

CUL NOTIS Manual, Holdings Records/Format/Reference

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FORMAT OF MARC HOLDINGS RECORDS

Reference Level

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Introduction

Transcribe MARC holdings information in the form it appears on the item, except where instructed to do otherwise below. If the same bit of data appears in different ways on the same piece, use the form which is:

1. eye-legible (in the case of microforms and computer files)

2. consistent with nearby pieces (if most are labelled "v." and a number, but some lack a caption, consider all pieces to contain a caption)
3. first to appear on the item.

In dealing with complex MARC holdings information, take care to be consistent in the recording of data across copies.

The 362 field or the 500 "Description based on" note field on the bibliographic record can be useful when creating serial MARC holdings statements, especially for older runs. The 505 field can be useful when creating monographic MARC holdings statements.

Abbreviations

Follow Appendix B in AACR2 revised for appropriate abbreviations.

Exception: do not abbreviate "part" when used as a Specific Material Designation (SMD). Example

Accompanying material

Include accompanying material on the MARC holdings record for the main item if the accompanying material is not separately cataloged. Record accompanying material in terms of enumeration and/or chronology, if present. Use 868 for accompanying indexes and 867 for all other types of accompanying material. The text of the 867 fields will display in the OPAC with the label "SUPPLEMENTS:" following the information in the 866 fields. The 868 fields will display in the OPAC with the label "INDEXES:". If there is no caption or if the caption is unclear, give the physical form (Specific Material Designation (SMD)) in a note. If the library does not own the basic bibliographic units, that information can be noted in the 852 |z Public note, if necessary. Examples

If a piece or pieces of unnamed accompanying material are not differentiated by enumeration or chronology, transcribe the number of pieces followed by the appropriate SMD (Specific Material Designation, see AACR2, rule 5 in ch.1-12), or a descriptive phrase. Examples

If a piece or pieces of named accompanying material are not differentiated by enumeration or chronology, list each piece or set of pieces separately by name. If the physical form is different from that of the main item, add the number of pieces followed by an Specific Material Designation. Examples

Also list each piece or set of pieces separately by name if separate notes or chronologies are needed, or if the main item is not held. Examples

Alternative enumeration

If an item is labelled in both volumes and parts (or equivalent) but the numbering of the parts does not restart with each new volume (i.e., there is whole numbering but no within-volume numbering), treat the parts as alternative rather than second-level enumeration. This is because a citation may contain only a whole number; a MARC holdings record with only the volume numbering would not help a user determine whether the library held the cited piece. Examples

If more than one alternative enumeration scheme appears on a piece only record one. For example, if a title has volume/number primary enumeration as well as alternative whole numbering and series number/volume/number enumeration, record only the primary enumeration and one of the alternative enumerations. Example

See also Multipart item in series classed together.

Bis

see Duplicate enumeration or chronology

Chronology

If there is enumeration, enclose chronology in parentheses. If there is no enumeration, do not enclose in parentheses. When indicating combined years, always use eight digits. Examples

Compressed statements

Generally omit a level of hierarchy (other than the first) if it is complete. Examples

If any continuous runs within a title are held, generally compress the holdings. For each run in which all the enumeration is regular and consecutive, record the enumeration and chronology, if present, of the first and last piece and connect the two enumerations and chronologies, if present, with a hyphen. Examples

Exceptions

Diacritics and special characters

Generally retain any diacritics and special characters which appear on a piece. Example

Digitized reproductions

see Multiple versions

Duplicate enumeration and chronology

Record duplicate enumeration just once, and explain the irregularity in a note on the bibliographic record. Example

Enumeration/chronology lacking

see No enumeration/chronology

Gap vs. non-gap breaks

If it cannot be determined whether a discontinuity in a run of serials is a gap or a non-gap break, treat it as a gap.

Incomplete multipart items

If the years of publication of an item are not specifically chronology, do not record them routinely (generally consider years part of the chronology if they appear in the same area as enumeration). If considered chronology, enclose in parentheses.

There are some situations where non-chronology dates can be used "as if" they were chronology, such as when volume numbers are repeated for reissued volumes (these are sometimes called "replacement volumes"), and there is no other way to distinguish the various iterations. [Examples](#)

Incomplete serial volumes

In old-style incomplete volume information, second and later statements were indented two spaces after the asterisks. When adding an incomplete volume to a record that contains this style of recorded information, update all incomplete volume information in the record to the new style. [Examples](#)

Indexes

see [Accompanying material](#)

Itemized statements

see [Compressed statements](#)

Language and script

Record information in the language in which it appears on the piece. [Examples](#)

For languages in non-roman scripts, romanize text according to the ALA/LC romanization tables but follow AACR2 C.5D and use Western-style arabic numerals for non-roman numbers.

If the language of the enumeration or chronology varies from piece to piece, use the language that was used in the 362 or "Description based on" note, or in the 505 field. [Examples](#)

If the enumeration and/or chronology appear in more than one language, give the information in only one language. Use English if present, otherwise use the language of the content of the item (or the predominant language if there is one). If the item is multilingual, with no language predominating, use the language that was used in the 362 or "Description based on" note. Do not give the parallel enumerations or chronologies. [Example](#)

Letters in enumeration

When the same letters appear as the first part of a statement of enumeration on each piece of an item, it is necessary to decide whether these letters are part of the caption or part of the enumeration proper. When there is a definite other caption, treat the letters as part of the enumeration proper. [Example](#)

If there is not a definite other caption, but there is a space or punctuation mark between the letter(s) and the number(s), treat the letter(s) as caption. Otherwise, treat the letter(s) as part of the enumeration proper.

Examples

Generally if letter(s) appear at the end of an enumeration, treat the number-letter combinations as a single level of enumeration. Examples

Line breaks

Generally put as many monographic statements in one field as will fit, while starting each new serial statement in a new field. Examples

If intelligibility is severely compromised, however, use additional MARC fields for additional line breaks. Begin a new field at a logical break. Examples

Microform reproductions

see also Multiple versions

If Cornell University Library owns only the reproduction, catalog the reproduction using 007 and 533 fields in the bibliographic record. Catalog preservation microforms using 007 and 533 fields in the bibliographic record, as required by RLIN guidelines. If Cornell owns the original and a reproduction, or two reproductions which would have different data in the 007 and 533 fields, see Multiple versions.

Missing enumeration or chronology

If the piece with missing data can be compressed into the middle of a run, ignore the fact that the data is missing. Examples

If the piece is on either end of a run, or is recorded by itself, record the piece as if it were marked. Examples

A note may appear in the bibliographic record describing the situation.

Multipart item in series classed together

If a multipart item is in a series which is classed together, and the individual parts have different numbers in the series, treat the series numbering as alternative enumeration. Examples

Multiple versions

If Cornell owns the original and a reproduction, or two reproductions which would have different data in the 007 and 533/843 fields, these are considered multiple versions of the same item.

If Cornell owns the original and one type of reproduction, the original is described in the bibliographic record and the 007 and 843 for the reproduction, if needed, are recorded in its MHLID.

If Cornell owns two or more reproductions, then the original is described in the bibliographic record, including any fields which are the same for both reproductions, while information which differs is recorded in the MHL D. For example, if both reproductions are microforms, but one is positive and one is negative, the appropriate fixed field REPRO code and 245 subfield h should be entered in the bibliographic record, while each reproduction should have its own 007 in its MHL D record. [Examples](#)

Names of portions of items

When some pieces of an item (other than accompanying material) have enumeration and/or chronology and some do not, give the name of the unenumerated pieces in quotation marks. [Example](#)

For names of accompany material, see [Accompanying material](#).

No enumeration/chronology

For single-piece items and complete multipart items not wholly enumerated at the top level which do not need specific notes or chronology, transcribe the number of pieces followed by the appropriate specific material designation (SMD; see AACR2, rule 5 in ch. 2-11) for each physical form. [Examples](#)

If a multipart item not wholly enumerated at the top level is either incomplete or has some parts which need specific notes or chronology, and the names of all the parts (held and not held, published and to-be-published, etc.) form an inherently complete set, use the names as enumeration substitutes. [Examples](#)

If a multipart item not enumerated at the top level is either incomplete or has some parts which need specific notes or chronology, list each piece or set of pieces separately by name and, if enumerated at the second level, give the enumeration, otherwise give the number of pieces followed by an SMD in a subfield z note. [Example](#)

In the above situation as applied to kits (i.e., main items composed of multiple physical formats), if there is enumeration at the second or lower level but no caption or an unclear caption, give the physical form (SMD) in a specific note.

If more than one name appears on a piece and the enumeration substitute is textual, use "to" rather than a slash to separate the names, and a hyphen between the first and last pieces. [Examples](#)

If the second (or lower) level does not have enumeration or chronology but cannot be omitted because of a missing piece or because of specific notes, use the names of the pieces as enumeration substitutes regardless of whether the names form an inherently complete set or not. [Examples](#)

For [accompanying material](#), see that section.

Notes

Copy specific notes can be recorded in the Copy holdings copy level notes area, in the MARC holdings 852, 866, 867, 868 fields. Coded notes and notes which are needed in check-in and processing, such as location and retention notes should be put in the Copy holdings record. Long staff notes and public notes which are not coded or needed for processing should be put in the MHL D. In the MHL D, notes which apply to the whole copy should be in the 852 field, while notes which apply to a specific item should follow that item in subfield z of the 866, 867, or 868 fields. [Examples](#)

Numbering peculiarities

see

Duplicate enumeration or chronology

Missing enumeration or chronology

Numbering peculiarities, Miscellaneous

Skipped enumeration or chronology

Numbering peculiarities, Miscellaneous

Do not show miscellaneous numbering peculiarities whether they appear at the beginning, middle or end of a run. Examples

A note may appear in the bibliographic record describing the situation.

Numbers

see Ordinal numbers

Order of information

Record the pieces in a logical order. This generally means in increasing numerical or alphabetical order by the enumeration or (for serials) by the chronology if there is no enumeration. Examples

When both enumeration and chronology exist for an item, all enumeration precedes all chronology within each statement. Example

If the item is hierarchically organized (i.e., is composed of volumes and parts, etc.), record enumeration and chronology from highest to lowest level, separating the levels with colons.

When there is neither enumeration nor chronology, use any other inherent order, such as alphabetical order. Examples

Ordinal numbers

Enumerations with ordinal numbers should be transcribed as such. The NISO standards currently conflict with the LCRI for bibliographic description. Since LC has not yet implemented MARC holdings, they have not yet made a decision on the transcription of ordinal numbers in the MARC holdings record. We will follow NISO standards until LC issues a decision on their practice. Examples

Parallel enumeration or chronology

see Language and script

Photocopies

see also [Multiple versions](#)

If Cornell University Library owns only the reproduction, catalog the reproduction using the 533 field in the bibliographic record. If Cornell owns the original and a reproduction, or two reproductions which would have different data in the 533 fields, see [Multiple versions](#).

Preview issues of serials

If a preview (preliminary, premier, introductory, etc.) issue of a serial contains enumeration, record normally. [Examples](#)

If it does not contain enumeration, but does contain complete, unambiguous chronology, record the chronology as enumeration. If it does not contain such a chronology (e.g., if the title is a quarterly, but the only chronology on the premier issue is a year), use the descriptive phrase as enumeration. [Examples](#)

A note should appear in the bibliographic record explaining the premier issue.

Punctuation

Punctuation Table

Reproductions

see

[Microform reproductions](#)

[Multiple versions](#)

[Photocopies](#)

Series classed together, Multipart items in

see [Multipart items in series classed together](#)

Skipped enumeration or chronology

Do not show skips that appear in the chronology but not in the enumeration. [Examples](#)

If the enumeration (or chronology when there is no enumeration) skipped is not first-level and it can be compressed into the middle of a run, ignore the skip. [Examples](#)

A note may appear in the bibliographic record describing the situation.

Spacing

Separate a caption from the enumeration proper with a space if they are not already separated by a period. [Examples](#)

See the [punctuation table](#) for spacing guidelines around supplied punctuation.

Special characters

see Diacritics and special characters

Supplements

see Accompanying material

Title changes (Serials)

see Compressed statements

Conversion of holdings in RLIN-to-NOTIS tape load

The main portion of Cornell records were transferred from RLIN to NOTIS in 1988. CJK and retrospective conversion records are still being loaded periodically. Examples below show how RLIN holdings were converted to NOTIS Volume holdings. NOTIS Volume holdings were converted to NOTIS MARC holdings in 1993. NOTIS holdings records were created for records converted from RLIN under the following circumstances:

In a serial record, if an SHS field existed with data in both |j (enumeration) and |k (chronology) subfields, the data in the |j subfield were loaded as the first element in a MARC holdings statement. The data in the |k subfield, enclosed within parentheses, are separated from the enumeration by a space.

If the SHS in the |k subfield did not contain a date, it was considered a note rather than chronology information, and the data were loaded into a copy level note field.

In a serial record, if an SHS field existed with data in a |k subfield but not in a |j subfield, the data in the |k subfield are loaded as the first element in a holdings statement but were not enclosed within parentheses.

If the data in the |k subfield are not a date, the conversion program considered the data to be a note rather than chronology information, and loaded the data in the copy-level notes field. In this case, a holdings record was not created.

In a serial record, if a non-printing shelf list note (955 |u) field exists, the field was loaded into a volume holdings statement preceded by two asterisks (**). This field was used in some RLIN serials records to record incomplete holdings information with each discrete statement separated by semicolons. The RLIN to NOTIS load program loaded each successive statement into a new line preceded by two asterisks and deleted the semicolons. The second and subsequent lines were indented two spaces. Incomplete holdings information was loaded in the volume holdings statement following the last statement containing enumeration and chronology information.

In non-serial records, if an LVOL (950 |v, |y) field existed, the field was loaded into a volume holdings statement, with the data in the |v subfield separated from the data in the |y subfield by space.

In non-serial records, if an LVOL field did not exist in the RLIN record, data in MDES statements were loaded into a volume holdings statement with each MDES statement separated from the others by semicolons. Compression of the MDES statements occurred in certain circumstances.

Volume holdings/MHLD statements created during RLIN to NOTIS, or VHLD to MHLD onversion may need to be modified or corrected in NOTIS. Conversion Examples

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