GUIDELINES FOR CREATING LOCAL HOLDINGS RECORDS
IN THE OCLC UNION LIST

INTRODUCTION

The current standards are the Z39.71, Holdings Statements for Bibliographic Items prepared by the National Information Standards Organization (U.S.) and the MARC 21 Format for Holdings Data prepared by Network Development and MARC Standards Office, Library of Congress, in cooperation with Standards and Support, National Library of Canada. These standards were implemented by OCLC Union List in February 2006. The University of Arkansas Libraries will follow the standards to the extent possible. OCLC has not yet implemented all of the codes and indicators of the standard allowed by the MARC 21 Format for Holdings.

MANUALS AND DOCUMENTATION

1. OCLC DOCUMENTATION: Currently, union listing is performed on the OCLC Connexion Browser; therefore, documents for Browser software must be consulted.

   ❖ OCLC Connexion Browser tutorials are available at: http://www.oclc.org/support/training/connexion/browser/tutorial/

   ❖ Connexion Browser Cataloging Quick Reference is available at: http://www.oclc.org/support/documentation/connexion/browser/cataloging/cnx_br_cat_quick_ref/

   ❖ Primer: MARC 21 Format for Holdings Data (July 2006 version) is available at: http://www.oclc.org/support/documentation/localholdings/primer/holdingsprimer.pdf

   ❖ Local Holdings Maintenance Quick Reference is available at: http://www.oclc.org/support/documentation/localholdings/quickref/

   ❖ Create and Maintain Local Holdings Records is available at: http://www.oclc.org/support/documentation/localholdings/create_maintain_lhrs/

   ❖ OCLC-MARC Local Holding Format Tag Chart (February 2008) is available at: http://www.oclc.org/support/documentation/localholdings/tagchart/holdingstagchart.pdf
   
   This is a condensed version of the OCLC version of the MARC 21 Format for Holdings Data.

   ❖ OCLC Local Holdings Format and Standards is available at: http://www.oclc.org/holdingsformat/en/default.htm

2. OTHER HELPFUL DOCUMENTS:

   ❖ NASIGuide: Serials Holdings is available at: http://www.nasig.org/publications_serialsholdings.cfm
   
   This guide has many helpful examples.
CONSER Guidelines for Input of Caption/Pattern and Holdings Data, Appendix A
Abbreviations for Captions is available at:
http://www.loc.gov/acq/conser/conserhold/Captabbr.htm Use this list to find the correct caption to use in the local holdings record.

CONSER Guidelines for Input of Caption/Pattern and Holdings Data is available at:
http://www.loc.gov/acq/conser/conserhold/guidelinesTOC.html

3. Z39.71, Holdings Statements for Bibliographic Items describes the content for serials holdings data, including punctuation and presentation. Currently, a 2006 revision has been written and will be available after it has been approved. There is a draft print copy of this revision in Room 214-C.

4. MARC 21 Format for Holdings Data describes the holdings communication codes encoding.

A depository print copy of the standard is available in Room 214-C.

It is also available online at:
http://www.loc.gov/marc/holdings/echdhome.html

OCLC IMPLEMENTATION OF MARC 21 FORMAT FOR HOLDINGS

1. In Primer: MARC 21 Format for Holdings Data (p. 8, July 2006), OCLC defines three options for the creation of local holdings records. University Libraries will use Option C, which states:

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

University Libraries will select the OCLC print record to create local holdings records. If there is not print record available, the bibliographic record for another format may be used if the library does not own print holdings for that title.

2. Addition to the format: OCLC has added a Summary field. The function of the Summary field is to allow libraries to present a serial holdings statement which combines the holding of all copies and formats. For example, University Libraries owns 3 copies of the *State of Arkansas consolidated plan annual update*. Three local holdings records were created to document the holdings and locations of each copy; these three records are all linked to the Summary field.


3. Non-functional codes in OCLC MARC21 Holdings Format:

a. 008 13-15, Specific retention codes: As defined by the format, these three codes should allow the automatic display of specific retention notes; such as, Latest two months.
b. 853, first indicator for compressibility and expandability: The format has defined four options for the compression and expansion function for serial holdings. None of the indicators affect the display of local holdings records in WorldCat. Therefore, University Libraries is coding the first indicator as “3” Unknown.

c. 863, second indicator for compressibility and expandability: The format has defined four options for the compression and expansion function for serial holdings. None of the indicators affect the display of local holdings records in WorldCat. Therefore, University Libraries is coding the first indicator as blank, No information provided.

LOCAL POLICY DECISIONS FOR THE CREATION OF LOCAL HOLDINGS RECORDS

University Libraries at the University of Arkansas, Fayetteville are a member of WEST: Western Regional Storage Trust. ([http://www.cdlib.org/services/west/](http://www.cdlib.org/services/west/)) WEST is a distributed retrospective print journal repository program for research libraries. As a member, the University Libraries has agreed to maintain the holdings for selected titles. Selected titles have a local note to identify the volumes to be preserved. If this 946 note, WEST PRINT ARCHIVE: DO NOT WITHDRAW OR DISCARD VOLUMES, is present in the bib record, then an AFUSP lhr must also be created or edited. Refer to procedure under WEST LHRs tab in the LibGuide. Current local policy includes duplicate AFU and AFUSP local holdings records for the selected WEST titles.

1. Summary field:

   a. The field will contain the summary of holdings of all copies, branches, and formats (except the Law Library). Supplements on microform or computer disks are also included in the summary field.

   b. The Law Library is in the process of changing OCLC symbols from AFUD to RG2A. Therefore, holdings for Law Library serials will not be included in the Summary field when both libraries have volumes for the same serial title.

   c. Microform option: Local holdings records for each microfiche and/or microfilm will be attached to the print edition serial record. Each format will require a separate lhr. That is, if we have print holdings, microfilm holdings, and microfiche holdings, three lhrs are required: one for the print, one for the microfilm, and one for the microfiche. The Summary will be the total of all three formats.

   d. Most summary holdings will be straight forward; that is, the same as the 863 field information. However, if there are holdings in Ref, Ark Coll, Fine Arts, Physics or Chemistry, these branches will have a separate lhr and the summary will reflect the holdings of Main and the branch.

   e. In the summary field, use captions before each number. For example: v.1-v.15,v.17-v.25
f. Frequently, the numbers also have a year or year and month as part of the enumeration scheme. The chronological information is added between parentheses in the summary statement. For example:


2. Encoding Level: Codes 2, 3, 4, and m may be assigned to the Encoding level in the Leader field.

Report holdings at level 3 when:

- volumes would need to be retrieved from LISA or branch libraries in order to determine issue numbers or months of missing pieces; or,
- if there are other circumstances which require extensive investigation to determine the issue numbers or months to report at Level 4.

Report holdings at Encoding Level 4 when:

- a new serial (except internet serial) set-up is received
- for the new title for a title change
- if (when recataloging or dropping titles) the item, bib or checkin records have the information
- if the volumes can be easily retrieved to check all levels of enumeration (do not request volumes from LISA or branch libraries
- clarity is the guideline in summary statements, use whatever statement is clear, such as, a gap within months might be expressed as 1982:Jan., Mar.

a. CODE 2 is required when the item is not retained permanently and the retention note is entered in $z in the 852 field z and in the 008 field. General retention policy [12] code must be 6.

b. CODE 3 is used when the volumes are retained and the holdings are recorded in the 853/863 paired fields. Holdings are reported at the summary level; or the primary enumeration level. Only volumes, not parts, numbers or issues, are reported. If there is a chronology, only years, not months, seasons, or days, are reported. The first indicator of the 863 field must be 3.

c. CODE 4 is used when all of the enumeration levels are reported in the 853/863 fields. For example, for an annual publication, the encoding level will be 4. There is only one level of enumeration to report and; therefore, all levels have been reported. The first indicator of the 863 field must be 4.

d. CODE m (mixed level) is used when more than one 863 field is present and one or more 863 fields are reported at level 3 and one or more 863 fields are reported at level 4.
3. 007 field:

The 007 field contains two codes for the material type. UAF will enter the material type which consists of the first two characters: category of resource and specific material description. Other codes in this field may be accepted or changed to not coded or unknown if a local holdings record will not validate.

Category of resource: Although, in theory, any category of resource could be serial in nature, the most common categories collected at UAF libraries are:

- t (Text)
- c (Electronic resource)
- h (Microform)
- s (Sound recording)

Specific material description: Specific codes are selected as they relate to the category of resource.

- t Text: a = Regular print is the most common choice for UAF serials.
- c (Electronic resource): o - Optical disc for CD-ROM and DVD-ROM holdings is the most common choice for UAF serials at this time. j - Magnetic disk is used for diskettes. UAF has not created lhrs for electronic journals (r Remote).
- h (Microform): d - Microfilm reel and e – Microfiche are the most common microform serials at UAF. A few serials are in the g – Microopaque format.
- s (Sound recording): s sound recording is the most common choice for UAF serials at this time.

4. 008 field:

The code for Receipt or acquisition [06] must be entered correctly. The code will be either: 4 currently received or 5 not currently received

The code for General retention policy [12] must be entered correctly. The code will be either: 8 Permanently or 6 For a limited period for UAF Libraries. The default code is 8. Remember to change to code 6 if we do not permanently retain the serial issues.

Codes Lending Policy [20] and Reproduction Policy [21] are important to ILL departments. At this time, we accept the default code u Unknown for both lending and reproduction policy.

5. 852 field:

Enter the correct four letter OCLC location code in $b of the 852 field. The default values for $a and $b are:
AFUA is the "main" location code. If the location is not "main", enter the correct code from the following list:

AFUB = chem
AFUC = fal
AFUE = lrc
AFUF = phys
AFUH = md
AFUI = spco
AFUJ = spco (with LC call numbers- rare)
AFUK = ref
AFUM = govrf
AFUO = usdoc
AFUP = arkco

With MARC 21 Holdings Format, call numbers may be entered in $h and $i as in this example:
$h Z673 $i .A8. However, because our ILL department checks InfoLinks for call numbers, UAF Libraries will not enter the call number in the 852 field. If a call number is in a local holdings record, it is not necessary to delete the call number unless the call number is no longer correct.

The microform lhrs are in this category. When editing microforms, delete the Microfilm or Microfiche and the call number when changing AFUH to AFUA.

Enter descriptive notes in $z to clarify the format Electronic Resource. Examples are:
CD-ROM suppl. CD-ROM, DVD, DVD suppl.

[is diskette format called?]
Enter limited retention notes in $z, the public note field. The list of approved limited retention notes follows:

$z Current issues in PERIODICALS ROOM. (or another location)
$z Current issues retained until microfilm (or microfiche) received.
$z Current issues retained until microfilmed.
$z Current issues retained until microfilmed, see A 630.5 F22.
(or other call number)
$z Retains current 2 months only
$z Retains current 3 months only
$z Retains current 6 months only
$z Retains latest (or current) year only
$z Retains latest (or current) 2 years only
$z Retains latest (or current) 3 years only
$z Retains latest (or current) 5 years only
$z Retains latest edition only
$z Retains latest 2 editions only
$z Latest edition in REFERENCE (or other location)
NOTE: Use the word "current" for titles published more frequently than annually. Use the word "latest" for titles published annually or less frequently.

Incomplete holdings note. The following note was previously used by the Arkansas Union List member libraries.

For numerous gaps, enter $z Holdings incomplete.

Use this note sparingly. The Arkansas Union List guidelines have not yet been published and this may no longer be an effective way to report holdings information.

6. 853/863 paired fields. These fields must be used together. Also note that:
   - The 1st indicator of the 863 field must match Leader Encoding level
   - Use abbreviation list for caption subfield/
   - $z used to record a note which applies only to a particular 853/863 holdings statement
   - do not need to use foreign abbreviations if we have used English.
   - Alternative numbering system:— Use what we have used and do not try to report both.

6a and 6b will contain the most common examples, REFER TO OTHER MANUALS FOR MORE EXAMPLES.

6a. 853 field:

Field 853 contains the caption and patterns, basic bibliographic unit information and coding. This field is always used with the 863 field (enumeration and chronology, basic bibliographic unit.)

Note that, currently, the first and second indicators do not expand or compress the information contained in the lhr.

Code the indicators with the defaults:
   - First indicator – 3 Unknown
   - Second indicator  3 Captions unverified.; all levels may not be present
   - $8 Field link and sequence number must be present to link to the information in the 863 field.
   - Numbers are used to link the fields. For example:

   853 33 $8 1 $a (year)
   853 33 $8 2 $a v. $i (year)

   863 3 $8 1.1 $a 1969-1985
   863 3 $8 2.1 $a 1-10 $i 1986-1995

By using 1 and 1.1 to link the first pair of 853/863 fields, the information is coded to show that from 1969-1985, the year was the first level of enumeration. In the second pair of 853/863 fields, the 2 and 2.1 are linked and show that in 1986 volume numbers were added.
Thus, the first level of enumeration is the volume in $a and the year now functions as the first level of chronology in $i.

While not unknown, it is somewhat rare to encounter a change in the first level of enumeration. The first level of enumeration is the level which is not repeated. The second level will be repeated.

For example, a quarterly:
v.1 no. 1, v.1 no.2, v.1 no.3, v.1 no.4
v.2 no. 1, v.2 no.2, v.2 no.3, v.2 no.4, etc.
The volumes are not repeated; the numbers are repeated.

The first level of chronology may be the year; a second level of chronology is often a month or a season.

For example, a quarterly with a first and second level of chronology
v.1 no.1 (spring 2005), v.1 no.2 (summer 2005), v.1 no.3 (fall 2005), v.1 no. 4 (winter 2005)
v.2 no.1 (spring 2006), v.2 no.2 (summer 2006), etc.

6b. 863 field

Field 863 contains the enumeration and/or chronology of a basic bibliographic unit (issue or volume) in the holdings of the library. This field must be used with the 853 field.

Indicators

First indicator will match the Encoding level [17] in the Leader. Code will be either 3 or 4. Second indicator will be blank (No information provided)

$8 Field link and sequence indicator must be present to link to the information in the 853 field.
Numbers are used to link the fields. For example:

853 33 $8 1 $a (year)
853 33 $8 2 $a v. $i (year)

863 3 $8 1.1 $a 1969-1985
863 3 $8 2.1 $a 1-10 $i 1986-1995

Holdings information is recorded in the enumeration subfields, a-h.

The most commonly used subfields are: $a, $b, $i, $j. Remember that the primary enumeration (which may be numbers or years) will be entered in subfields a; or, a and b. The secondary enumeration will be entered in subfields i or i and j (which is most frequently a chronological designation of years)

For third and fourth level of enumeration within the primary enumeration sequence, third and fourth levels of chronology within the secondary enumeration or alternate numbering
schemes, consult the MARC 21 Holdings Format or the OCLC documentation and check with your supervisor.

$w Break indicator When a gap in the holdings occurs, create separate 863 fields, one 863 field for each gap or break in the holdings. There are two types of breaks: g Gap break and n Nonbreak gap

Code g means that the volume or year was published but the library does not own that volume or year.

Code n means that there is a break in the numbering is due to unpublished parts, lack of continuity in the publisher’s enumeration, etc.; and, the Library does own the entire published run of the serial.

7. 854/864 FIELDS

The 854/864 paired fields are used to record holdings for supplements. UAF Libraries will use the 854/864 to record holdings for supplements. Record the supplement holdings in separate lhrs for computer or microform formats. Indicators and subfields are the same as the indicators and subfields for the 853/863 fields

8. 866 FIELD is a free text field. UAF has many older lhrs which have an 866 field. It is preferable to use the 853/863 paired fields; however, there will be some time when it is not possible to convert the 866 field to the paired 853/863 fields

DO CONVERT when
- There are 15 or fewer gaps
- If an Ark Coll title, convert an 866 field to the 853/863 paired fields

DO NOT convert when:
- Volumes are located in LISA or a branch library; the gaps cannot be verified easily, do not convert the 866.
- numbering system changes 5 times
- numbering system alternates between months and seasons
- when the lhr has a Holdings incomplete note (unless the issues have been retrieved from the shelf for another purpose)

NEWSPAPER HOLDINGS FORMAT

1. Summary field: Enter the years only. Enter the year even if only one issue is held for that year.

2. Leader: Always use code 3 in the encoding level.

3. 007 field: the choices for the first two fixed fields are:
   - ta – print
4. 008 field: Enter the correct code for the Receipt or acquisitions [06]. The code will be either: 4 currently received or 5 not currently received.

5. 852 field: Enter the correct location code in $b. The most common location code for newspapers is AFUA (Main). There may be newspapers in AFUP (arkco) or AFUI (spco). If you are editing and a call number is present, the call number need not be deleted. However, the current policy is not to enter the local call number. When creating a new lhr do not add the call number. Only one note is used with newspapers:

$z Scattered holdings available

6. 866 field: Always use the 866 field for newspaper holdings.

The indicators are always: 37
The $8 is always 0 (zero)
Always add $2 usnp (this indicates that the format is the United States Newspaper Program format).
All holdings are entered in $a. For example:


Specific holdings are always entered in this format:
year:month:day or year:month

Angle brackets always enclose the holdings statement. These are also used to show gaps between years.

A comma followed by a space is used to show gaps within a year span. For example:

<1950:1:3-4:25, 7:2-12:25>

CHOOSING/CHECKING FOR THE CORRECT BIBLIOGRAPHIC RECORD

1. When entering an lhr or correcting one, verify that the correct bibliographic record is retrieved before attaching the lhr.

2. View the bibliographic record in OCLC Connexion Browser or OCLC Connexion Client. If using the Client to search and view serial records, it is possible to move directly to the Browser from the Client when ready to add/edit an lhr.

After finding the correct serial record in the Client, at the Tools menu, click on Launch Local Holdings Maintenance to move to the Browser.

Or, make a permanent button on your toolbar: If you want to make this "Launch Local Holdings Maintenance" a toolbar button, you can go Tools-->Toolbar editor --> and
scroll down until you see an icon that looks like a little piece of paper with a globe on the top left corner. (These seem to be in alphabetical order.) It says: "ToolsLaunchLocalHoldingsMaintenance". Just drag it with your mouse to the toolbar and drop it in.

3. Check the fixed field SrTp (serial type): It should be either blank or “p” (periodical). If the type is "n" (newspaper), DO NOT EDIT OR ADD AN LHR. Place in serial cataloger’s basket.

4. Check the fixed field: Form: This must be blank. If it is not, this is the wrong OCLC record. If further searching does not retrieve the correct record, place in the serials cataloger’s basket.

5. Check the fixed field S/L: This must be 0 (zero). If it is not, this is the wrong OCLC record. If further searching does not retrieve the correct record, place in the serials cataloger’s basket.

6. If the fixed fields are correct, check the 362 field. The volumes and/or dates in your lhr must not exceed the volumes/dates that were published under that title. If the library's holdings begin before or end after the information from the 362 field, then search for a preceding or succeeding title. (This may mean the title needs to be recataloged. Consult the LAT III or the serials cataloger, if necessary.)