21 Format for Holdings Data (MFHD)

The MARC 21 Format for Holdings Data (MFHD) was originally developed by the SOLINET consortium in the Southeastern U.S. so libraries in the consortium could report their holdings data to a centralized database. It became an official MARC format in 1986.

It is one of five official MARC 21 formats (the other four are Bibliographic, Authority, Classification, and Community Information). As such, it has many of the familiar features and functions that all MARC 21 formats share. These include:

- **The four record components.** The Leader, Directory, Variable Control Fields, and Variable Data Fields.
- **A combination of codes and free-text data.** The codes are typically fixed-length and are used for computer search & retrieval. The free-text data is typically variable length and is used for staff & patron displays.
- The variable data fields are composed of tags, indicators and subfields.
- Tag blocks precisely define the content of the data within the field.

Many of the codes and fields within a MFHD record are identical to the codes used by the other MARC 21 formats. The definition and content of the 020 tag (the ISBN) in the MFHD is identical to the 020 tag in the related MARC 21 Bibliographic record, for example.

MARC 21 Holdings also has a set of unique features that set it apart from other MARC 21 formats. These include:

- Publication Patterns
- Compression and expansion
- Paired tags
- Coded and textual holdings

3.1 Publication Patterns. Serial issues that are published on a regular basis can easily be predicted by humans. The publication patterns in the MFHD are a series of codes that allow the computer to replicate this human ability to predict the next issue of publication for checkin purposes. The patterns can be used, as well, to predict other aspects of the serial's lifecycle: when an issue needs to be claimed with the publisher or vendor, when a volume is ready to be bound, or how it should display in the OPAC.

The MFHD can also accommodate changes in patterns of publication. When the publisher changes the publication cycle for the serial, the library staff close out the first pattern in the MFHD and then create a new pattern.

As an example, a serial that is published quarterly in the months of January, April, July, and October, where the issue numbers increment indefinitely, and the month *is not* printed on the issue, would have as its pattern:

853 \$u 4 \$v c \$ w q \$x 01

If the last issue checked in is volume 4 number 16, 2007 (published in October), the system would combine this information with the pattern in the 853 and predict that the next issue to be checked in will be volume 5 number 17, 2008 (published in January).

3.2 Compression and Expansion. Compression of holdings means that, if a pattern is present, the computer uses an algorithm to compress all the single issues recorded individually in the MFHD (i.e. an ANSI/NISO Level 4 statement) into a brief, single holdings statement (i.e. an ANSI/NISO Level 3 statement). As an example:

v.1:no.1	becomes	v.1-v.4
v.1:no.2		
...		
v.4:no.12		

Expansion is the exact opposite of compression. That is, a single holdings statement (ANSI/NISO level 3) is "blown up" to include all levels of the serials hierarchy (ANSI/NISO level 4), listed in an itemized fashion. Thus:

v.1-v.4	becomes	v.1:no.1
		v.1:no.2
		...
		v.4:no.12

This manipulation can be used in a variety of scenarios. A detailed holdings statement becomes compressed for OPAC displays or for exporting the MFHD to a different system, for example. It is also good for reporting output. At its most sophisticated, compression and expansion also takes into account gaps in the library's holdings or the publisher's history of publication.

3.3 Paired tags. Within the variable fields, the set of fields that are used to record enumeration and chronology work in pairs. The 853 tag, for example, is paired with the 863 tag. Although the data is stored in separate but paired fields, it is combined in OPAC displays. To carry the previous example to its logical conclusion, the paired tags and their data:

853 \$a v. \$b no. would display in the OPAC as: v.1:no.1
 863 \$a 1 \$b 1

3.4 Coded & Textual Holdings. The holdings data can be recorded in either coded or free-text form. The individual MFHD record can either be all coded, all free-text, or a combination of the two in order to enable the library to record its full range of holdings for a title. Both categories of holdings readily display in an OPAC.

Typically, the coded holdings are used for all current activities (checkin, claiming, binding, etc.) and the textual holdings are used retrospectively to record bound volumes already on the shelf. Textual holdings are also commonly used when a library reports its holdings to a union list.

Serial holdings can also be recorded for three different categories: the volumes & issues (technically called the basic bibliographic unit), supplements, and indexes. This allows the library to fully, accurately, and completely record the full range of its serial holdings.

The paired tags, combined with the fields used for coded and textual holdings, result in the following matrix of MFHD tags expressing the full set of relationships:

Field	Basic Bibliographic Unit	Supplementary Material	Indexes
Caption & Pattern	853	854	855
Enumeration & Chronology	863	864	865
Textual Holdings	866	867	868
Item Information	876	877	878

3.5 Separate vs. Embedded Holdings. The MARC 21 formats give libraries two options to record their holdings data:

- A separate holdings record linked to the bibliographic record
- Embed the holdings data in the bibliographic record.

Typically, if the library has chosen to embed its holdings data, the data consists of only the data elements needed to locate the item within the library (the *locations data* Data Area). The holdings record, in this case, *may not be* Z39.71 compliant.

If the library has chosen to record its holdings separately, and link to the bibliographic record, then it can record more data elements, more holdings locations, and the fact that they hold multiple copies of the item. The holdings record, in this case, *is* Z39.71 compliant. The “separate but linked” approach also allows the library to implement the multiple options allowed by the Z39.71 standard (see page 6) when dealing with multiple formats.

3.6 MFHD and Z39.71. When the two holdings standards for display and communication are combined, a complete electronic holdings record results. Taking the Level 4 holdings record listed in Table 1 (page 7), and combining it with MFHD, the resulting holdings record would look approximately like:

```
005 20020221
008 5 8 1
022 0040-781x
852 $a T@W
853 10$a v. $b no. $i (year) $j (month) $k (day)
863 41$a 1 $b 1 $i 1923 $j 01 $k 24
... (other 863 repeats)
863 41$a 56 $b 52 $i 1979 $j 12 $k 29
```

Only the Z39.71 data elements have been included in this record example for the purposes of clarity.

The MARC 21 Holdings record does not itself contain the Z39.71 punctuation. However, the indicator values in the 853 and 863 tags indicate the holdings record is Z39.71 compliant. Most ILSs use this information to then generate the Z39.71 punctuation in the OPAC displays:

v.1:no.1-v.56:no.52(1923-1979)

Another point to note about the relationship between Z39.71 and MFHD is that the MARC 21 Holdings format supplements Z39.71 in the sense that it defines additional data elements that are not part of the Z39.71 standard. A partial list of these supplementary data elements might include:

- | | |
|--------------------------|-----------------------------------|
| Method of acquisition | Intent to cancel the subscription |
| Language of the item | ISBN, ISSN, etc. |
| Reproduction note | Reproduction policy |
| Interlibrary Loan policy | Action note |
| etc. | |

These data elements are officially out of the scope of Z39.71 but may be required to be present in the holdings record by an ILS or a bibliographic utility.

4. Batchloading of Holdings Records

As more automated systems implement standardized holdings, and the MARC Holdings (MFHD) standard in particular, libraries are able to send their holdings records from one system to one or more additional systems. This can be done one record at a time but is more commonly done as a group of records in a batch process, or “batchloading”.

Transferring records from one system to another has an additional benefit in that it allows a library to “key once / record in multiple systems”. This, in turn, gives the library significant savings in its staff resources.

As of 2008, however, not all automated systems have implemented the import and export functions of the MARC Holdings standard. For this reason, a library desiring to do a batchload from one system to another should check with the support representatives **of both systems** to confirm that a batch transfer of holdings records is possible.

Libraries that desire to batchload their holdings records to OCLC’s WorldCat database should contact their Regional Service Provider (RSP) to discuss their project in detail. This type of batchload project is named LHR Upload, or LHRUS.

Medical libraries that desire to transfer their records from DOCLINE to OCLC WorldCat should contact their Regional Medical Library (RML) to initiate the transfer.

5. Examples of Holdings Records

Below are some examples of electronic holdings records from OCLC's Connexion Browser environment, which implements both the Z39.71 and MFHD standards.

These records build upon the examples shown in previous sections of the Primer in that they take the theoretical principles discussed, then implement them in actual records. Note, however, that these records are specific to one system and one environment; the same records may appear quite differently in a different system or environment (e.g. an ILS, or DOCLINE), although the underlying data is exactly the same.

Example of a Level 2 Record for a Serial

Local Holdings Record: Time.	
OCLC 1767509 ISSN 0040-781X Freq w Dates 1923-9999 New	
+ Publication Pattern Data	
Summary	Local holdings available
* + Leader	ny a2n
* + 007	ta
* + 008	0607095p 8 2001baeng0060709
* + 852	T@W \$b T@WA

Example of a Level 3 Textual Holdings Record for a Serial

Local Holdings Record: Time.	
OCLC 1767509 ISSN 0040-781X Freq w Dates 1923-9999 New	
+ Publication Pattern Data	
Summary	v. 1-v. 56 (1923-1979)
* + Leader	ny a3n
* + 007	ta
* + 008	0607095p 8 2001baeng0060709
* + 852	T@W \$b T@WA
+ 866	3 1 \$8 0 \$a v. 1-v. 56 (1923-1979)

Example of a Level 4 Textual Holdings Record for a Serial

Local Holdings Record: Time.			
OCLC 1767509	ISSN 0040-781X	Freq w	Dates 1923-9999 New
+ Publication Pattern Data			
Summary	v.1:no.1-v.56:no.52 (1923:Mar. 3-1979:Dec.29)		
+ Leader	ny a4n		
+ 007			ta
+ 008			0607095p 8 2001baeng0060709
+ 852			T@W \$b T@WA
+ 866	4	1	\$8 0 \$a v.1:no.1-v.56:no.52 (1923:Mar. 3-1979:Dec.29)

Example of a Level 3 Coded Holdings Record for a Serial

Local Holdings Record: Time.			
OCLC 1767509	ISSN 0040-781X	Freq w	Dates 1923-9999 New
+ Publication Pattern Data			
Summary	Local holdings available.		
+ Leader	ny a3n		
+ 007			ta
+ 008			0607135u 8 2001baeng0060713
+ 852			T@W \$b T@WA
+ 853	3	3	\$8 1 \$a v. \$i (year)
+ 863	3	0	\$8 1.1 \$a 1-56 \$i 1923-1979

Example of a Partial Level 4 Coded Holdings Record for a Serial

Local Holdings Record: Time.			
OCLC 1767509		ISSN 0040-781X	Freq w Dates 1923-9999 New
+ Publication Pattern Data			
Summary		v.1:no.1-v.56:no.52 (1923:Mar. 3-1979:Dec.29)	
* +	Leader	ny a4n	
* +	007		ta
* +	008		0607095p 8 2001baeng0060709
* +	852		T@W \$b T@WA
+	853	0 3	\$8 1 \$a v. \$b no. \$i (year) \$j (month) \$k (day)
+	863	4 1	\$8 1.1 \$a 1 \$b 1 \$i 1923 \$j 03 \$k 3
+	863	4 1	\$8 1.2 \$a 1 \$b 2 \$i 1923 \$j 03 \$k 10
+	863	4 1	\$8 1.3 \$a 1 \$b 3 \$i 1923 \$j 03 \$k 17
+	863	4 1	\$8 1.4 \$a 1 \$b 4 \$i 1923 \$j 03 \$k 24

Example of a Level 3 Textual Holdings Record for a Serial on Microfilm

Local Holdings Record: Time.			
OCLC 1767509		ISSN 0040-781X	Freq w Dates 1923-9999 New
+ Publication Pattern Data			
Summary		1923-1992	
* +	Leader	cy a3n	
* +	007		hd udu bauu
* +	008		0607095u 8 2001aaeng0060709
* +	852		T@W \$b T@WA
+	866	3 1	\$8 0 \$a 1923-1992

Example of a Mixed Holdings Record (Mixed Levels, Mixed Coded/Textual) with Gaps

Local Holdings Record: Time.			
OCLC	1767509	ISSN 0040-781X	Freq w Dates 1923-9999 New
+ Publication Pattern Data			
Summary		1923-1979,2003-	
+ +	Leader	cy amn	
+ +	007		ta
+ +	008		0607094p 8 3001aaeng0060709
+ +	852		T@W \$b T@WA
+ +	853	0 3	\$8 2 \$a v. \$b no. \$i (year) \$j (month) \$k (day)
+ +	863	4 1	\$8 2.1 \$a 162 \$b 1 \$i 2003 \$j 07 \$k 07 \$w g
+ +	863	4 1	\$8 2.2 \$a 162 \$b 3 \$i 003 \$j 07 \$k 21
+ +	866	3 1	\$8 1 \$a 1923-1979

Example of a Serial Record with Supplements and Indexes

Local Holdings Record: Time.			
OCLC	1767509	ISSN 0040-781X	Freq w Dates 1923-9999 New
+ Publication Pattern Data			
Summary		v.1- (1923-)	
+ +	Leader	ny amn	
+ +	007		ta
+ +	008		0607134p 8 2001baeng0060713
+ +	852		T@W \$b T@WA
+ +	853	3 3	\$8 1 \$a v. \$i (year)
+ +	854	0 3	\$8 1 \$a (year)
+ +	855		\$8 1 \$a v.
+ +	863	3 0	\$8 1.1 \$a 1- \$i 1923-
+ +	864	3 0	\$8 1.1 \$a 1989- \$o Time magazine compact almanac
+ +	865	4 1	\$8 1.1 \$a 35-44

Example of a Limited Retention Holdings Record

Local Holdings Record: Time.			
OCLC	1767509	ISSN 0040-781X	Freq w Dates 1923-9999 New
+ Publication Pattern Data			
Summary		Retains current year only	
* +	Leader	ny a3n	
* +	007		ta
* +	008		0607095p 6l1y0001baeng0060709
* +	852		T@W \$b T@WA
+ +	866	3 0	\$8 0 \$a Retains current year only

Example of a Level 2 Holdings Record for a DVD

Local Holdings Record: The moonstone			
OCLC	61390615	ISBN 1593755252	Dates 2005 New
Summary		FIC 791.43/72	
* +	Leader	nx a2n	
* +	007		vd cvaizq
* +	008		0607092p 8 4001bbeng0060709
* +	852	1 0	T@W \$b T@WA \$k FIC \$h 791.43 \$i 72

Example of a Level 3 Holdings Record for an Electronic Serial

Local Holdings Record: Time				
OCLC 61523343	Freq w	Dates 1923-9999	New	
Summary		v.139-(1992-)		
* (+)	Leader	ny a3n		
* (+)	007		cr cua mucuu	
* (+)	008		0712044p 8 0001bbeng0071204	
	538		Mode of access: World Wide Web.	
* (+)	852		T@W \$b T@WA	
	856	4 0	\$u http://www.time.com/time/	
(+)	866	3 1	\$8 0 \$a v.139-(1992-)	

6. Exercise Answer Key

Exercise 1: Identify Z39.71 Data Elements

For each piece of information given below, identify the Z39.71 data area and, when applicable, the data element or elements. The first one has been completed for you as an example.

Information	Data Area	Data Element(s)
Holdings is 60% complete	<i>General Holdings</i>	<i>Completeness designator</i>
Library has more than one copy	<i>Location Data</i>	<i>Copy Number</i>
Subscription is no longer active	<i>General Holdings</i>	<i>Acquisition Status designator</i>
Library retains last 5 years	<i>General Holdings</i>	<i>Retention Designator</i>
Library owns volumes 1 to 10	<i>Extent of Holdings</i>	<i>Name of Unit, Enumeration</i>
Library owns 1990-1999	<i>Extent of Holdings</i>	<i>Chronology</i>

Exercise 2: Interpret Z39.71 Holdings Records

Look at the following holdings records. Then, identify the data areas/data elements and answer the questions. For this set of exercises, the library code is W7L.

1. The item is a multi-volume monographic set, and the ISBN is 0-252-18123-1. The subscription is complete (i.e. has come to an end).

0252181231 W7L 19890524 (a,ta,4,2,8) v.1-v.20

How is the library linking to the bibliographic record in the Item Identification Area?

By the ISBN.

What level is this holdings statement? Note: the level is not explicitly stated.

*Level 3 **OR** Summary level*

When was this holdings record last modified?

On May 24, 1989

Which data element(s) are reported in the Location Data Area?

Institution identifier (aka "library code")

2. The item is a printed text. The library also subscribes to the microform version. The ISBN is 0-904351-114.

0904351114 W7L C2 PZ7.D684 A1 1997 19970303 (a,ta,0,0,8)

What data elements has the library reported in the Location Data Area?

Institution identifier, copy number, and call number

Based on the previous answer, what copy does this holdings record represent, and what call number is it shelved in?

Copy 2 is the copy, and the call number is PZ7.D684 A1 1997

3. The item is a multi-part videocassette. In the library's OPAC, the bibliographic record the item links to is 0054378.

**0054378 W7L HN535.2M2J68 19940525 (a,vf,2,0,8)
No. 1-No.14 VHS. Does not circulate**

How is the library linking to the bibliographic record in the Item Identification Area?

By bibliographic record number (0054378)

Is this library classifying its videocassettes?

Yes

What is the last Data Area listed? And what does it indicate?

Holdings Note Area, and it indicates this item does not circulate

Extra challenge: In what Data Element is the code for the item's physical form, and can you guess the code for a videocassette? Note: the actual codes are listed in the Z39.71 standard and are not listed in the Holdings Primer.

The code is in the Physical Form Designator, and the actual code is vf

Exercise 3: Form and Level of Holdings

For the following holdings records, more specifically the *Extent of Holdings* Data Area, determine both the form and the level of holdings. The first one has been completed for you as an example.

Holdings Record	Level	Form
v.1-8(1993-1996)	<i>Summary</i>	<i>Compressed</i>
v.108:no.1-v.108:no18	<i>Detailed</i>	<i>Compressed</i>
1990,1995,1996,1997	<i>Summary</i>	<i>Itemized</i>
1908:Jan. 1908:Feb. 1908:March	<i>Detailed</i>	<i>Itemized</i>
v.78(1983)-	<i>Summary</i>	<i>Compressed</i>
Extra challenge: v.22:no.1-v.22:no.6,v.23:no.1, v.23:no.2,v.23:no.3	<i>Detailed</i>	<i>Mixed</i>

Exercise 4: Code Z39.71 Holdings Records

Library W7L owns one copy of the serial *Discover*. The ISSN is 0344-8577. The subscription is current, and it began in 1990 with volume 26. The library links its serial holdings to the bibliographic record with the ISSN. Based on this information, code a basic holdings record with the date Jan. 1, 2008:

0344-8577 W7L C1 20080101 (a,ta,0,4,8) v.26-(1990-)

Library W7L owns two copies of Time magazine. The ISSN is 0444-8731. The paper subscription is held for the current 3 years. The microform subscription began in 1971 and is current. The library links its serial holdings to the bibliographic record with the ISSN. Based on this information, code a basic holdings record for the microform with the date Jan. 1, 2008. The Physical Form Designator code for microform is *hu*:

0444-8731 W7L C2 20080101 (a,hu,0,4,8) 1971-

7. Glossary

AACR2. Anglo-American Cataloging Rules, version 2. The cataloging code for English-speaking countries that instructs libraries how to create bibliographic records.

ANSI. American National Standards Institute. The standards body for the U.S. that oversees the development and publication of all formal standards in this country.

Cardinal number. A number denoting quantity but not order in a group. Or, a number that stands alone. Examples: 1, 2, 3, etc. Cardinal numbers are not language dependent.

Caption. The word or phrase used to describe the nature of the number in the enumeration. For example, if a serial issue has on the cover *Part 208*, *Part* is the caption and *208* is the enumeration.

Chronology. The date of publication printed on the item. It is frequently hierarchical. For example, if the item has on the cover "March 2002", there are two levels of enumeration—the year and the month.

Compressed. Describing a range of holdings by listing the first item held and the last item held. For example, *Bd.1-Bd.3*.

Data Area. The conceptual holdings element, or field. A data area can sometimes be further divided into subelements, or subfields. These are technically called data elements.

Data Element. The smallest conceptual holdings element, or subfield. A data element always exists as part of a larger field, technically called a data area.

Enumeration. The numbered element on a publication that is usually paired with a caption. For example, if a serial issue has on the cover *Part 208*, *Part* is the caption and *208* is the enumeration. Enumeration for serials is frequently hierarchical. For example, if a serial issue has on the cover *Volume 5 Part 208*, there are two levels of enumeration.

ILS. Integrated Library System. Sometimes referred to as a "local system".

ISO. International Standards Organization. The international standards body that oversees the development and publication of all formal standards. National standards organizations such as ANSI report to ISO.

Itemized. Describing a range of holdings by listing each item individually in the range. For example, *Bd.1 Bd.2 Bd3*.

LDR. Local Data Record. A holdings communication format used by libraries that report their holdings to OCLC's Union List System.

MFHD. MARC 21 Format for Holdings Data. The official holdings communication standard within the English-speaking library community.

NISO. National Information Standards Organization. The subcommittee of ANSI that oversees standards for the library, computer, and information industries. Sometimes referred to as "committee Z39". All NISO standards begin with Z39.

OPAC. Online Public Access Catalog.

Ordinal Number. A number denoting order, quality, or degree within a group. The ordinal number is either spelled out (e.g. first, second), or a caption is paired with the number (e.g. 1st, 2nd). Ordinal numbers are language dependent (e.g. 1st in English but 1er in French).

Standard (ISO Definition). A document available to the public; drawn up with the cooperation, consensus, or general approval of all interests affected by it; based on the consolidated results of science, technology, and experience; aimed at the promotion of optimum community benefits; and approved by a body recognized at the national, regional, or international level.

ULS. Union List System. OCLC's central database of summary holdings records in the LDR format.



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