The following report was prepared by the Standing Subcommittee on Serials, Series and Continuations at the request of the Standing Subcommittee on Bibliographic Standards and Policy.

The Standards and Guidelines are based on the following documents:


*MARC 21 Format for Holdings Data: Including Guidelines for Content Designation (2000- ), superseding USMARC Format for Holdings Data*;

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Holdings Records in The HOLLIS Catalog

Standards and Guidelines
April 1994
revised December 2003

1. Introduction

1.1 Purpose

This paper supersedes HOLLIS Holdings Specification, issued by the HUL CONSER Advisory Group in May 1984, the Standards and Guidelines Report, June 20, 1986, HOLLIS Holdings Records: Standards and Guidelines, Minimal Level Record Definitions (April 1994, revised July 1994) and any HUL pre-2003 holdings documents. This paper defines basic requirements for prospective and retrospective recording of holdings information in the HOLLIS Catalog.

1.2 Scope

1.2.1 This paper defines the holdings record for use by Harvard libraries for material in any format at four levels of reporting.

1.2.2 This paper requires positive reporting\(^1\) of holdings data. Negative reporting is allowed only for holdings data entered in the alternative display fields, in note fields that are coded not to display in the HOLLIS Catalog, or in the Reproduction Note (843, subfield |m).

1.2.3 This paper identifies data elements relating to holdings, defines data elements and their recording, and specifies data elements that are required for each of four levels of specificity in holdings records.

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1. The expression "positive reporting" is used by HUL to mean reports in appropriate detail of what a unit holds including the identification of any gaps, e.g.,

853 00 |81|av.|bno.
853 00 |82|av.
863 41 |a1.1|a1|b1|wg
863 40 |81.2|a1|b3-4
863 40 |82.1|a2-10

The expression "negative reporting" is used by HUL to mean that a unit summarizes its holdings and details what it lacks, e.g.,

866 |80|av.1-10|zlacks v. 1, no. 2

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1.3 Principles and Guidelines

1.3.1 This paper specifies the data elements necessary to generate holdings statements. It also provides guidelines for recording holdings data.

1.3.2 Four levels of HUL holdings statements are defined. The levels are described below and must contain, as a minimum, the indicated data elements in addition to any HUL-required data field or data (e.g., OWN field) specific to the library system used.

HUL Level 1 corresponds to MARC 21 Format for Holdings Data-defined Level 1 and may be used for reporting holdings of unitary items.

HUL Level 2, 3, and 4 correspond to MARC 21 Format for Holdings Data-defined Level 2, 3, and 4, respectively, and must be used to report holdings of non-unitary items. Beyond this, the determination of which level to use is a local decision.

HUL does not use MARC 21 Format for Holdings Data-defined Level 5.

Holdings Levels as Used by Harvard

Level 1 identifies the holding library and is sufficient for reporting holdings for unitary items. The holding library is identified in MARC 21 field 852.

Level 2, used by HUL to report limited retention (items retained for a limited period), identifies the holding library; fixed field information is coded to specify limited retention. The holding library is identified in MARC 21 field 852 and subfield |z contains a note describing the retention policy.

To the extent possible, the limited retention policy should also be expressed correctly in coded form (e.g., 008 Byte 12: General Retention Policy, and Bytes 13-15: Specific Retention Policy).

The holdings record does not include enumeration/chronology information (variable fields in the range 853-868) unless 853/853X data are used for prediction in Aleph.

Level 3, summary level, identifies the holding library and contains summary (first level) enumeration/chronology information for basic bibliographic unit, supplement(s) and/or index(es).

Level 4, detailed level, identifies the holding library and contains detailed enumeration/chronology information for basic bibliographic unit, supplement(s) and/or index(es).

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Other fields defined by MARC 21 or Harvard University Library as holdings data, e.g., 007, 506, 583, 843, 845, and 852, may be included in holdings records of any level when applicable.

1.3.3 In addition to the four levels defined above (1.3.2), it is also possible to combine a Level 3 and 4 report on a single holdings record. One example of this might be a unit that reports retrospective holdings at the summary level and current holdings at the detailed level.

1.3.4 In Level 3 and Level 4 holdings statements, data are recorded as follows:

1.3.4.1 Serials. It is Harvard policy that a separate holdings record is created for each copy of a serial. This policy of a separate holdings record for each copy of a serial applies to a copy that is a full run as well as to a copy that has only some issues.

1.3.4.2 Monographs. A composite statement about two or more copies in one collection may be used for monographic material. If the holdings are complex, however, as are the holdings of some multivolume monographs, it may be preferable to create a separate holdings record for each copy of the multivolume monograph.

1.3.5 The *MARC 21 Format for Holdings Data* provides coding in indicator values to permit compression and/or expansion of holdings data by computer algorithm. The *MARC 21 Format for Holdings Data* also provides coding to permit use of 866-868 field(s) to generate alternative display(s) for all or part of the data contained in the 853-855 and 863-865 paired field(s), cf. *MARC 21 Format for Holdings Data*, Appendix A at Application for Fields 866-868 (Textual Holdings).

Currently, Aleph programs that generate public displays do not take into account compression/expansion coding or alternative display coding. Thus, for the present at Harvard one of the following practices is to be followed when a unit wants compressed display of holding in the HOLLIS Catalog:

The unit inputs a compressed statement appropriately coded in paired 853-855/863-865 fields

or, alternatively

if the holdings are complex (e.g., many issues lacking), the unit not only inputs appropriately coded, detailed statements in paired 853-855/863-865 fields but also inputs appropriately coded 866-868 field(s) identified as alternative display(s). Currently both the paired fields and the 866-868 field summary will display in the public catalog; in future, properly coded summary 866-868 fields should replace or augment paired fields in public displays.

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1.3.6 The MARC 21 Format for Holdings Data permits coding of fields 866-868\(^2\) as alternative display fields. As defined for the HOLLIS Catalog, fields 866-868 require that holdings data be recorded in a manner consistent with the display conventions used in the HOLLIS Catalog (that is, display conventions specified in ANSI/NISO Z39.71-1999).

1.3.7 Holdings must be reported in the holdings record.

1.3.8 When reporting serial holdings, a unit may combine multiple physical formats on a single holdings record at Level 2 or 3 report only. A Level 4 report requires a separate holdings record for each physical format. However, if the library has the bulk of its holdings of a title in one format with random or scattered issues in another, it may combine them on one holdings record at Level 4.

\(^2\) During retrospective conversion of the Harvard catalogs in the late 1980s-early 1990s, 866-868 fields were used by the recon contractor to record summary holdings. Any such holdings record encountered for titles currently received should be retagged and recoded in 853-855/863-865 paired fields.
2. **Data Areas, Elements and Levels**

2.1 General outline. Table 1 lists the data areas and elements that are included in the HOLLIS Catalog holdings record. For each data area and element, the requirement for its presence (optional, mandatory, mandatory if applicable, or not applicable) for each level of holdings statement is indicated. The various data areas and elements are described in 2.2 through 2.4. Other fields defined in the *MARC 21 Format for Holdings Data* may be used as defined by HUL.

<table>
<thead>
<tr>
<th>Section Reference</th>
<th>Data Areas and Elements</th>
<th>Level</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td>1</td>
</tr>
<tr>
<td>2.4.1</td>
<td>Aleph record number</td>
<td>M</td>
</tr>
<tr>
<td>2.4.2</td>
<td>Fixed field elements</td>
<td>MA*</td>
</tr>
<tr>
<td></td>
<td>(Leader and 008)</td>
<td>MA</td>
</tr>
<tr>
<td>2.4.3</td>
<td>007</td>
<td>O**♦</td>
</tr>
<tr>
<td>2.4.4</td>
<td>506</td>
<td>M</td>
</tr>
<tr>
<td>2.4.5</td>
<td>583</td>
<td>O</td>
</tr>
<tr>
<td>2.4.6</td>
<td>843</td>
<td>O**♦</td>
</tr>
<tr>
<td>2.4.7</td>
<td>852</td>
<td>M</td>
</tr>
<tr>
<td>2.4.8</td>
<td>853-868</td>
<td>na</td>
</tr>
</tbody>
</table>

**LEGEND:**
M - Mandatory; MA - Mandatory if Applicable, na - Not Applicable, O - Optional

**FOOTNOTES:**

* In the HOLLIS Catalog, holdings field 007 is Mandatory for full-level records for microforms and for full-level records for computer files/electronic resources.

In the HOLLIS Catalog, holdings field 007 is Mandatory for records at any level for reproductions created at or for Harvard (e.g., reproductions from the College Library Imaging Service).

Use of 007 is recommended when applicable for other types of materials in holdings records at any level.

♦ Field 843 is Mandatory for records at any level for reproductions created at or for Harvard (e.g., reproductions from the College Library Imaging Service).

*,** Field 007 and field 843 are Mandatory if Applicable in holdings records linked to CONSER-cataloged serials.

2.2 Serial holdings must be reported at Level 2, 3 or 4.

2.3 Other non-unitary item holdings should also be reported at Level 2, 3 or 4.

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2.4 HOLLIS Catalog Holdings Record

The *MARC 21 Format for Holdings Data* provides the content designation for the communication of holdings and location data. Leader elements, fixed field elements and variable fields should be used in accordance with their HUL/MARC 21 definitions.

2.4.1 Fixed field elements are designated as Mandatory, Optional, or System-supplied. The elements are:

<table>
<thead>
<tr>
<th>Leader Byte</th>
<th>Name</th>
<th>Mandatory, Optional, System Supplied</th>
</tr>
</thead>
<tbody>
<tr>
<td>00-04</td>
<td></td>
<td>System Supplied</td>
</tr>
<tr>
<td>05</td>
<td>Record status</td>
<td>Mandatory</td>
</tr>
<tr>
<td>06</td>
<td>Type of record</td>
<td>Mandatory</td>
</tr>
<tr>
<td>07-16</td>
<td>Encoding level</td>
<td>System Supplied</td>
</tr>
<tr>
<td>17</td>
<td></td>
<td>Mandatory</td>
</tr>
<tr>
<td>18-23</td>
<td></td>
<td>System Supplied</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>008 Byte</th>
<th>Name</th>
<th>Mandatory, Optional, System Supplied</th>
</tr>
</thead>
<tbody>
<tr>
<td>00-05</td>
<td>Date entered on file</td>
<td>System Supplied</td>
</tr>
<tr>
<td>06</td>
<td>Receipt or acquisitions status</td>
<td>Mandatory</td>
</tr>
<tr>
<td>07</td>
<td>Method of acquisition</td>
<td>Optional</td>
</tr>
<tr>
<td>08-11</td>
<td>Intent to Cancel date</td>
<td>Optional</td>
</tr>
<tr>
<td>12</td>
<td>General retention</td>
<td>Mandatory</td>
</tr>
<tr>
<td>13-15</td>
<td>Specific retention policy</td>
<td>Optional</td>
</tr>
<tr>
<td>16</td>
<td>Completeness</td>
<td>Mandatory</td>
</tr>
<tr>
<td>17-19</td>
<td>Number of copies reported</td>
<td>Mandatory</td>
</tr>
<tr>
<td>20</td>
<td>Lending policy</td>
<td>Optional</td>
</tr>
<tr>
<td>21</td>
<td>Reproduction policy</td>
<td>Optional</td>
</tr>
<tr>
<td>22-24</td>
<td>Language</td>
<td>Mandatory</td>
</tr>
<tr>
<td>25</td>
<td>Separate or composite copy</td>
<td>Mandatory</td>
</tr>
<tr>
<td>26-31</td>
<td>Date of report</td>
<td>System supplied</td>
</tr>
</tbody>
</table>

2.4.2 **007 - Physical Description Fixed Field.** This field is defined by HUL as a holdings field and is used for coded physical description data as prescribed for field 007 in the *MARC 21 Format for Bibliographic Data*. It is mandatory if applicable if the holdings record is linked to a CONSER-cataloged serial.

2.4.3 **506 - Restrictions on Access.** This field is defined by HUL as a holdings field and contains information about restriction imposed on access to the described materials.
2.4.4 **541 - Immediate Source of Acquisitions.** This field is defined by HUL as a holdings field and contains information about the immediate source of acquisition of the described material.

2.4.5 **561 - Ownership and Custodial History.** This field is defined by HUL as a holdings field and contains information concerning ownership and custodial history of the described materials.

2.4.6 **562 - Copy and Version Identification Note.** This field is defined by HUL as a holdings field and contains information that distinguishes the copy(s) or version(s) of materials held by an archive or manuscript depository. In HUL field 562 is used also for copy and version information for antiquarian materials, rare books and other materials in special collections (e.g., annotated copies).

2.4.7 **563 - Bindery Note.** This field is defined by HUL as a holdings field and contains binding information and is intended primarily for use with antiquarian materials, rare books and other special collection materials. It is not intended for serials bound together after publication for shelving and storage purposes.

2.4.8 **583 - Actions.** This copy specific field is defined by HUL as a holdings field and is used to record processing and reference actions, such as a brief statement about a request to acquire material, whether the request is active or inactive, and the date of the last item of correspondence.

This field is also used for information about preservation actions relating to an item, such as review of condition, queuing for preservation, and completion of preservation.

2.4.9 **843 - Reproduction Note.** This field is used for reproduction notes as prescribed for field 533 in the *MARC 21 Format for Bibliographic Data.*

For reproductions created at or for Harvard, field 843 is Mandatory; subfield |m should be used to record:
- reproduced serial volumes (complete or incomplete run),
- part reproduced when reproduction of multi-part item is incomplete

Field 843 is Mandatory if Applicable when the holdings record is linked to a CONSER-cataloged serial.

2.4.10 **852 - Location.** This field is defined as a required holdings field by HUL and the Aleph implementation. Field 852 is used for location information (e.g., sublibrary, collection, call number) and may also be used in the HOLLIS Catalog for notes that pertain to a unit's entire holding rather than to an individual holdings string. Subfield |x is used for notes that will not display to the public in the HOLLIS Catalog, and subfield |z for notes that will display to the public in the HOLLIS Catalog.
2.4.11 **853-865.** The 853 field describes the values for the basic bibliographic unit in each of the levels of enumeration/chronology in field 863, defines the captions used in the holdings statement, and specifies the publication pattern of the holdings recorded in the associated 863 field(s). The 854/864 fields describe supplements, and the 855/865 fields describe cumulative indexes.

In the 863-865 fields, subfield |x is used for notes that should not display to the public in the HOLLIS Catalog and subfield |z for notes that should display to the public in the HOLLIS Catalog. Notes in an 863-865 field apply just to the holdings string in that field; notes in an 852 field apply to the entire holding.

2.4.12 **866-868.** The 866-868 fields provide for recording alternative displays of holdings for basic bibliographic units, supplements and indexes, respectively. Units are strongly encouraged to record holdings in the formatted 853/863 fields, and to use the 866 as it is defined for alternative displays. 866 is used primarily when a readable display cannot be generated from the corresponding 853/863 fields (cf. 1.3.5 and 1.3.6).

3. **Rules and Guidelines for Recording Level 1 Holdings Statements.**

3.1 A Level 1 report may be used only to record holdings of unitary items.

4. **Rules and Guidelines for Recording Level 2 Holdings Statements.**

4.1 A Level 2 report identifies the holding unit and for serial publications is restricted to statements of limited retention.

4.2 A Level 2 report requires a holdings record that includes required fixed field data elements (cf. 1.3.2 and 2.4.1).

5. **Rules and Guidelines for Recording Level 3 Holdings Statements.**

5.1 Level 3 contains a summary report of holdings.

5.2 The report represents only the first (highest) level of enumeration/chronology. Volumes are reported if any part of the volume is held.

5.3 It must include all mandatory fields and mandatory fixed field data elements.

5.4 When gaps are reported, only the first (highest) level of enumeration/chronology (cf. 5.2) is used.

5.5 Open entry is allowed.

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5.6 Units wishing to allow for possible compression and expansion must use the appropriate coding (cf. 1.3.5).


6.1 Level 4 contains a detailed report of holdings.

6.2 The report represents the most specific level of enumeration/chronology.

6.3 It must include all required fields and mandatory fixed field data elements.

6.4 Reporting of gaps is mandatory. Gaps must be reported at the most specific levels of enumeration/chronology.

6.5 Open entry is not allowed.

6.6 Units wishing to allow for possible compression and expansion must use the appropriate coding (cf. 1.3.5).
APPENDIX

1. Changes in Captions.

The Standing Subcommittee on Serials, Series and Continuations (SSSSC) recommends that changes in captions should be noted when they are significant, i.e., when the meaning changes as a result of the caption change. Changes that imply a different level of hierarchy are always significant. Obviously, determining the "significance" of changes calls for judgment; units may wish to establish their own guidelines of what specific changes should be treated as significant. Units using subfields |u and |v, which allow for possible future expansion and compression, will want to take note of less significant changes.

2. Terms That May Be Used in the 853, 854, 855 Fields.

The SSSSC recommends that the unit take the term off the piece and consult AACR2, Appendix B for its abbreviation. If the term is not included in AACR2, Appendix B, judgment must be exercised in determining the abbreviation to use.

3. Negative Reporting (cf. 1.2.2).

Negative reports of reproductions may be entered in the 843, subfield |m.

Negative reports for original works should be limited to the subfield |z of the 866 field and/or the subfield(s) |x of the appropriate 863, 864, 865 field(s). The SSSSC has the following suggestions/comments for the use of the 866 |z for negative reports:

A. 866 |z does not need both enumeration/chronology data.

B. Indicator coding for the 866 should reflect positive reporting.

C. If in one holdings record an 863 is being reported at level 4, and an 866 for that field is identified as being a level 3, Encoding Level should be coded as "4", not "m".


A problem arises when the date of publication differs significantly from the coverage date. The SSSSC believes that the coverage date is the more important of the two dates and that publication dates could be treated in 863-865 note subfield, either displaying or non-displaying.

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5. **Continuous Numbering as Second Level of Enumeration.**

When a second level of enumeration continues instead of restarting when the first level numbering, e.g., volume, increments, and the first level numbering is not adequate to uniquely identify the item, do not record such a second level enumeration as alternate numbering in a subfield |g of fields 853/863.

Example of continuously incrementing second level of enumeration:

| v.1:fasc.1 |
| v.1:fasc.2 |
| v.2:fasc.3 |
| v.2:fasc.4 |
| v.3:fasc.5 |
| v.3:fasc.6 |

Correct coding:

853 00 |81av,|bfasc.
863 40 |81.1a1|b1-2
863 40 |81.2a2|b3-4
863 40 |81.3a3|b5-6

or, alternately,

853 00 |81av,|bfasc.
863 40 |81.1a1-3

Incorrect coding:

853 00 |81av,|gfasc.
863 40 |81.1a1-3g1-6

6. **Chronology When Issues of a Volume Span More Than One Calendar Year**

If no gaps in the holdings exist, field 863 or 864 with subfield |iyear/year structure is sufficient to identify what a library holds. When gaps exist, however, the use of subfield |iyear/year structure alone does not adequately identify what is held. To use subfield |jmonth is not adequate when the volume spans more than one calendar year.

In order to produce an understandable public display of paired fields, SSSSC recommends that subfield |iyear/year structure be used in 863 or 864 field to record the years spanned by the volume, that subfield |w be used to identify the gap, and that, when appropriate, a note be recorded in the 863 subfield |z or 864 subfield |z to explain any gaps that might cause confusion.