

ANSI/NISO Z39.71-2006 (R2011)

ISSN: 1041-5653

Holdings Statements for Bibliographic Items

Abstract: Specifies display requirements for holdings statements for bibliographic items to promote consistency in the communication and exchange of holdings information. The standard applies to holdings statements for bibliographic items in any physical or electronic medium. It may be applied to electronic resources available to an institution, either under its control, or available under other arrangements. It applies to both manual and automated means of recording holdings.

An American National Standard
Developed by the
National Information Standards Organization

Approved October 6, 2006
by the
American National Standards Institute
Reaffirmed March 15, 2011

Published by the National Information Standards Organization
Baltimore, Maryland, U.S.A.

1041-5653(200610)28:1;1-10

About NISO Standards

NISO standards are developed by the Working Groups and Committees of the National Information Standards Organization. The development process is a strenuous one that includes a rigorous peer review of proposed standards open to each NISO Voting Member and any other interested party. Final approval of the standard involves verification by the American National Standards Institute that its requirements for due process, consensus, and other approval criteria have been met by NISO. Once verified and approved, NISO Standards also become American National Standards.

This standard may be revised or withdrawn at any time. For current information on the status of this standard contact the NISO office or visit the NISO website at: www.niso.org.

Published by
NISO
3600 Clipper Mill Road
Suite 302
Baltimore, MD 21211
www.niso.org

Copyright © 2006 by the National Information Standards Organization

All rights reserved under International and Pan-American Copyright Conventions. For noncommercial purposes only, this publication may be reproduced or transmitted in any form or by any means without prior permission in writing from the publisher, provided it is reproduced accurately, the source of the material is identified, and the NISO copyright status is acknowledged. All inquiries regarding translations into other languages or commercial reproduction or distribution should be addressed to: NISO, 3600 Clipper Mill Road, Suite 302, Baltimore, MD 21211.

ISSN: 1041-5653 National Information Standards series

ISBN: 978-1-937522-31-5

Contents

Foreword	5
1 Scope and Purpose	11
1.1 Scope	11
1.1.1 Display Requirements	11
1.1.2 Data Elements	11
1.1.3 Holdings Statement Linkage	11
1.2 Principles	11
1.2.1 Levels of Specificity	11
1.2.2 Identification of Data Elements	12
1.2.3 Optional Data Area or Element	12
1.2.4 Pieces Held	12
1.2.5 Number of Locations and Copies	12
1.2.6 Form	12
1.2.7 Cataloging System	12
1.2.8 Relationship of Holdings Statement to Bibliographic Item	12
1.2.9 Formats	12
1.3 References	12
2 Definitions	13
3 Tables	19
3.1 Punctuation Used in the Extent of Holdings Area	19
3.2 Content of Holding Statements	20
3.3 Physical Form Designators	20
4 Holdings Statement Structure	23
4.1 Data Areas	23
4.2 Data Elements	23
4.3 Levels	24
4.4 Punctuation and Separators	24
4.5 Holdings Statement Composition	24
4.6 Different Physical and Electronic Media	25
4.7 Multiple Locations and Copies	25
5 Data Areas and Data Elements	25
5.1 Item Identification Area	25
5.2 Location Data Area	26
5.2.1 Institution Identifier	26
5.2.2 Sublocation Identifier	26
5.2.3 Copy Identifier	26
5.2.4 Call Number	27
5.3 Date of Report Area	27

5.4	General Holdings Area	27
5.4.1	Type of Unit Designator	28
5.4.2	Physical Form Designator	28
5.4.3	Completeness Designator	28
5.4.4	Acquisition Status Designator	29
5.4.5	Retention Designator	29
5.5	Extent of Holdings Area	30
5.5.1	Guidelines on Extent of Holdings Area	30
5.5.2	Name of Unit	35
5.5.3	Extent of Unit	35
5.5.4	Enumeration	36
5.5.5	Chronology	40
5.5.6	Specific Extent Note	42
5.6	Holdings Note Area	42
Appendix A : Examples of Holdings Statements		43
Index		52

Copyright National Information Standards Organization

Foreword

(This Foreword is not part of the Holdings Statements for Bibliographic Items, ANSI/NISO Z39.71-2006 (R2011). It is included for information only.)

About This Standard

The Role of a Standard

In developing this standard, NISO Standards Committee AL grappled with the philosophical question of the role of a standard. Should the standard set goals, or should the standard provide pragmatic rules (some of which may already be in practice)? Standards Committee AL (SC AL) based its decisions broadly, considering the needs of the library community as a whole. As a result, the new standard generally makes allowances for past practices which are no longer recommended ("grandfathering").

One Holdings Standard or Two?

Since 1989, there have been two standards for holdings statements: ANSI Z39.44 for serials, and ANSI/NISO Z39.57 for non-serials. One of the first issues considered by SC AL was whether NISO should continue to support two standards or should it develop one standard for holdings statements regardless of bibliographic format. In merging the bibliographic MARC formats into one document, the United States library community has expressed support for the concept of integration. Because the principles of bibliographic and holdings data are interrelated, the committee concluded that the concept of a single document should be applied to holdings, as it has to bibliographic data.

Another consideration was that a clear-cut distinction between "serial" and "non-serial" is difficult to make in the case of such publications as conference proceedings, loose-leaf materials, and electronic publications. Not all libraries treat these materials the same way. For these reasons, the committee was persuaded that one standard for holdings would be the most appropriate approach.

Relationship Between the New Holdings Standard and Earlier Ones

Revisions to a standard or the introduction of new concepts in a standard understandably cause consternation for those who have created holdings statements using an earlier version of a given standard. Is an institution expected to go back and revise all of its work to conform to the latest rules? When Z39.44-1986 replaced Z39.42-1980, holdings statements created under the earlier standard were accommodated in the current standard, or "grandfathered" in. Users were given two options for formatting enumeration and chronology data in Z39.44; the second option followed the earlier standard's format. Thus users of the new standard could either continue to format holdings as before, or could change to the new model. This practice of accommodating holdings statements created under earlier standards is maintained in Z39.71-2006.

Certain codes and values used in the earlier standards are not used in Z39.71-2006. Such values are called "obsolete," a term used in MARC formats. As stated in *The USMARC Formats: Background and Principles* (MARBI, 1996), "An obsolete content designator may continue to appear in records created prior to the date it was made obsolete. Obsolete content designators are not used in new records."

In the course of revision, SC AL resolved various inconsistencies in punctuation. The committee examined punctuation in the earlier U.S. standards, in ISO 10324, and in ANSI/NISO Z39.56-1996, Serial Item and Contribution Identifier (SICI). The committee determined that because the goals of SICI are quite different from the goals of a standard for holdings statements, punctuation could not always be identical. In resolving conflicts between the punctuation of ISO 10324 and the U.S. standards Z39.44 and Z39.57, the committee chose to follow the punctuation of the U.S. standards. SC AL based its decisions on common sense and on what would least affect users.

Relationship Between a NISO Holdings Standard and the USMARC Format for Holdings Data

Like all MARC formats, the USMARC Format for Holdings Data serves as a communications format for data, not a display format. The NISO standard specifies the content standards for holdings statements, while the MARC holdings format provides the structure for holdings records. SC AL frequently checked definitions and coding in the USMARC Format for Holdings Data, and considered the impact of changes on that format. The committee adopted the MARC holdings format list of codes for physical form designator for use in this standard and recommended relevant changes to the MARC holdings format.

Relationship Between NISO and ISO Holdings Standards

During its September 1995 meeting, SC AL members reviewed ISO 10324, the international standard for summary level holdings statements. The committee paid significant attention to ISO 10324 because, whenever possible, NISO supports harmonization with, or adoption of, international standards. The committee chose to take the ISO standard, rather than the 1991 draft of Z39.71, the starting point for the 1999 revision of Z39.71, which was the basis for this 2006 maintenance revision.

Multiple Versions of a Title

SC AL considered the long-standing issue of how to handle multiple versions of a single title (for example, a title issued in paper and microform, as a long-playing recording and on a compact disc, and in paper and online). Should each version be cataloged on a separate bibliographic record, or should all versions be cataloged on one record? The increase in electronic publications has intensified the debate about multiple versions. The conflict today is essentially a bibliographic dilemma and therefore outside the scope of this standard. SC AL has created a holdings standard that can accommodate a variety of cataloging techniques.

It is up to each library or group to determine the rules by which it represents bibliographic data. Holdings statements are then attached to the resulting bibliographic record or records.

Two Options for the Extent of Holdings Area

The Extent of Holdings Area has been made more flexible in Z39.71. First, a detailed level holdings statement (level 4) may end with a hyphen: an “open” holdings statement. This allows a detailed holdings statement that does not require updating each time a new unit is received.

Second, Z39.71 allows a mixed-level holdings statement with part at the summary level and part at the detailed level. This supports institutions that cannot create fully detailed holdings statements for their earlier volumes but have full information for recent volumes. It also accommodates institutions that built holdings statements starting with information from Z39.42 summary-level statements, but now maintain detailed information.

Reaffirmation

This standard was originally balloted by the NISO Voting Members from October 29, 1997 to January 31, 1998 and approved by ANSI on March 26, 1999. Following its systematic review in 2005, it was decided to issue this maintenance revision to address some comments and make minor corrections. The maintenance revision was balloted by NISO Voting Members from April 3, 2006 to July 31, 2006 and was approved by ANSI on October 6, 2006. The 2006 version was reaffirmed by NISO voting members on January 14, 2011 and by ANSI on March 15, 2011.

Suggestions for improving this standard are welcome. They should be sent to the National Information Standards Organization, 3600 Clipper Mill Road, Suite 302, Baltimore, MD 21211.

NISO Voting Members

At the time NISO balloted this standard in 2006, the following organizations and their representatives were voting members:

3M

Susan Boettcher, Roger D. Larson (Alt)

American Association of Law Libraries

Robert L. Oakley, Mary Alice Baish (Alt)

American Chemical Society

Matthew Toussant

American Library Association

Betty Landesman

American Society for Information Science and Technology (ASIS&T)

Gail Thornburg

American Society of Indexers

Judith Gibbs

ARMA International

William Millican

Armed Forces Medical Library

Diane Zehnpfennig, Emily Court (Alt)

Art Libraries Society of North America (ARLIS/NA)

Pat Fragola

Association for Information and Image Management (AIIM)

Betsy A. Fanning

Association of Information and Dissemination Centers (ASIDIC)

Drucilla Ekwurzel

Association of Jewish Libraries

Caroline R. Miller, Elizabeth Vernon (Alt)

Association of Research Libraries

Duane E. Webster, Julia Blixrud (Alt)

Auto-Graphics, Inc.

Ruth Castillo, Paul Cope (Alt)

Baker Robbins & Company

Diane Carlisle

Barnes & Noble, Inc.

Douglas Cheney

Book Industry Communication

Brian Green

California Digital Library

Daniel Greenstein, John Kunze (Alt)

Ithaka/JSTOR/ARTstor

Evan Owens, Bruce Heterick (Alt)

John Wiley & Sons, Inc.

Clifford Morgan

Library Binding Institute

Debra Nolan

The Library Corporation

Mark Wilson, Wayne Hicks (Alt)

Library of Congress

Sally H. McCallum

Los Alamos National Laboratory

Richard E. Luce

Lucent Technologies

M.E. Brennan

Medical Library Association

Leopoldo Montoya, Carla J. Funk (Alt)

MINITEX

Cecelia Boone, William DeJohn (Alt)

Modern Language Association

Daniel Bokser, B. Chen (Alt)

MuseGlobal, Inc.

Kate Noerr, Clifford Hammond (Alt)

Music Library Association

Mark McKnight, David Sommerfield (Alt)

National Agricultural Library

Eleanor G. Frierson, Gary K. McCone (Alt)

National Archives and Records

Administration

Nancy Allard

National Library of Medicine

Barbara Rapp, Betsy L. Humphreys (Alt)

National Security Agency

Kate Dolan

NFAIS

Marjorie Hlava

OCLC Online Computer Library Center

Thomas Hickey

Paratext

Robert Asleson, Eric Calaluca (Alt)

Cambridge Information Group

Gary Aiello, Matthew Dunie (Alt)

Checkpoint Systems, Inc.

Douglas Karp, Frank Palazzo (Alt)

College Center for Library Automation (CCLA)

Susan Campbell, Ann Armbrister (Alt)

Colorado State Library

Steve Wrede, Gene Hainer (Alt)

Copyright Clearance Center

Heather Reid, Tracey Armstrong (Alt)

CrossRef

Chuck Koscher, Edward Pentz (Alt)

DAISY Consortium

George Kerscher, Markus Gylling (Alt)

EBSCO Information Services

Gary Coker, Oliver Pesch (Alt)

Elsevier

Paul Mostert

Endeavor Information Systems, Inc.

Sara Randall, Shelley Hostetler (Alt)

Ex Libris, Inc

Susan Stearns, Ted Koppel (Alt)

Extensity

Eric Conderaerts, Eloise Sullivan (Alt)

Factiva

Trish Yancey, Dave Clarke (Alt)

Fretwell-Downing Informatics

Robin Murray

H.W. Wilson Company

Patricia Kuhr

Helsinki University Library

Juha Hakala

Index Data

Sebastian Hammer, David Dorman (Alt)

Inera Inc.

Bruce Rosenblum

INFLIBNET Centre

T A V Murthy, Rajesh Chandrakar (Alt)

Infotrieve

Jan Peterson

Innodata Isogen, Inc.

Carolyn Muzyka

Polaris Library Systems

Candy Zemon, Paul Huf (Alt)

ProQuest Information and Learning

Christopher Rennie, Carol Brent (Alt)

Recording Industry Association of America

Bruce Block, Carlos Garza (Alt)

Ringgold, Inc.

Ralph Shoffner, Donald Chvatal (Alt)

RLG

Lennie Stovel

SAGE Publications

Carol Richman, Richard Fidczuk (Alt)

Serials Solutions, Inc.

Michael Showalter, Peter McCracken (Alt)

SirsiDynix

Greg Hathorn, Slavko Manojlovich (Alt)

Society for Technical Communication (STC)

Frederick O'Hara, Annette Reilly (Alt)

Society of American Archivists

Lisa Weber

Special Libraries Association (SLA)

Julie-Mae Stanley

Standards Australia

Agnes Simai, Kerry Blinco (Alt)

Swets Information Services

Tina Feick, William Hoffman (Alt)

TAGSYS, Inc.

Alastair McArthur, Stacy Betts (Alt)

Talis Information Ltd

Terry Willan, Ian Davis (Alt)

Thomson Gale

Katherine Gruber, Justine Carson (Alt)

Thomson Scientific

James Pringle, Carolyn Finn (Alt)

Triangle Research Libraries Network

Mona C. Coutts

U.S. Department of Defense, DTIC (Defense Technical Information Center)

Richard Evans, Jane L. Cohen (Alt)

U.S. DOE, Office of Scientific & Technical Information

Ralph Scott, Karen Spence (Alt)

Innovative Interfaces, Inc.
Gerald M. Kline, Betsy Graham (Alt)

The International DOI Foundation
Norman Paskin

U.S. Government Printing Office
Judith Russell, T.C. Evans (Alt)

NISO Board of Directors

At the time NISO approved this standard in 2006, the following individuals served on its Board of Directors:

Carl Grant, Chair
VTLS, Inc.

Robin Murray, Vice Chair / Chair Elect
Fretwell-Downing Informatics

Jan Peterson, Immediate Past Chair
Infotrieve

Winston Tabb, Treasurer
Johns Hopkins University

Patricia Stevens, Interim Executive Director / Secretary
NISO

Directors

Nancy Davenport
Council on Library and Information Resources

Lorcan Dempsey
OCLC Online Computer Library Center

Michael Jensen
National Academies Press

Chuck Koscher
CrossRef

James Neal
Columbia University

Oliver Pesch
EBSCO Information Services

Bruce Rosenblum
INERA, Inc.

Standards Committee AL

NISO Standards Committee AL on Holdings Statements for Bibliographic Items, which developed the 1999 version of this standard, had the following members:

Martha Hruska, Co-chair
University of Florida

Ellen C. Rappaport, Co-chair
Albany Law School

Marjorie E. Bloss
Center for Research Libraries

John Espley
VTLS, Inc.

Helen E. Gbala
Ameritech Library Services
Rebecca S. Guenther
Library of Congress

Elaine Henjum
Florida Center for Library Automation

Myrtle Myers
Online Computer Library Center, Inc.

Suzanne L. Thomas
University of Pittsburgh

Sally McCallum (Library of Congress) provided invaluable help regarding the ISO standard and the MARC format.

Rebecca Guenther and Leslie Hawkins (Library of Congress) developed this maintenance revision based on comments from the reaffirmation ballot.

ANSI/NISO Z39.71-2006 (R2011) Review Group Voting Pool

At the time this standard was reaffirmed in 2011, the following were members of the ANSI/NISO Z39.71-2006 (R2011) Review Voting Pool. NISO approval of this Standard does not necessarily imply that all Voting Members voted for its approval.

American Library Association (ALA)

Cindy Heper

Association of Research Libraries (ARL)

Julia Blixrud

Ex Libris, Inc.

Nettie Lagace

INFLIBNET Centre

Rajesh Chandrakar

Innovative Interfaces, Inc.

Betsy Graham

ITHAKA/JSTOR/Portico

Amy Kirchhoff

Library of Congress

John Zagas

Minitex

Cecelia Boone

Music Library Association

Mark McKnight

National Federation of Advanced Information Services

Marjorie Hlava

National Library of Medicine (NLM)

Barbara Rapp

National Archives and Records Administration

Marilyn Redman

Association of Information & Dissemination Centers (ASIDIC)

Drucilla Ekwurzel

Auto-Graphics, Inc.

Mary Jackson

Cengage Learning

Kenneth Brooks

EBSCO Information Services

Oliver Pesch

Oxford University Press

Richard Gedy

Acknowledgement

NISO standards are collaborative documents that draw on the experience and contributions of many people. Standards Committee AL would like to recognize the work of the late Glyn T. Evans who chaired the committee that wrote the first ANSI holdings standard, Z39.42.

Trademarks, Services Marks

Wherever used in this standard, all terms that are trademarks or service marks are and remain the property of their respective owners.

Holdings Statements for Bibliographic Items

1 Scope and Purpose

1.1 Scope

1.1.1 Display Requirements

This standard specifies display requirements for holdings statements for bibliographic items to promote consistency in the communication and exchange of holdings information. It applies to holdings statements for bibliographic items in any physical or electronic medium. It also applies to both manual and automated means of recording holdings.

1.1.2 Data Elements

This standard identifies and defines the data elements for holdings statements of bibliographic items appropriate for listings of holdings in one or more libraries or institutions. It specifies which data areas and data elements must be included in the holdings statement. It does not prescribe the sequence in which data areas are to be displayed in a holdings statement. It specifies the content, sequence, and format of data elements within data areas.

This standard is independent of cataloging rule systems. The standard specifies neither how the data elements should be represented in a machine-readable data format, nor the medium(s) employed for storage, display, or transfer of the holdings statements.

1.1.3 Holdings Statement Linkage

This standard requires that the holdings statement be linked to an identification of the bibliographic item to which the statement pertains; however, the method of identifying the bibliographic item is excluded from the standard.

1.2 Principles

1.2.1 Levels of Specificity

This standard defines holdings statements at four levels of specificity. The determination of which level to use is a local decision. Institutions have the option of recording at each of the four levels, depending on the circumstances and the need. The levels are described below and shall contain, as a minimum, the indicated areas. Table 3.2 in section 3 summarizes this information. The four levels of specificity are as follows:

Level 1: Item Identification Data Area and Location Data Area.

Level 2: Level 1 information plus Date of Report Area. Optionally, a Level 2 statement may include General Holdings Area data: physical form of publication, completeness of holdings, acquisition policy, retention policy, and local notes.

Level 3: Required Level 2 information plus the Extent of Holdings Data Area, for basic bibliographic units, supplements, and/or indexes. Optionally, a Level 3 statement may include General Holdings Area data.

Level 4: Required Level 2 information plus the Extent of Holdings Data Area, recorded at the detailed level, for basic bibliographic units, supplements, and/or indexes. Optionally, a Level 4 statement may include General Holdings Area data.

1.2.2 Identification of Data Elements

This standard provides for the identification of data elements by the use of punctuation and a prescribed sequence of elements within a data area. It does not require that the significance of sequence and punctuation be consistent from area to area.

1.2.3 Optional Data Area or Element

The absence of an optional data area or element does not necessarily imply the absence of those characteristics. The presence of an optional data area or element does not necessarily imply the completeness of the data recorded. For example, the absence of the Extent of Holdings Data Area does not necessarily signify the completeness of the bibliographic item held.

1.2.4 Pieces Held

When the extent of holdings is explicitly recorded, this standard requires the recording of those pieces held rather than of those pieces not held. However, bibliographic items that are lacking may be recorded in the Holdings Note Area or in a specific extent note.

1.2.5 Number of Locations and Copies

Holdings statements may include multiple locations and multiple copies within a single holdings statement. Holdings may be recorded either as a copy-specific statement, reflecting the holdings of one copy and one location, or as a composite statement, reflecting holdings of more than one copy, or at more than one location or sublocation.

1.2.6 Form

Holdings statements may be recorded in itemized or compressed form.

1.2.7 Cataloging System

The provisions of this standard are independent of any particular cataloging system or code (for example, the Anglo-American Cataloguing Rules, or International Standard Bibliographic Description), and of any machine-readable format (for example, USMARC Format for Holdings Data). Holdings statements formulated under this standard may reflect varying descriptions of a bibliographic item that result from the application of different cataloging codes or policies.

1.2.8 Relationship of Holdings Statement to Bibliographic Item

A holdings statement shall reflect only the bibliographic item represented in the Item Identification Area. However, the standard does allow the recording of holdings of related bibliographic entities in a single holdings statement so long as the conventions for bibliographic description being applied allow the inclusion of all parts within one bibliographic record (for example, supplements or indexes recorded as notes on the main bibliographic record).

1.2.9 Formats

If an institution holds a bibliographic item in different formats, i.e. physical and/or electronic formats, the number of holdings statements is determined by the manner in which the various formats are described or identified. If the different media are separately described or identified by the item identifier, separate holdings statements are applied to the appropriate item identifier. If the different media are described or identified with only one item identifier, holdings statements for the different media may be linked to that single item identifier.

1.3 References

The following documents have a direct and immediate bearing on bibliographic holdings:

Anglo-American Cataloguing Rules. Chicago: American Library Association, Current edition and revisions. Appendix B, Abbreviations.

ANSI X3.43-1986 (R1992). Local Time of the Day for Information Interchange, Representations of. New York: American National Standards Institute, 1992.

ANSI X3.30-1997. Representation of Date for Information Interchange. New York: American National Standards Institute, 1998.

ANSI Z39.44-1986. Serial Holdings Statements. New York: American National Standards Institute, 1986.

ANSI/NISO Z39.57-1989 (R1995). Holdings Statements for Non-Serial Items. Bethesda, MD: NISO Press, 1995.

ISO 832:1994. Information and documentation — Bibliographic description and references — Rules for the abbreviation of bibliographic terms. Geneva, Switzerland: International Organization for Standardization, 1994.

ISO 10324:1997. Information and documentation — Holdings statements — Summary level. Geneva, Switzerland: International Organization for Standardization, 1997.

MARC 21 Format for Bibliographic Data: including Guidelines for Content Designation. Washington: Cataloging Distribution Service, Library of Congress, 1999 and updates.

MARC 21 Format for Holdings Data, Including Guidelines for Content Designation Washington: Cataloging Distribution Service, Library of Congress, 2000 and updates.

2 Definitions

The following terms, as used in this standard, have the meanings indicated.

accompanying material. See *secondary bibliographic unit*.

acquisition status designator. Data element in the General Holdings Area indicating whether a bibliographic unit has been or is being acquired by the recording institution.

adjacent display. Holdings display in which each piece of enumeration is followed immediately by the corresponding chronology. See also *separate display*.

alphabetic designation. See *enumeration*.

alternative enumeration. Additional, secondary enumeration assigned to some multipart units or serial units. Note: Alternative enumeration provides a continuously numbered sequence in addition to hierarchical designations. For example, “v.3:pt.1=fasc.7” reflects a primary enumeration of volumes and parts, and an alternative enumeration of fascicles.

area. See *data area*.

basic bibliographic unit. Primary bibliographic unit for which holdings are being recorded. Note: Examples of basic bibliographic units are a book, a multivolume encyclopedia, a computer file, a map, a score, a set of orchestral parts, and a publication with separately titled constituent parts. A bibliographic entity composed of several bibliographic units where one does not predominate is considered to have multiple basic bibliographic units; for example, a multimedia kit or a musical score and parts. See also *secondary bibliographic unit*; *bibliographic unit*.

bibliographic item. Bibliographic unit or set of bibliographic units in any physical form, either serial or non-serial, that is published, issued or treated as an entity, and that forms the basis for a single bibliographic description. Note: In this standard, the bibliographic entity is that which is referred to by the item identifier. Some bibliographic items consist of one or more basic bibliographic units; others consist of a basic bibliographic unit and one or more secondary bibliographic units. *Examples of bibliographic items are:* a single book, a set of maps, a musical score with parts, a compact digital disk, a multimedia kit, a manuscript collection, a microform journal, a videotape with an

accompanying pamphlet, a loose-leaf publication together with its serially-issued updates, a journal, a newspaper.

bibliographic unit. Discrete bibliographic entity that constitutes either the whole or a part of the bibliographic item. Note: A bibliographic unit may be a basic bibliographic unit, or a secondary bibliographic unit; it may be a single-part unit, a multipart unit, or a serial unit. A bibliographic unit may or may not correspond to a physical unit. It is frequently separately titled and generally not sequentially ordered with respect to any other bibliographic unit within the bibliographic item. Each determination of what constitutes a bibliographic unit is largely dependent on the rules for bibliographic description being applied. *Examples* of bibliographic units are: a single volume, a serial publication, a multivolume monograph, an accompanying pamphlet, a videocassette, an accompanying sound recording, a set of instrument parts, a set of serially-issued updates.

call number. Data element in the Location Data Area indicating the physical location of a bibliographic item or bibliographic unit in a collection. Note: For the purposes of this standard, *sublocation identifier* and *copy identifier* that may accompany a call number are considered separate data elements.

caption. Word, phrase, or abbreviation indicating the parts into which a multipart unit or serial unit has been divided by the publisher. Note: A caption ordinarily appears on the piece immediately preceding the enumeration, for example, "volume," "Band," "Heft," "part," "number," "tome," "side" (for a sound recording disk), although it may also appear following it (for example, 1. Teil), or surrounding it (for example, ti 17 chan).

cardinal number. A number that indicates how many items there are in a set. *Examples:* one, two, 1, 2, etc.

ceased. See *received and completed or ceased*.

chronology. Data element in the Extent of Holdings Area that indicates the date(s) used by the publisher on a serial unit or multipart unit to help identify it and/or indicate when it was issued. Note: The chronology may reflect the date of coverage, publication, copyright, or printing.

closed holdings statement. A range of enumeration and/or chronology that ends with the enumeration and/or chronology of the last issue held, not with a hyphen. See also *open-ended holdings*.

combined numbering. The use of a combined numbering scheme when the publisher has chosen to publish two or more parts as one, for example, "number 3/4."

completeness designator. Data element in the General Holdings Area indicating how much of the published part of a serial unit or multipart unit is held by an institution.

composite holdings statement. Holdings statement consisting of information about (a) two or more copies of a bibliographic item or bibliographic unit held at a single location or sublocation, or (b) copies at two or more sublocations, consolidated into a single statement. See also *copy-specific holdings statement*.

compress. To record a range of holdings in terms of the enumeration and/or chronology of only the first and last parts held. See also *itemize*.

condense. See *compress*.

copy identifier. Data element in the Location Data Area indicating the specific copy of a bibliographic unit for which holdings are being recorded.

copy-specific holdings statement. Holdings statement for a single copy of a bibliographic unit held at a single location. See also *composite holdings statement*.

currently received. Newly published pieces routinely being received at the time the holdings report is prepared.

data area. Defined segment of the holdings statement made up of one or more data elements.

data element. Basic unit of the identifiable and definable data of the holdings statement.

date information. See *chronology*.

date of coverage. Period or date designated by the publisher on a bibliographic unit to define the chronological limits of the content of the unit.

date of printing. Date of impression and/or production of a bibliographic unit as designated by the publisher on the unit.

date of publication. Date of issue of a bibliographic unit as used by a publisher on the unit.

date of reprinting. Date of a subsequent reproduction of a previously published bibliographic unit as used by the publisher on the reproduction.

date of report area. Data area that gives the date on which the holdings statement was created or last updated, thus indicating the currency of the information.

detailed holdings statement. That 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 held by a particular institution. See also *summary holdings statement*.

display. Rendering of data in a form directly interpretable by a human.

element. See *data element*.

enumeration. Data element in the Extent of Holdings Area that indicates the sequential numeric and/or alphabetic designation used by a publisher on a multipart or serial unit to identify the individual bibliographic or physical parts and to show the relationship of each part to the bibliographic unit as a whole.

extent of holdings area. Data area conveying the extent of unit, the name of unit, enumeration, and/or chronology (whichever is appropriate) about the bibliographic unit for which holdings are being recorded.

extent of unit. Data element in the Extent of Holdings Area containing specific information about the number of parts of a bibliographic unit lacking sequential designations held by the recording institution.

field. See *data element*.

gap. Break or discontinuity in the holdings of the published parts of a multipart unit or serial unit. A gap may reflect a part not yet issued, a part issued but not yet received, or a part about which there is doubt about whether it has been issued. See also *non-gap break*.

general holdings area. Data area conveying information concerning the general completeness, acquisition policy, and retention policy of the holdings of a unit.

hierarchical enumeration. Enumeration logically divided into two or more vertical levels of organization. Note: For example, a work may be divided into volumes and, within each volume, parts: v.1,pt.1-4,v.2,pt.1-4, etc.

hierarchical level. The relative position of one or more data elements to other data elements in the hierarchical structure of a system. Such relative position implies an upward or downward relationship among the data elements in the structure.

holdings note area. Data area containing free-text information, generally of a local nature. Note: The Holdings Note Area may include information not recorded elsewhere in the holdings statement or in the corresponding bibliographic record that amplifies or aids in the interpretation of the holdings statement.

holdings statement. Record of the location(s) of a specific bibliographic item and, optionally, the units of that bibliographic item held at a location. Note: For the purposes of this standard, a holdings statement reflects only items actually held now, not items no longer held nor items expected to be acquired. The holdings statement can be openended.

index. A systematic guide to the contents contained in or concepts derived from any work or group of works, comprising a series of entries arranged in alphabetical, chronological, numerical or other chosen order and with references or indicators to show where each indexed object or concept is located. For purposes of this standard, a separately described index (that is, one having its own bibliographic record and item identifier) is a basic bibliographic unit; an index described in the record for the main work that is not enumerated as part of the basic bibliographic unit is considered a secondary bibliographic unit.

institution identifier. Data element in the Location Data Area indicating an institution such as a library, organization, collection, consortium, a physical site.

item identification area. Data area containing the identification of the bibliographic item for which holdings are being recorded.

item identifier. Data element that uniquely identifies the bibliographic item for which holdings are being recorded. Note: The item identifier may consist of such information as an International Standard Serial Number, International Standard Book Number, a CODEN, a record control number, or a partial or full bibliographic description.

itemize. To record, explicitly and without compression, the holdings of each part of a bibliographic unit held. See also *compress*.

lacking. Not held.

level of specificity. Degree of detail or precision of a holdings statement. This standard defines four levels of specificity for recording the bibliographic units held by an institution, ranging from Level 1 for the least detailed to Level 4 for the most detailed.

location data area. Data area containing information that identifies the institution, physical site, or collection at which a bibliographic unit is located or from which it may be available, along with any sublocation, copy identifier, and shelving location.

mandatory. Required to be included in a holdings statement formulated according to this standard.

mandatory if applicable. Required to be included in a holdings statement formulated according to this standard, if it is appropriate for the bibliographic item being described.

mixed holdings statement. A holdings statement with a combination of summary and detailed levels of enumeration and/or chronology data.

monograph. See *non-serial unit*.

monographic series. A group of separate bibliographic items related to one another by the fact that each item bears, in addition to its own title proper, a collective title applying to the group as a whole. The individual items may or may not be numbered.

monographic set. See *multivolume monograph*.

multipart unit. Basic bibliographic unit or secondary bibliographic unit that is composed of a number of separate physical units that are complete or intended to be complete in a finite number of parts. Note: For example, a multivolume monograph, a map set. A multipart unit may be in any physical form or medium. See also *single-part unit*; *serial unit*.

multivolume monograph. A monograph with more than one volume. Also called "monographic set." See *non-serial unit*; *multipart unit*.

name of unit. Data element in the Extent of Holdings Area that indicates the name or title of a bibliographic unit appearing on it or formulated by the cataloger for the purpose of identifying it.

non-calendar year. A period of given months of publication that does not correspond to the Gregorian calendar year (January to December). Fiscal years or academic years are examples of non-calendar years.

non-gap break. Break between the recorded parts of a multipart unit or serial unit caused by unpublished parts or discontinuity in the publisher's sequential designations.

non-serial unit. Bibliographic unit that is a single-part unit or a multipart unit, and is intended to be completed. Note: A non-serial unit may be in any physical form or medium. See also *serial unit*.

not applicable. Not appropriate for the item being described or not having meaning at the level of specificity used in the holdings statement.

not currently received. Newly published pieces not being received, whatever the reason, by the recording location. "Not currently received" is not the same as "Received and complete or ceased."

not repeatable. May be used only once in a holdings statement, or within a data area.

note area. See *Holdings Note Area*.

numbering. See *enumeration*.

obsolete. Having a defined value used in an earlier standard but not in the current one. "An obsolete content designator may continue to appear in records created prior to the date it was made obsolete. Obsolete content designators are not used in new records." [*The USMARC Formats: Background and Principles*, MARBI, 1996.]

open-ended holdings statement. A range of enumeration and/or chronology that ends with a hyphen. An open-ended holdings statement indicates that the institution is receiving the title on an ongoing basis. Such a holdings statement is permitted for Level 3 and Level 4 holdings statements. See also *closed holdings statement*.

optional. May or may not be included in a holdings statement formulated according to this standard, depending upon the needs of the recording agency.

ordinal number. A number indicating position in a series or order. *Examples:* first, second, 1st, 2nd, etc.

physical form designator. Data element in the General Holdings Area that indicates the physical medium or type of material of the bibliographic unit. Note: *Examples* of physical form designators are: microform, microfiche, videorecording, text, Braille, binder, paperback, map, computer file, sound recording, model.

physical part. See *piece*.

physical piece. See *piece*.

physical unit. See *piece*.

piece. A single part, often a physical part, of a bibliographic unit.

punctuation. Non-numeric, nonalphabetic characters that carry specific meaning and serve as separators.

range. The extent or scope of holdings, expressed in terms of enumeration or chronological data.

received and complete or ceased. All parts of the publication have been published or the publication is no longer issued (has ceased publication).

related bibliographic unit. See *secondary bibliographic unit*.

repeatable. A data element that may be used more than once in a holdings statement, or within a data area.

retention designator. Data element in the General Holdings Area denoting the period for which the bibliographic units are retained or held by the recording institution.

secondary bibliographic unit. Discrete bibliographic unit that is supplementary or complementary to a basic bibliographic unit or to another secondary bibliographic unit. Note: *Examples* of secondary bibliographic units are a map in a pocket inside a book, a supplement to a newspaper, a separate