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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.

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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.

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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

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American Association of Law Libraries

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Robin Murray, Vice Chair / Chair Elect
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Jan Peterson, Immediate Past Chair
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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:

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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.

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Richard Gedye

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.

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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

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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.

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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

index to a serial publication, a set of updates to a loose-leaf publication, an answer book accompanying a textbook, a serial update service to a single part of a multipart unit, or a pamphlet accompanying an audiodisc. A secondary bibliographic unit may itself be a single-part unit, multipart unit, or serial unit. Note that an “equal” bibliographic component of a set of differing units, such as a multimedia kit or a musical score and parts, is considered a basic bibliographic unit. Individual parts (for example, volumes) of serial and multipart units are considered parts, not secondary bibliographic units. See also *basic bibliographic unit*; *bibliographic unit*.

segment. Part of a summary holdings statement that records a single range of holdings.

separate display. A holdings display in which all enumeration is presented first, then all chronology. See also *adjacent display*.

serial unit. Basic bibliographic unit or secondary bibliographic unit that is issued in successive parts at regular or irregular intervals, bearing numerical and/or chronological designations, and intended to be continued indefinitely. Note: A serial unit may be in any physical form or medium. *Examples* of works that are usually serial in nature include periodicals, newspapers, annual works, reports, journals, memoirs, proceedings, transactions such as conferences of societies and other corporate entities, and numbered monographic series. See also *single-part unit*; *multipart unit*.

series. A separately numbered or unnumbered sequence of volumes within a set or serial. For example, 1st series, 2nd series, etc., or, New series. See also *monographic series*.

shelving location identifier. Data element indicating shelf location within the institution or collection represented by the institution identifier.

single-part unit. Basic bibliographic unit or secondary bibliographic unit complete in a single physical unit. Note: A single-part unit may be in any physical form or medium. See also *multipart unit*; *serial unit*.

specific extent note. Data element consisting of information clarifying or enlarging upon the Extent of Holdings Area element that it follows.

sublocation identifier. Data element in the Location Data Area indicating a subdivision or collection within the institution represented by the institution identifier.

summary holdings statement. Holdings statement at the first (highest) level of enumeration and/or chronology. See also *detailed holdings statement*, *composite holdings statement* and *copy-specific holdings statement*.

supplement. For the purpose of this standard, a publication closely connected in subject matter to the basic bibliographic unit, issued by the same publisher, secondary to but separate from the basic bibliographic unit. Supplements are frequently devoted to a special aspect of the subject matter of the basic bibliographic unit. Some supplements are issued serially, either regularly or irregularly, and others are issued as monographs. A supplement having its own item identifier (hence bibliographic description) is considered a basic bibliographic unit, and not treated as a supplement in this standard. A supplement included in the item identifier for a main work (basic bibliographic unit) is considered a secondary bibliographic unit, so long as it is not enumerated as part of the main work, in which case it is considered a part of the basic bibliographic unit.

system identifier. A standard designation for the institution or system that assigns a record control number used in the Item Identification Area.

type of unit designator. Data element in the General Holdings Area indicating a numeric code or display text that conveys the nature of the bibliographic units recorded and, for basic bibliographic units, the level of holdings recorded.

unit. See *bibliographic unit*.

3 Tables

This section contains tables summarizing punctuation used in the Extent of Holdings Area, content of holdings statements, and physical form designations.

3.1 Punctuation Used in the Extent of Holdings Area

| Name | Symbol | Purpose | Example |
|---|--------|--|---|
| Angle brackets | <> | Encloses the Specific Extent Note. The opening angle bracket is always preceded by a blank; the closing angle bracket is always followed by a blank. | <Water-damaged> |
| Blank | | Indicates separation of data elements within an area. | v.1-9 10 <Tables> 11 <Index> |
| Colon | : | Separates two orders or levels of hierarchical bibliographical units. Blanks are not used before or after the colon. | v.1:pt.1 v.1:no.1:pt.1 |
| Comma | , | Indicates a gap in a range of holdings. Blanks are not used before or after the comma. | v.1, v.3 |
| Equal sign | = | Separates alternative numbering schemes. Blanks are not used before or after the equal sign. | v.2:no.5=fasc.15 |
| Forward slash (diagonal) | / | Indicates combined numbering, combined chronology or non-calendar year chronology data. Blanks are not used before or after the diagonal. | v.1/2 1969/1970 |
| Hyphen | - | Indicates an unbroken range of holdings or open holdings. Blanks are not used before or after the hyphen. | v.1-3 v.1- |
| Parentheses | () | Separates enumeration and chronology when the data are recorded together. Parentheses are neither preceded nor followed by a blank. | v.1 (1983) |
| Plus sign | + | Separates a basic bibliographic unit from a subsequent one or from a secondary bibliographic unit. Blanks are used before and after a plus sign. | 1 v. + 1 disk "Teacher's Guide" 1 v. + 1 sound cassette |
| Question mark | ? | Indicates unknown digit(s) of a date when either the decade and/or year are not known. A blank is not used before the question mark; a closing question mark is followed by a blank. | 1950-197? 18?? |
| Quotation marks | "" | Encloses the Name of Unit. The opening quotation mark is always preceded by a blank; the closing quotation mark is always followed by a blank. | "Index" |
| Semicolon | ; | Indicates a non-gap break. Blanks are not used before or after the semicolon. | v.1-4;v.6 |
| Square brackets | [] | Encloses supplied enumeration or chronology. The opening square bracket is always preceded by a blank; the closing square bracket is always followed by a blank. | [1981/1982] |
| Note: The backwards slash (\) was used to separate itemized data elements in Z39.57-1989. It is now obsolete. | | | |
| Note: See also section 4.4 for guidelines on handling of punctuation and separators. | | | |

3.2 Content of Holding Statements

| Area or Data Element | Level 1 | Level 2 | Level 3 | Level 4 | Repeatability |
|---|---------|---------|-----------------|-----------------|---------------|
| ITEM IDENTIFICATION AREA | M | M | M | M | NR |
| LOCATION DATA AREA | M | M | M | M | R |
| Institution Identifier | M | M | M | M | NR |
| Sublocation Identifier | O | O | O | O | R |
| Copy Identifier | O | O | O | O | R |
| Call number | O | O | O | O | R |
| DATE OF REPORT AREA | O | M | M | M | R |
| GENERAL HOLDINGS AREA 1 | NA | O | O | O | R |
| Type of Unit Designator | NA | M | M | M | NR |
| Physical Form Designator | NA | M | M | M | NR |
| Completeness Designator | NA | M | M | M | NR |
| Acquisition Status Designator | NA | M | M | M | NR |
| Retention Designator | NA | M | M | M | NR |
| EXTENT OF HOLDINGS AREA | NA | NA | M ² | M ² | R |
| Name of Unit | NA | NA | MA ³ | MA ³ | R |
| Extent of Unit | NA | NA | MA ³ | MA ³ | R |
| Enumeration | NA | NA | MA ³ | MA ³ | R |
| Chronology | NA | NA | MA ³ | MA ³ | R |
| Specific Extent Note | NA | NA | MA ³ | MA ³ | R |
| HOLDINGS NOTE AREA | O | O | O | O | R |
| M = Mandatory MA = Mandatory if applicable O = Optional NA = Not used at the level specified R = Repeatability NR = Not repeatable | | | | | |
| <ol style="list-style-type: none"> 1. When the General Holdings Area is used at levels 2, 3, or 4, all of these elements are mandatory, except where excluded in section 5, Data Areas and Data Elements. 2. When the Extent of Holdings Area is used at levels 3 or 4, at least one of the following data elements is mandatory: Name of Unit, Extent of Unit, Enumeration, or Chronology. 3. Mandatory if applicable, except where excluded in section 5, for text holdings or for non-coded (textual) values. | | | | | |

3.3 Physical Form Designators

This table defines the coded and natural language values for the physical form designator to be used in the General Holdings area. The physical form may be expressed by these codes, or in natural language. The general code (ending with "u") or general natural language term at the beginning of each group may be used, or the more specific code or text may be used. These codes correspond to the codes defined in the 007 field of the USMARC Bibliographic Format. For up-to-date code values, refer to the USMARC Bibliographic Format.

| Code Value | Definition |
|------------|--|
| au | Cartographic material |
| ad | Cartographic material, atlas |
| ag | Cartographic material, diagram |
| aj | Cartographic material, map |
| ak | Cartographic material, profile |
| aq | Cartographic material, model |
| ar | Cartographic material, remote sensing image |
| as | Cartographic material, section |
| ay | Cartographic material, view |
| az | Cartographic material, other |
| cu | Computer file |
| ca | Computer file, tape cartridge |
| cb | Computer file, chip cartridge |
| cc | Computer file, computer optical disk cartridge |
| cf | Computer file, tape cassette |
| ch | Computer file, tape reel |
| cj | Computer file, magnetic disk |
| cm | cm Computer file, magneto-optical disk |
| co | co Computer file, optical disk |
| cr | Computer file, remote |
| cz | Computer file, other |
| du | Globe |
| da | Globe, celestial |
| db | Globe, planetary or lunar |
| dc | Globe, terrestrial |
| de | Globe, earth moon |
| dz | Globe, other |
| ou | Kit |
| hu | Microform |
| ha | Microform, aperture card |
| hb | Microform, microfilm cartridge |
| hc | Microform, microfilm cassette |
| hd | Microform, microfilm reel |
| he | Microform, microfiche |
| hf | Microform, microfiche cassette |

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| | |
|----|---|
| hg | Microform, micro-opaque |
| hz | Microform, other |
| mu | Motion picture |
| mc | Motion picture, film cartridge |
| mf | Motion picture, film cassette |
| mr | Motion picture, film reel |
| mz | Motion picture, other |
| ku | Nonprojected graphic |
| kc | Nonprojected graphic, collage |
| kd | Nonprojected graphic, drawing |
| ke | Nonprojected graphic, painting |
| kf | Nonprojected graphic, photomechanical print |
| kg | Nonprojected graphic, photonegative |
| kh | Nonprojected graphic, photoprint |
| ki | Nonprojected graphic, picture |
| kj | Nonprojected graphic, print |
| kl | Nonprojected graphic, technical drawing |
| kn | Nonprojected graphic, chart |
| ko | Nonprojected graphic, flash card |
| kz | Nonprojected graphic, other |
| qu | Notated music |
| gu | Projected graphic |
| gc | Projected graphic, filmstrip cartridge |
| gd | Projected graphic, filmstrip |
| gf | Projected graphic, other type of filmstrip |
| go | Projected graphic, filmstrip roll |
| gs | Projected graphic, slide |
| gt | Projected graphic, transparency |
| gz | Projected graphic, other |
| ru | Remote-sensing image |
| su | Sound recording |
| sd | Sound recording, sound disk |
| se | Sound recording, cylinder |
| sg | Sound recording, sound cartridge |
| si | Sound recording, sound-track film |
| sq | Sound recording, roll |

| | |
|----|----------------------------------|
| ss | Sound recording, sound cassette |
| st | Sound recording, sound-tape reel |
| sw | Sound recording, wire recording |
| sz | Sound recording, other |
| tu | Text |
| ta | Text, regular print |
| tb | Text, large print |
| tc | Text, Braille |
| td | Text, loose-leaf |
| tz | Text, other |
| vu | Videorecording |
| vc | Videorecording, videocartridge |
| vd | Videorecording, videodisc |
| vf | Videorecording, videocassette |
| vr | Videorecording, videoreel |
| vz | Videorecording, other |
| zu | Physical form is unspecified |
| zm | Multiple physical forms |
| zz | Other physical media |

4 Holdings Statement Structure

4.1 Data Areas

A holdings statement is divided into six data areas (see Table 3.2). The data areas are designated as *mandatory*, *not used*, or *optional* for each level of holdings statement. The order of data areas and punctuation between them are not specified in this standard. The absence of an optional data area does not necessarily imply the absence of the characteristics covered by the data area.

4.2 Data Elements

Within each data area, data elements are to be displayed as specified in this standard with respect to form, prescribed punctuation, and order. The data elements are designated as *mandatory*, *not used*, or *optional* for each level of holdings statement. The absence of an optional data element does not necessarily imply the absence of the characteristic.

When the Extent of Holdings Area is explicitly recorded, this standard requires the recording of those pieces held rather than of those pieces not held. However, it does not preclude the recording of pieces that are lacking, because they may be included in the Holdings Note Area.

4.3 Levels

Four levels of holdings statements are specified in this standard in order to allow institutions to record holdings at different, standardized levels of detail for different purposes. The data elements that are mandatory and optional for the four levels of holdings statement detail are indicated in Table 3.2.

Level 1 identifies the bibliographic item and the holding institution and is sufficient for single-part units, but gives no indication of extent of holdings for multipart units or serial units. This level requires inclusion of the Item Identification Area and the Location Data Area.

Level 2 requires the Item Identification Area, the Location Data Area, and the Date of Report Area. If included, the optional General Holdings Area provides general guidance as to the extent of the institution's holdings.

Level 3 provides a statement of summary extent of holdings which is always compressed at the highest level possible. The summary holdings statement may be either open or closed. This level requires inclusion of the Item Identification Area, the Location Data Area, the Date of Report Area and applicable Extent of Holdings Area data elements. If enumeration and/or chronology are applicable, only the highest levels (firstorder designators) are included.

Level 4 provides detailed extent of holdings information. The detailed holdings statement may be either itemized or compressed; the detailed holdings statement may be either open or closed. This level requires inclusion of the Item Identification Area, the Location Data Area, the Date of Report Area, and applicable Extent of Holdings Area data elements. If enumeration and/or chronology are applicable, the most specific levels (including all hierarchical levels) must be included.

This standard allows institutions to record holdings with a combination of level 3 and level 4 Extent of Holdings areas. This mixed level of recording allows an institution to record some Extent of Holdings areas at the summary level, while others are recorded at the detailed level, within the same holdings statement.

4.4 Punctuation and Separators

Punctuation and separators are prescribed only for the General Holdings Area and the Extent of Holdings Area. Separators between areas are not prescribed in this standard, nor is punctuation within the Location Data, Date of Report, or Holdings Note areas.

A consistent system of punctuation or formatting shall be used within the holdings statement. Each area of the holdings statement shall be clearly separated from the area that follows it by unambiguous punctuation (for example, a period, hyphen, or double hyphen), or by format (for example, indentation), or by a line break.

It may be necessary to transcribe punctuation within enumeration or chronology even if it is the same as punctuation specified in Table 3.1 for use in the standard.

Units with a hierarchical enumeration scheme that relates to the intellectual content of the parts rather than to their publication may be recorded according to the scheme on the unit. See 5.5.1.2

Example:

The hyphens that appear in the section numbering on the volume are transcribed:

title 24:sect.1-1 to sect.16-1613

instead of

title 24:sect.1-1-sect.16-1613

4.5 Holdings Statement Composition

Holdings statements shall reflect only the holdings of the bibliographic item represented by the item identifier recorded in the Item Identification Area. Separate holdings statements are required when

materials are described in two or more bibliographic records. This standard does allow the recording of holdings for secondary bibliographic units (for example, supplements or indexes), so long as no separate record for the secondary bibliographic unit has been created by the recording agency.

Each holdings statement may contain only one Item Identification Area. When recording at level 1, the Location Data Area may be repeated. If multiple locations are specified, and the record is for levels 2, 3, or 4, then the Date of Report, General Holdings, Extent of Holdings, and Holdings Note areas are repeated as needed for each.

If an identifier represents multiple bibliographic units, and holdings are recorded at level 3 or 4 then both the General Holdings and Extent of Holdings data areas are repeated as needed.

4.6 Different Physical and Electronic Media

This standard allows for the inclusion of information about bibliographic items in different physical and/or electronic media within a single holdings statement when only one applicable item identifier exists (for example, because only a single bibliographic record was created). The General Holdings and Extent of Holdings data areas are repeated as necessary. However, if separate item identifiers exist for the items in different media (because separate bibliographic records were created), holdings are recorded in separate holdings statements associated with the corresponding item identifiers.

4.7 Multiple Locations and Copies

This standard provides for the recording of multiple locations and multiple copies within a single holdings statement.

5 Data Areas and Data Elements

Table 3.2 lists the data areas and data elements that are included in the holdings statement. Each data area and element is designated as M (Mandatory), MA (Mandatory if applicable), NA (Not used at the level specified) or O (Optional). Table 3.2 also shows whether or not a data area or data element is repeatable. The data areas and elements are described in detail below.

This standard prescribes the sequence and format of data elements within the various data areas in order to ensure consistent recording and interpretation. However, it does not prescribe the sequence in which data areas are to be displayed in a holdings statement.

5.1 Item Identification Area

The Item Identification Area contains an identifier for the bibliographic item. Construction and punctuation of the item identifier for the bibliographic item area are not specified by this standard. However, if the item identifier is a record control number, it is recommended that it be directly preceded by a standard designation for the institution or system which assigned it, enclosed in parentheses. If the item identifier is an ISBN, an ISSN, or CODEN, it is recommended that it be preceded by the term ISBN, ISSN, or CODEN. Examples of item identifiers are: ISSN, ISBN, ISMN, ISRC, or CODEN, a record control number, and partial or full bibliographic description.

Examples:

ISSN 0024-9319
 ISBN 0-88022-497-5
 CODEN JACSAT
 (OC_oLC) 746293
 (DLC) 86-13927
 (FU) AAB0356

New Yorker. ISSN 0028-729X
Simenon, Georges. Maigret goes home. ISBN 0-15-655163-9

5.2 Location Data Area

The Location Data Area consists of the following data elements: institution identifier, sublocation identifier, copy identifier, and call number, which shall be displayed in that order unless they are combined in special ways (see 5.2.2 and 5.2.3). Punctuation between data elements in this area is not specified by this standard. The format of the data is free text.

5.2.1 Institution Identifier

The construction of the institution identifier is not specified by this standard.

Example:

DLC [The institution code for the Library of Congress according to USMARC Code List for Organizations.]

5.2.2 Sublocation Identifier

The construction of the sublocation identifier is not specified by this standard. When used, it must be used in conjunction with the institution identifier. In some schemes of institution identifiers, a sublocation identifier may be part of the institution identifier itself, rather than a separate element. In some cases it may also be part of a call number (see example under 5.2.4). The sublocation identifier is repeatable only when recording a single hierarchically-identified location within an institution.

Examples:

DLC Law Lib. [The institution identifier and sublocation identifier for the Law Library of the Library of Congress.]

PITB [Sublocation identifier as a part of the institution identifier for the Business Library of the University of Pittsburgh.]

5.2.3 Copy Identifier

The convention used to record the copy identifier is not specified by this standard. The copy identifier may be abbreviated according to local practice.

If used, the copy identifier shall be recorded in conjunction with the sublocation identifier or the institution identifier or both. In some cases, the copy identifier may be explicitly or implicitly present as part of the call number; in such cases it is not necessary to repeat the element in the copy identifier element (see examples under 5.2.4). The copy identifier element may be used to record holdings for one or more copies. A composite holdings statement may be used to record information about either: (a) two or more copies of a bibliographic unit held at a single location or sublocation; or, (b) copies at two or more sublocations consolidated into a single statement. Alternatively, separate copy-specific statements may be used to record holdings for each copy.

Examples:

c.2

c.2-4

c.1, 3

c2-5

cop.1, 4

4 copies [Copy identifier used to record the total number of copies held.]

79002534 [An accession number used as a copy identifier.]

32345012537786 [A barcode number used as a copy identifier.]

DLC c.1-2 v.1-10 [Composite holdings statement for the two copies held.]

DLC c.1 v.1-5

DLC c.2 v.3-10 [Copy-specific holdings statements with repeated Location Data Area.]

5.2.4 Call Number

The conventions used to record the call number (including punctuation, spacing, and capitalization) are not specified by this standard. In some cases, the call number may include an implicit or explicit copy identifier or a volume number. The call number may also consist of a shelving or custodial location used by the institution as a substitute for the call number.

Examples:

PQ2637.I53A713 1990 [A call number based on the Library of Congress classification system.]

843.912 S2 c.2 [A call number based on the Dewey Decimal Classification scheme; a copy identifier is included as part of the call number.]

MIC89-3629 [A sequentially-assigned microform shelving number.]

FOLIO A [A location designation for an oversized unit.]

REF M557.B757 P7 c.1 [An abbreviation for a sublocation is part of the call number, as is a copy identifier.]

5.3 Date of Report Area

The date is recorded according to ANSI X3.30-1997, which requires eight numeric characters in the following order: four for the year, two for the month, and two for the day. Any unknown portion is recorded as 00. If the entire date is unknown, zeroes are recorded in all eight places. No separators are used. When holdings are given for more than one unit of a bibliographic item, the Date of Report Area may be repeated.

Examples:

19910104 [January 4, 1991]

19490500 [May 1949]

19700000 [1970]

00000000 [Date unknown]

5.4 General Holdings Area

The General Holdings Area consists of five data elements: designators for type of unit, physical form, completeness, acquisition status, and retention. The data elements may be recorded by coded values. Optionally, textual values may be used instead, or may be used for display. When using coded values, all five elements shall be recorded and displayed even when a code for "not applicable" is required for some elements. When using all textual values, only those elements appropriate to the report are given; values equivalent to 0 are not given.

The data for this area are enclosed in parentheses. When coded values are used, they are in the order listed in Table 3.2 and are separated by commas. When textual values are used, they are in the order listed in Table 3.2 and are separated by commas. The commas are not followed by blanks. They are not separated by spaces. When more than one Physical Form Designator applies, the question of which designator to use is a local decision.

Examples:

(0,ta,1,4,8)

(0,zu,1,4,8)

(text,currently received,permanently retained)

(microform)

(0,vf,0,0,8)

5.4.1 Type of Unit Designator

This data element specifies the component of the bibliographic item found in the General Holdings and/or the Extent of Holdings areas. When given in textual form, this data element would usually not be needed when the holdings are for the basic bibliographic unit, or when a Name of Unit is supplied in the Extent of Holdings Area.

When given in coded form, the following values shall be used:

| Code Value | Definition |
|-------------------|---|
| 0 (zero) | Information not available; Not applicable |
| a | Basic bibliographic unit |
| c | Secondary bibliographic unit: supplements, special issues, accompanying material, other secondary bibliographic units |
| d | Indexes |

Note: Holdings statements created according to Z39.71-2006 and containing the basic bibliographic unit are to be coded "a." Holdings statements created according to Z39.44-1986 or Z39.57-1989 and containing the basic bibliographic unit may be coded "b", which is basic bibliographic unit, detailed level (OBSOLETE).

5.4.2 Physical Form Designator

This data element specifies the physical form of the unit to which the following general holdings information and/or extent of holdings pertain.

When coded, the values used shall be those from Table 3.3. If a physical form other than those specified in Table 3.3 is included in a holdings statement, either the value "zz" may be used or the physical form may be expressed in natural language (e.g., paperback; binder).

When values in textual form are used, this designator is usually omitted if the unit is regular print text. An exception is when both text and another form of the unit are held (see Appendix, Example 4). When the value in textual form duplicates the class of material designation in the extent of unit data element, it is usually omitted.

5.4.3 Completeness Designator

This data element gives general guidance on the extent of the institution's holdings of the item. For serial publications, it indicates the portion of the serial's published run that is held by the library. The value used is based on the institution's own estimation of its holdings at the time of recording. When given in coded form, the following values shall be used:

| Code Value | Definition |
|-------------------|--|
| 0 (zero) | Information not available, or Retention is limited |
| 1 | Complete (95%-100% held) |
| 2 | Incomplete (50%-94% held) |
| 3 | Very incomplete or scattered (less than 50% held) |
| 4 | Not applicable |

The percentages associated with values 1, 2, and 3 are for general guidance only and are not prescriptive. Percentages are subjective decisions to be determined locally.

If the recording institution has difficulty in obtaining valid information on the general completeness of its holdings of the title, "0" is recorded.

Example:

If a publisher has issued 80 volumes of a serial and the recording institution has some or all of 60 of these volumes (about 75%), the holdings statement contains "2" for "Incomplete."

Values 1, 2, and 3 are used for all units permanently retained (unless the information is not available). Value 0 is used if retention is limited. When textual values are used, this designator is usually omitted if coded value 0 applies. Single-part units are coded 4 (Not applicable). For non-serial units, when textual values are used, this designator is usually omitted if coded values 0, 1, or 4 apply.

5.4.4 Acquisition Status Designator

This data element specifies acquisition status for the unit at the time of the holdings report.

When given in coded form, the following values shall be used:

| Code Value | Definition |
|------------|--|
| 0 (zero) | Information not available, or Retention is limited |
| 1 | Other |
| 2 | Received and complete or Ceased |
| 3 | On order |
| 4 | Currently Received |
| 5 | Not currently received |

"Received and complete or Ceased" means that all parts of the publication have been published or that the publication is no longer issued (has ceased publication).

"Currently received" means that newly published pieces are routinely being received at the time the holdings report is prepared.

"Not currently received" means that newly published pieces are not being received, whatever the reason, by the recording location. "Not currently received" is not the same as "Complete or ceased."

Value 2 is used for received single-part, completed multipart units, and for ceased serial units. Value 3 is used when the unit is on order but has not yet been received.

When textual values are used, this designator is omitted when coded values 0 or 1 apply, or when value 2 applies for non-serials.

5.4.5 Retention Designator

This data element specifies the retention policy for the unit at the time of the holdings report. When given in coded form, the following values shall be used:

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| Code Value | Definition |
|------------|--|
| 0 (zero) | Information not available |
| 1 | Other |
| 2 | Retained except as replaced by updates |
| 3 | Sample issue retained |
| 4 | Retained until replaced by microform, or other preservation format |
| 5 | Retained until replaced by cumulation, replacement volume, or revision |
| 6 | Limited retention (only some parts kept) |
| 7 | No retention (no parts kept) |
| 8 | Permanent retention (all parts kept permanently) |

If the holding institution keeps all pieces of the unit permanently, the status is “Permanent retention.”

If the holding institution keeps pieces of the unit only for a specific period of time (for example, current 3 months, current year) or a specific number of units (for example, every third issue, latest two volumes), the status is “Limited retention” unless one of the specialized replacement designators (2, 3, 4, or 5) applies. More specific information about the quantity retained may be recorded in the Holdings Note Area.

If no pieces of the unit are retained after receipt by the holding institution, for example, a journal issue that is circulated and then discarded, the status is “No retention (7).”

When textual values are used for serial units, this designator is omitted if coded values 0 or 1 apply. When textual values are used for non-serial units, this designator is omitted if value 8 applies.

5.5 Extent of Holdings Area

The Extent of Holdings Area consists of the following data elements: name of unit, extent of unit, enumeration, chronology, and specific extent note.

The Extent of Holdings Area may be repeated when needed for parts of a multipart unit. In such cases, those data elements present appear in the sequence set out in Table 3.2.

Holdings may be recorded as an itemized statement or as a compressed statement, or as a combination of the two.

Punctuation conventions specified for the Extent of Holdings Area are summarized in Table 3.1.

The next sections, 5.5.1 through 5.5.1.6, present guidelines on the Extent of Holdings Area. Sections 5.5.2 through 5.5.6 present the rules on the Extent of Holdings Area.

5.5.1 Guidelines on Extent of Holdings Area

This section presents guidelines on choice of data element; itemized and compressed holdings statements; secondary bibliographic units; enumeration and chronology; gaps and non-gap breaks; and supplements and indexes.

5.5.1.1 Choice of Data Element

One of the following extent data elements must be present in this area: name of unit, extent of unit, enumeration, chronology.

The data element *name of unit* is usually given only when the holdings of a secondary bibliographic unit are being recorded. For single-part secondary units, the name of unit may be the only data element required to express Extent of Holdings.

The data element *extent of unit* is usually given only when a unit lacks sequential designations. This occurs most frequently with non-serial units.

The data element *enumeration* is used to give the Extent of Holdings for units with sequential designations. It is recorded for most serial units.

The data element *chronology* is usually associated with enumeration for serial units and is recorded in addition to the enumeration, when applicable. When no enumeration is present, chronology alone may specify the Extent of Holdings.

In summary, specify Extent of Holdings by one of the following:

- Name of Unit (for some single-part secondary bibliographic units)
- Extent of Unit (for units lacking sequential designations)
- Enumeration (for units with sequential designations other than dates)
- Chronology (for units lacking enumerative sequential designations)
- Enumeration and Chronology.

5.5.1.2 Itemized and Compressed Holdings Statements

An itemized statement consists of a listing of each part of the unit held. Separate each element of an itemized statement by a blank. A compressed statement records the first and last parts of a range of units when the institution holds all the units in that range. Separate the first and last parts by a hyphen. Holdings may be recorded as an itemized statement or as a compressed statement, or as a combination of the two.

Examples of itemized statement:

```
v.1 v.2 v.3 v.4 v.5
1 2 3 4 5
v.4:no.1(1993:Jan.) v.4:no.2(1993:Mar.) v.4:no.3(1993:May)
v.7:no.1(1995:spring) v.7:no.3(1995:fall) v.7:no.4(1995:winter)
[Missing issue is not shown.]
```

Examples of compressed statement:

```
v.1-5
1-5
v.4:no.1(1993:Jan.)-v.4:no.3(1993:May)
```

Example of itemized and compressed statement:

```
v.1 <1992 rev.ed> v.2-v.5 v.6 <1994 rev.ed> v.7-v.10 [Original volumes
were published in 1988; volumes 1 and 6 have been updated.]
```

Bibliographic items having a hierarchical enumeration scheme relating to the intellectual content of the parts rather than to their bibliographic publication pattern may be itemized according to the scheme provided by the publisher.

Example:

```
Four published volumes are:
title 24:sect.1-1 to 16-1613
title 24:sect.17-1701 to end
```

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```
title 25:sect.1-1 to 18-1562
title 25:sect.18-1600 to end/title 26
```

The itemized statement does not combine the sections. The last volume uses a forward slash to record a volume which was published with combined numbering:

```
title 24:sect.1-1 to 16-1613 title 24:sect.17-1701 to end
title 25:sect.1-1 to 18-1562 title 25:sect.18-1600 to end/title 26
```

Compressed statement at summary level (level 3):

```
title 24-26 [There are no gaps in this range.]
```

5.5.1.3 Secondary Bibliographic Units

The Extent of Holdings area may include holdings for secondary bibliographic units if they are included explicitly or implicitly in the bibliographic record associated with the item identifier. An Extent of Holdings area may include only secondary bibliographic units because the basic unit is not held. At the summary level (level 3), secondary bibliographic units need not be separately recorded if the resulting statement is unambiguous.

Examples:

```
"Teacher's guide" 2 v.
```

```
v.1-19
```

```
or,
```

```
v.1-19 + "suppl." v.1-12
```

```
1 kit
```

```
or,
```

```
1 booklet + 1 sound cassette + 1 guide
```

```
1 score with 7 parts
```

```
or,
```

```
1 score + 1 piano conductor part + 2 first violin parts + 2 second
violin parts + 1 viola part + 1 cello part
```

Supplements to a single issue of a serial unit are generally not recorded at the summary level (level 3). Supplements may be recorded at a detailed level or as mixed holdings.

5.5.1.4 Enumeration and Chronology

When both enumeration and chronology are present on the unit, both enumeration and chronology data should be recorded and displayed.

Enumeration and chronology data may be displayed separately, with or without parentheses.

This form of display is called "separate."

Examples of separate display:

```
v.1-5 (1901-1905)
```

```
v.2-6, 8-14, 17-20 1945-1949, 1951-1957, 1960-1963
```

Enumeration and chronology data may be displayed adjacent to each other, with enumeration recorded first. This form of display is called "adjacent." The corresponding chronology is enclosed in parentheses.

Example of adjacent display:

```
v.1 (1901)-5 (1905)
```

Record enumeration and chronology data in logical sequence; that is, lowest enumeration data to highest, earliest date to latest.

When the enumeration and chronology data correspond with each other, they must be displayed at the same level and in the same sequence.

Examples:

v.3 (1985)–5 (1987)
v.1:no.11 (1983:Nov.)–5:12 (1987:Dec.)

When the enumeration and chronology data do not correspond with each other (either because they are at different levels or represent differing sequences), the chronology data recorded in the adjacent form of display reflects what appears on the publication. If the enumeration and chronology are recorded separately, record the enumeration in sequential order; record the chronology as a broad range.

Examples:

Adjacent display: v.1 (1902), 3 (1910), 6 (1907)–9 (1910)
Separate display: v.1, 3, 6–9 1902–1910

Example, 2 volumes per year, lacking v.6(1982):

Adjacent display: v.1 (1980)–5 (1982), 7 (1983)–21 (1990)
Separate display: v.1–5, 7–21 1980–1990

At the summary level (level 3), record only the highest level of enumeration and chronology data for multipart and serial units. The range of holdings should be broken only by the recording of gaps.

Examples:

v.10 (1910), v.14 (1914)–v.23 (1923) [Serial units]
v.1 v.2 v.3 v.4 v.6 OR
v.1–4, 6 [Multipart units]

Numbered and unnumbered series designators are an exception: the series designator and the second-level enumeration are always recorded together. See 5.5.4.1.

At the detailed level (level 4), the highest level of enumeration and chronology data plus their appropriate sublevels should be recorded. The range of holdings should be broken only by the recording of gaps.

Example:

v.10:no.1 (1910:Jan.)–v.10:no.9 (1910:Sep.), v.14:no.2 (1914:Feb.)–
v.23:no.12 (1923:Dec.)

A mixed holdings statement, which combines summary and detailed enumeration and chronology data in one holdings statement, is broken only by the recording of gaps. Whenever possible, any one segment of holdings should contain the same level of enumeration and chronology data on both sides of the hyphen.

Examples:

v.1 (1970)–v.10 (1979), v.12:no.3 (1981:July)–v.20:no.4 (1989:Oct.)
v.1–v.10, v.12:no.3–v.20:no.4 (1970–1979, 1981:July–1989:Oct.)

5.5.1.5 Gaps and Non-Gap Breaks

When a range of units, enumeration, or chronology is recorded, a gap within the range is indicated by using a comma.

Examples:

v.5 (1980)–6 (1981), 10 (1985), 12 (1987) [Lacking volumes 7 through 9 and 11]
1942–1990, 1994– [Lacking 1991 through 1993]
slide A–E, G [Lacking slide F]

Record and display data in a positive sense; that is, emphasize that which is held rather than that which is not.

At the summary level (level 3), determine when a gap occurs based on whether any portion of a bibliographic unit is held by the library. In other words, at the summary level, if any part of a unit identified by a first-level enumeration is present, record the unit as held.

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Example at level 3:

Six issues to a volume; no issues are held of volume 3; two issues are held of volume 7. A gap is recorded between volumes 2 and 4 but not between 6 and 8:

v.1(1980)-2(1981),4(1983)-8(1987)

At the detailed level (level 4), record a gap when any unit is missing. Separate units in an itemized statement by blanks. A comma may be used to represent a missing unit in an itemized statement. See 5.5.1.2.

Example at level 4, serial unit:

v.5:no.1(1972:spring)-v.5:no.2(1972:summer),v.5:no.4(1972:winter)

Examples at level 4, non-serial unit:

v.1-15,17-25 [Compressed. Lacking vol. 16]

v.1 v.2 v.5 v.6 [Itemized. Lacking vol. 3 and vol. 4]

or,

v.1 v.2,v.5 v.6

v:1:pt.1 v.1:pt.2 v.2:pt.2

or,

v:1:pt.1 v.1:pt.2,v.2:pt.2 [Itemized. Lacking vol. 2, part 1]

A non-gap break is a break in the enumeration, chronology, or multipart units caused by units that were never published, or some other irregularity in the numbering sequence caused by the publisher. Optionally at the summary or detailed level, represent a nongap break by a semicolon. If a non-gap break occurs adjacent to a gap, a semicolon may be placed next to a comma.

Examples:

v.1(1980)-v.4(1983);,v.7(1986)-v.10(1989) [Volume 5 was never published. Lacking volume 6.]

no.1-8;v.3:no.1- [Detailed level. Publisher changed from "no." to "vol. and no." with the ninth issue.]

5.5.1.6 Supplements and Indexes

If a supplement or index with a numbering scheme independent of the basic bibliographic unit is not linked to a separate item identifier, use that numbering to record the holdings in a separate holdings statement attached to the item identifier of the parent title. Type-of-Unit designator is coded "a" for the basic bibliographic unit, "c" for supplements, "d" for indexes.

Example of three holdings statements attached to one bibliographic record:

(a) v.1(1982)- [the basic bibliographic unit]

(c) no.1-3 [supplements]

(d) A-L M-Z [indexes]

For supplements or indexes with dependent numbering related to a particular volume or issue of the parent title, use all the hierarchical levels of enumeration and chronology data on the publication to record the holdings in a separate holdings statement attached to the bibliographic record of the parent title. Type-of-Unit designator is coded "c" for supplements, "d" for indexes.

Examples:

(c) v.31:no.8:extra ed.(1996:Apr.28)

(c) 1995:suppl.2

(d) v.106:index(1995)

(d) cumulative index no.1-26(1995:Dec.29)

Supplements and indexes not linked to a separate item identifier are generally considered to be at the secondary bibliographic level. Therefore they are not recorded at the summary level (level 3); they are recorded only at the detailed level (level 4).

Optionally, consider these supplements or indexes as part of the basic bibliographic unit; they need not be recorded if the resulting statement is unambiguous. Holdings of supplements or indexes that are linked to a separate item identifier (i.e., bibliographic record) are recorded as basic bibliographic units of that bibliographic record. Type-of-Unit designator is then coded "a" for supplements or for indexes, because the supplements or indexes are the basic bibliographic unit of their respective bibliographic records.

5.5.2 Name of Unit

The data element Name of Unit consists of the bibliographic title of the unit, or a briefer supplied designation that describes it. Enclose the name of unit in quotation marks. The conventions for recording the name are not specified by this standard; it is suggested that an applicable existing standard, for example, cataloging rules, be used.

Name of unit may be used when it is necessary to identify the unit being specified. Name of unit is used to record the extent of holdings for a basic or secondary bibliographic unit. Name of unit is used primarily for non-serial units, but it is also used for a serial unit which is designated by a name. Examples include a part of a kit, accompanying material, a supplement, or a serial with several named parts all attached to one Item Identification Area.

A plus mark separates a basic bibliographic unit from a secondary bibliographic unit.

Optionally, a plus mark may be used to separate two or more basic bibliographic units.

Examples:

"Statistical update for 1992"

"Supplement 1" [Unit reads "First Supplement to the Guide".]

"Atlas" [Unit reads "A Demographic atlas of Northwest Ireland".]

"Teacher's Guide" + 1 sound cassette [Single-part title with cassette recorded as secondary bibliographic unit]

"Aachen to Kodesh" "Koeberle to Zwischen" [Unit carries only names of parts, no enumeration. Transcribe "to" instead of hyphen or slash.]

"Installation disk" + "Program disk" + "Help disk" [Optional use of plus mark connecting basic bibliographic units recorded as Name of Unit]

"Statutes" pt. 1-8 + "Cases" pt. 1-7

"Tätigkeitsbericht" 1980- + "Neuerwerbungen" 1979- [Unit is a two-part serial whose parts are distinguished only by titles (names); two basic bibliographic units.]

"Charter" ch.1-74 + "Code" titles 1-27 + "Amendments" 1935- + "Index" 1996:no.1

["Charter" and "Code" are multi-volume sets with a constant number of volumes. "Amendments" is a currently received annual serial. Only the latest issue of "Index" is retained. All are attached to one bibliographic record.]

5.5.3 Extent of Unit

Extent of unit is recorded as a total count of the number of parts, usually represented by an Arabic numeral, followed by a term indicating the specific class of material. The extent of unit is recorded for bibliographic items lacking sequential designations. For units having a large number of pieces, an estimate of the total may be given.

If the unit is a single part, extent of unit is not necessary if name of unit is given. The extent of unit of a single-part basic bibliographic unit is optional; it may be recorded at level 2. But if the single-part basic bibliographic unit has one or more secondary bibliographic units, both must be recorded at the summary (level 3) or detailed (level 4) level.

Examples:

2 sound cassettes

1 microfiche

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179 sheets

ca. 1000 items

“Appendix” [Single bibliographic item with Name of Unit only; Extent of Unit not needed]

1 v. + “Songs” 1 sound cassette [Single-part unit with secondary bibliographic unit. Extent of unit of the basic bibliographic unit must be recorded because there is a secondary bibliographic unit.]

If the units have sequential designations, treat them as enumeration, not as extent of unit.

Example:

v. 1–20, 50–59 [not 30 v.]

5.5.4 Enumeration

Holdings are recorded by enumeration if the unit has an enumerative sequential designation. Serial units usually have enumeration, but may have only chronology. Serial holdings are recorded in terms of enumeration or chronology or both.

Some multipart non-serial units have enumeration, for example, multivolume monographs. In those cases, use the enumeration to record the non-serial holdings. Monographic series with numbers on each volume may be recorded by enumeration.

If a bibliographic item does not carry enumeration, do not supply it.

Record the enumeration for serial and multipart units by giving the caption (recommended, optional), followed by the sequential designations of the pieces held. (See also 5.5.4.2, Captions)

| | | |
|------------------|----------------------|---------------|
| Band 5 | becomes | Bd. 5 |
| volume 16, no. 3 | becomes | v. 16 : no. 3 |
| third series | becomes | ser. 3 |
| 63 | record as | 63 |
| volume 63 | optionally record as | 63 |

5.5.4.1 Levels of Enumeration

If a unit has hierarchical enumeration, holdings may be recorded at summary level (level 3), detailed level (level 4), or as mixed holdings (a combination of summary and detailed level holdings).

When enumeration below the first level is given, use a colon to separate each level of holdings.

Examples:

v. 1 : no. 1

Bd. 1 : T. 1 : Nr. 3

1 : 2 : 1

For both numbered and unnumbered first-level series designators, record the series level as the first level of enumeration. When the first level is a series, always record the second-level enumeration along with the first level. As usual, separate the first level from the second with a colon.

Examples:

ser. 3 : v. 1 [The first level is a numbered series, “ser. 3”]

new ser. : v. 1 [The first level is an unnumbered “new series”]

Note: Holdings statements created according to this standard, Z39.71-1999, are to use the abbreviation “new ser.” followed by a colon. Holdings statements created according to Z39.42-1980 or Z39.44-1986 may use the obsolete abbreviation “n.s.” without a colon.

If it is necessary to record both first-level and subsequent level enumeration in the holdings statement, repeat all levels of enumeration at the beginning and end of each range held.

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ser.1:v.1-ser.3:v.25

In an itemized multipart statement, captions, when present, are repeated before each unit.

Example:

v.1 v.1A v.1B v.2 v.2A v.3 v.4 Index [Index volume has no caption.]

Optionally, record only one part of redundant captions. But record all parts of an unnumbered or numbered series caption.

Examples:

| | | |
|---------------------|---------|------------------|
| volume no. 4 | becomes | v.4 or no.4 |
| bulletin no. 25 | becomes | bull.25 or no.25 |
| new series volume 1 | becomes | n.s.:v.1 |

5.5.4.3 Sequential Designators

Convert all numeric information to Arabic numbers.

Examples:

| | | |
|-----|---------|---|
| VII | becomes | 7 |
| six | becomes | 6 |

Optionally, ordinal numbers may be converted to cardinal numbers. If ordinal numbers are recorded, follow Appendix C (Ordinal Numbers), *Anglo-American Cataloguing Rules* (current edition and revision).

Examples:

| | | |
|-----------|---------|----------|
| first | becomes | 1st or 1 |
| troisième | becomes | 3e or 3 |
| 3. Teil | becomes | T.3 |

Record uppercase and lowercase alphabetic characters as they appear on the bibliographic item.

Examples:

23a
no.36B
v.B

Optionally, romanize nonroman alphabetic data.

When a bibliographic item is issued with combined numbering — not when bound together after receipt — separate the numbers by a forward slash.

Examples:

v.5/6
v.5:no.1/2
v.4:no.4/v.5:no.1 [Published as a combined issue]
v.33/v.44:no.2 [A microfilm reel or CD-ROM containing v. 33 through v. 44, no. 2.]

When a part of an otherwise numbered unit lacks numeric or alphabetic designation, it may be supplied in square brackets.

Examples:

[v.1] v.2 v.3 [Enumeration supplied for v.1 — itemized form.]
[v.1]-3 [Enumeration supplied for v.1 — compressed form.]

In an itemized statement, or at either end of a compressed statement, record an incorrect numeric or alphabetic designation as it appears on the piece, with the correct designation following in square brackets, and preceded by “i.e.”

Example:

v.1 v.2 v.2[i.e. 3] v.4 [Volume 3 was incorrectly numbered by the publisher.]
not:

v.1-2[i.e.3];4

In level 3 (summary) and mixed holdings, end the statement with a final hyphen if the holdings are open.

Optionally, a final hyphen may be used in level 4 (detailed) holdings if the holdings are open.

Examples:

16-31,33-
v.5:no.1-

No hyphen is used if only a single unit is held.

Example:

v.5

If the holdings are closed, no punctuation follows the closing enumeration.

Example:

v.1-105

If typographic or other designations are used on the unit in place of sequential designators, convert them to numbers if they have direct numeric equivalents.

Example:

v.1-5 [One or more asterisks appear on the volumes representing volume numbers]

If converting them makes them ambiguous, represent them textually or by an appropriate symbol.

Example:

v.1-6A;*-** [A multipart unit with seven numbered volumes and two sequential volumes numbered * and **. (Such * volumes are often indexes.)]

If there are no direct numeric equivalents, see section 5.5.3, Extent of Unit.

5.5.4.4 Multiple Enumerations

For a serial or multipart unit within a serial or multipart unit, each with its own numbering scheme, record the enumeration appropriate to the basic bibliographic unit specified in the Item Identification Area.

For alternative enumerations, if there is a scheme of continuously incrementing issue numbers or other numbering schemes in addition to a regular scheme of enumeration, the alternative numbering scheme or schemes may be recorded, following the regular scheme of enumeration and separated by an equal sign. When alternative numbering exists, there should be correlation between the different enumeration schemes.

Examples:

v.1-3=no.1-36
ser.1:no.1-ser.2:no.4,ser.2:no.6=no.1-10,no.12 [6 numbers per series]

5.5.4.5 Unnumbered Issues

If an unnumbered, named issue is linked to a separate Item Identification Area, record it separately. But if it is linked to the same Item Identification Area as the rest of the units, an unnumbered, named issue may be recorded as part of a holdings string at the uncompressed and detailed level (level 4). More frequently, it will be compressed into the higher-order designator.

Examples:

Inaugural issue [published before vol.1:no.1]
Annual directory issue

5.5.5 Chronology

Chronology is recorded in parallel with enumeration, except when a bibliographic item carries only chronology. When only a chronological sequential designation is present, the chronology specifies the holdings. When only chronology specifies the holdings, it is not enclosed in parentheses.

If both enumeration and chronology are present, both may be recorded. If only enumeration is present, enumeration is recorded; chronology is not supplied. If only chronology is present, chronology is recorded; enumeration is not supplied.

If it is necessary to record both first-level and subsequent level chronology in the holdings statement, repeat all levels of chronology at the beginning and end of each range held.

Optionally, if a bibliographic item normally carries chronology data and such data is omitted from some pieces, it may be supplied within square brackets.

5.5.5.1 Levels of Chronology

Only the highest level of chronology data, the year, shall be recorded for summary (level 3) holdings.

With detailed level (level 4) holdings, chronology data below the first level shall be recorded when a corresponding level (detailed level) of enumeration is recorded, or when there is no enumeration.

In summary level (level 3) holdings, a final hyphen shall be used if the holdings are open.

Optionally, a final hyphen may be used in detailed level (level 4) holdings if the holdings are open.

Alternatively, a detailed holdings statement for a title that is currently received may be closed. (This assumes that the holdings statement will be regularly updated.)

Examples:

1969–
Bd. 1 (1968)–
v. 5: no. 1 (1975: Jan.)–v. 7: no. 4 (1977: Oct.) , v. 8: no. 2 (1978: Apr.)–
v. 1: no. 1 (1994: spring)–v. 3: no. 4 (1996: autumn) [Closed, detailed level holdings statement]

No hyphen is used if only a single year is held.

Example:

1992

5.5.5.2 Dates

When more than one type of date is present on the bibliographic item, select the date from the following preferred dates, in this order:

Date of coverage
Date of publication
Date of copyright
Date of printing

Do not use the date of reprinting in the holdings statement because the chronology information should be that associated with the original work. Reprint information is properly a part of the bibliographic description of the work.

Always record all four digits of the year.

Example:

1993/1994, *not* 1993/94

If there is chronology data available, but the exact year cannot be precisely determined (for example, for some non-Gregorian dates), use a question mark to fill the space of the missing digit.

Examples:

198?

18??

If the century is not known, do not record that date.

Optionally, a non-Gregorian date which can be converted only to one of two Gregorian dates may be recorded as: 5757 [1996 or 1997]

Record months, seasons, and days in the vernacular form, as they appear on the publication, transliterated when needed.

Abbreviate chronology data in accordance with appropriate portions of "Abbreviations," Appendix B, Anglo-American Cataloguing Rules, (current edition and revision) when applicable abbreviations are provided. If applicable abbreviations are not present, other standard lists or ISO 832 rules may be used.

Examples:

1989:Jan.

1987:juil.

1993:mid-Sept.

When chronology below the first level is recorded, use a colon to separate the year from the month. In recording chronology data that contains day notations, do not treat these as a separate hierarchical level, and do not separate them with a colon.

Examples:

1982:Feb.

1988:Feb.1 *not* 1988:Feb.:1

If chronology of less than a day is recorded, use a colon to separate time designations from the day.

Example:

1996:Oct.19:am [Daily newspaper with both morning and evening editions]

If chronological time is recorded, use the 24-hour clock with hours, minutes, etc., separated by colons. Optionally the offset from Universal Time may be included.

Example:

1996:Oct.20:16:18:51.37 -0400 [Specific version of a computer file sent at 4:18:51.37 pm]

Use a forward slash as a separator if the chronology data for a single bibliographic unit spans a non-calendar year or more than one year.

Examples:

1989/1990- [non-calendar date or biennial]

1990/1992 [triennial]

If the holdings are closed, no punctuation follows the closing year.

Examples:

1989-1995

t.2(1980)-9(1987)

When one calendar scheme is present on the publication, use that scheme as the basis for recording chronology data. When the Gregorian scheme and one other scheme are present on the publication, use the Gregorian scheme.

At the summary level (level 3), convert any non-Gregorian dates required for a holdings statement to the equivalent Gregorian dates at the highest level (usually year) and record them in Gregorian form.

For detailed (level 4) statements, any non-Gregorian dates required for a holdings statement may also be recorded in the Gregorian form in square brackets.

5.5.6 Specific Extent Note

A specific extent note may occur after any data element. It relates either to the element it directly follows or to the entire Extent of Holdings Area, depending on its wording and position in the area. The specific extent note is enclosed in angle brackets.

Record information relating to the bibliographic description as a specific extent note only when it is needed for clarification.

Examples:

- 1 videocassette <VHS> [Specific type of videocassette (VHS) is not reflected in the bibliographic record.]
- 1 sound disk <compact digital> [Specific type of sound disk is not reflected in the bibliographic record]
- v.1-9 v.10 <Tables> v.11 <Index> [Volumes are sequentially numbered; volumes 10 and 11 have special titles that have been added as optional information. Because v.10-11 were issued after the initial publication of the set, these titles are not reflected in the bibliographic record against which holdings are being recorded.]
- v.1-6 <bound> v.7-10 <unbound> [An indication of the binding status of the volumes] “Decisions” 1 v. <In binder> <Decisions are discarded as soon as they are issued in Cases volumes.>
- v.1-12 v.12 <2nd ed.> v.13-28 v.28 <3rd ed.> [A monographic series of which all volumes and all editions are kept.]
- v.1-2B v.3 <1997 ed.> v.4-5 v.6 <1995 ed.> [A set whose volumes are replaced in random sequence by new editions with the same volume numbering. Imprint date is 1990-]

5.6 Holdings Note Area

Combine all notes relevant to a single occurrence of the Location Data Area into a single Holdings Note Area.

Notes may include such information as restrictions on access, physical condition, etc.

Do not repeat in the Holdings Note Area information contained elsewhere in the holdings statement. Information relating to the bibliographic description is recorded in the Note Area only when it is needed to resolve ambiguity.

The Holdings Note Area may be used to carry notes on specific extent of holdings when the note information would be ambiguous or inappropriate in the Extent of Holdings Area or when the Extent of Holdings Area is not present.

If it is desired to enumerate specifically the parts of a bibliographic item that are not held or to indicate a non-gap break, this may be done in the Holdings Note Area.

Examples:

- V.5 is badly water-damaged.
- Non-circulating.
- V.16 is lacking.
- V.1 missing p. 345; v.3 is extremely brittle.
- Library set lacks slides 7-9.
- DEZ treated 5/13/84.
- Transferred to safety film 3/3/78.
- Master negative.
- V.8 not published.
- Retain latest edition only.
- Captions vary.

Appendix A: Examples of Holdings Statements

(This appendix is not part of the ANSI/NISO Z39.71-2006 (R2011). It is included for information only.)

Introduction

The thirty-one examples in this appendix present a variety of holdings statements. Each numbered example is intended to illustrate one or more of the principles presented in Z39.71. The following selective guide to the examples is provided to make it easier to find illustrations of the principles.

| <i>Selective Guide to Examples</i> | <i>Example Numbers</i> |
|-------------------------------------|---|
| Accompanying material | 2, 5, 8, 10, 12, 13, 18, 19, 20, 21 |
| Archival material | 15, 16 |
| Composite holdings statements | 27 |
| Compressed holdings statements | 3, 11, 12, 13, 14, 15, 17, 19, 24, 25, 26, 27 |
| Electronic Resources | 29, 30, 31 |
| Itemized holdings statements | 3, 11, 14, 19, 27, 28 |
| Loose-leafs | 19, 20 |
| Microforms | 4, 8, 10, 25 |
| Multiple formats | 4, 10, 12, 25, 30, 31 |
| Music and sound recordings | 11, 12, 13, 14 |
| Notes | 6, 8, 9, 11, 12, 14, 18, 19, 21, 22, 24, 25, 29, 30, 31 |
| Serially-issued bibliographic items | 22, 23, 24, 25, 26, 27, 29, 30 |
| Specific extent notes | 3, 13, 17, 20, 28 |
| Supplements | 17, 18, 21 |
| Video recording | 9 |

In the examples, a double hyphen surrounded by spaces (--) appears between each of the six data areas. The double hyphen is provided for purposes of illustration and ease of reading; it is not required by the standard. Also, "XXX" is used in the examples within the location data area to represent an institution identifier. "(SYS)" is used to represent a system identifier preceding a record control number used as an item identifier (see section 5.1).

1. Single part printed text.

(SYS)801-247897

Level 1: XXX
Level 2: XXX -- 19940621 [The General Holdings area is not included for level 2 because it is optional (see Table 2).]
Level 3: XXX -- 19940621
Level 4: XXX -- 19940621 -- (a,ta,4,2,8) ["a" is the current recommendation for basic bibliographic unit.]

or,

XXX -- 19940621 -- (b,ta,4,2,8) ["b" is the obsolete recommendation for basic bibliographic unit. Not for use in newly input holdings statements.]

2. Multipart printed text.

ISBN 0-262-18123-1

Level 1: XXX
Level 2: XXX -- 19890524
Level 3: XXX -- 19890524 -- (a,ta,4,2,8) -- v.1-2
Level 4 (compressed): XXX -- 19890524 -- (a,ta,4,2,8) -- v.1-2
or,
Level 4 (itemized): XXX -- 19890524 -- (a,ta,4,2,8) -- v.1 v.2

3. Multipart printed text in itemized and compressed form. (See 5.5.1.2)

(SYS)987654

Level 4: XXX -- 19950927 -- (a,ta,4,2,8) -- v.1 <1992 rev. ed.>
v.2-v.5 v.6 <1994 rev. ed.> v.7-10

4. A single part printed text held also in microform.

ISBN 0-904351-114

Level 2: XXX Main C1 PZ7.D684 A1 1997 -- 19970303 -- (a,ta,0,0,8)
XXX Main C2 Mic77-3276 -- 19970503 -- (a,he,0,0,8)

or,

ISBN 0-904351-114

Level 2: XXX Main C1 PZ7.D684 A1 1997 -- 19970303 -- (text)
XXX Main C2 Mic77-3276 -- 19970503 -- (microform)

5. A printed text with accompanying material.

(SYS)2642345

Level 1: XXX Main QE653.H59
Level 2: XXX Main QE653.H59 -- 19930103 -- (c,ta,1,0,0)
Level 3 or 4: XXX Main QE653.H59 -- 19930103 -- 1 v. + "Teacher's guide" pt.A-B

or,

Level 3 or 4: XXX Main QE653.H59 -- 19930103 -- 1 v. + "Teacher's guide" 2 v.

**6. Two copies of the same multivolume monograph at different locations.
(Level 3 or 4 for first location, Level 1 for second)**

(SYS)841-1728

XXX Art Library 155.444 -- 19920712 -- (Incomplete) --
v.14,v.16-20 -- Pages 356-382 of v.18 lacking.
XXX Journalism 155.444

7. One copy of a multipart bibliographic item divided between two locations.

(SYS)841-1728

Level 3 or 4: XXX Spec Coll c.1 RA423.B24 -- 19960111 -- (a,ta,2,0,8) -
- v.1-10 XXX Reference c.1 RA423.B24 -- 19960111 --
(a,ta,2,0,8) -- v.11-25

or,

(SYS)841-1728

Level 3 or 4: XXX Spec Coll c.1 RA423.B24 -- 19960111 -- (incomplete) -
- v.1-10 XXX Reference c.1 RA423.B24 -- 19960111 --
(incomplete) -- v.11-25

**8. A microform preservation master and a service copy of the same
bibliographic item held by a single location.**

(SYS)879432

Level 2: XXX Microreel 489 -- 199601111 -- (microfilm) --
Preservation master negative.
XXX Microreel 590 -- 199601111 -- (microfilm) -- Service
copy.

9. A multipart videocassette set.

(SYS)841-5228

Level 3 or 4 (compressed): XXX C1 HN535.2.M3J68 -- 19940525 -- (videocassette,
incomplete) -- no.1-3,no.5 -- VHS. Does not circulate.

or,

Level 4 (itemized): XXX C1 HN535.2.M3J68 -- 19940525 -- (a,vf,2,0,8) -- no.1
no.2 no.3 no.5 -- VHS. Does not circulate.

10. A printed text with various kinds of accompanying materials.

(SYS)801-248140

Level 3 or 4: XXX -- 19930525 -- 1 v. + (model) ca. 300 pieces + "Teacher's
guide" 1 sound cassette + 1 sound disc + (microfiche)
"Supplement" no.1-5

**11. Audio CD set with collected and analytic records; circulated as a set or
individually (four separate Holdings Statements). The discs are designated
volume 1, volume 2, and volume 3 (level 3 or 4).**

(SYS)891-7006

Level 3 or 4: XXX Music Lib. -- 19940204 -- (sound disc) -- v.1

(SYS)821-8675

Level 3 or 4: XXX Music Lib. -- 19940204 -- (sound disc) -- v.2

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(SYS)821-5676

Level 3 or 4: XXX Music Lib. -- 19940204 -- (sound disc) -- v.3

(SYS)821-5000

Level 3 or 4 XXX Music Lib. -- 19940204 -- (sound disc) -- v.1-3 --
Discs also (compressed): circulate individually.

or,

(SYS)891-7006

Level 3 or 4: XXX Music Lib. -- 19940204 -- (a,sd,1,0,8) -- v.1

(SYS)821-8675

Level 3 or 4: XXX Music Lib. -- 19940204 -- (a,sd,1,0,8) -- v.2

(SYS)821-5676

Level 3 or 4: XXX Music Lib. -- 19940204 -- (a,sd,1,0,8) -- v.3

(SYS)821-5000

Level 3 or 4 (itemized): XXX Music Lib. -- 19940204 -- (a,sd,1,0,8) -- v.1 v.2 v.3
-- Discs also circulate individually.

12. Record set with accompanying printed plot summary described in one bibliographic record.

(SYS)821-9786

Level 3 or 4: XXX Music Lib. -- 19870204 -- 2 sound disks + (text) "Plot
(compressed) summary" 1 pamphlet -- In box.

13. Music score and parts; the parts lack enumeration and some parts are held in multiple copies.

(SYS)821-6493

Level 3 or 4: XXX Music Lib. -- 19970204 -- (a,music,4,2,8) -- 1 score +
(compressed) (a,music,1,2,8) 10 parts

or,

(SYS)821-6493

Level 3 or 4: XXX Music Lib. -- 19970204 -- (a,music,1,2,8) -- 1 score + flute 1st
oboe 2nd oboe bassoon timpani 1st violin <4 cop.> 2nd violin <4
cop.> viola <2 cop.> violoncello <2 cop.> basso <2 cop.>

14. Ensemble music in four bibliographic volumes, each volume containing four physical pieces, each piece corresponding to a different instrumental part. Because there is no real enumeration for the parts, the title of each part, or a brief supplied designation, has been used in lieu of a second-level enumeration in the itemized statement below (see section 5.5.4.1). Holdings are shown as both compressed and itemized statements.

(SYS)821-1472

Level 4 (compressed): XXX Music Lib. Cop.1 -- 19970506 -- (a,music,1,2,8) --
v.1-4 -- In 16 pts.
XXX Music Lib. Cop.2 -- 19970506 -- (a,music,2,2,8) --
v.1-4 -- In 16 pts.; cello part missing from all volumes.

or,

(SYS)821-1472

Level 4 (itemized): XXX Music Lib.Cop.1 -- 19970506 -- (a,cy,1,0,8) --
v.1:1st violin

v.1:2nd violin v.1:viola v.1:violoncello v.2:1st violin
 v.2:2nd violin
 v.2:viola v.2:violoncello v.3:1st violin v.3:2nd violin
 v.3:viola
 v.3:violoncello v.4:1st violin v.4:2nd violin v.4:viola
 v.4:violoncello
 XXX Music Lib.Cop.2 -- 19970506 -- (a,cy,2,0,8) --
 v.1:1st violin
 v.1:2nd violin v.1:viola,v.2:1st violin v.2:2nd violin
 v.2:viola,v.3:1st
 violin v.3:2nd violin v.3:viola,v.4:1st violin v.4:2nd
 violin v.4:viola --
 Cello parts missing from all volumes.

15. An archival manuscript collection. The collection is incomplete and still being acquired.

(SYS)86-6493

Level 3 or 4 (compressed): XXX Archives -- 19860109 -- (a,text,2,4,8) -- 12 boxes

16. An archival record for a manuscript letter.

(SYS)92-A909

Level 3 or 4: XXX Rare Bks -- 19920104 -- (text) -- 1 item

17. A supplement that is a multipart unit, with 27 volumes bound after publication into 26; volume 28, parts 3-4, and volume 29, part 4 are missing. (Note: the basic bibliographic item is not held.)

(SYS)021-78909

Level 3: XXX SQ C1 8330.162.11 -- 19880806 -- "Supplement" v.1-27
 <in 26 v.> v.28-29

or,

XXX SQ C1 8330.162.11 -- 19880806 -- (c,ta,1,0,8) --
 "Supplement" v.1-29

Level 4 (compressed): XXX SQ C1 8330.162.11 -- 19880806 -- "Supplement" v.1-27
 <in 26 v.> v.28:pt.1-28:2,v.29:pt.1-29:3

18. A work with cumulative supplements.

(SYS)189-1306

Level 3 or 4: XXX Law Lib KF6452.A59D68 1995 -- 19970803 -- 1 v.

(Binder) +

"Cumulative supplement" 1997:no.2 -- Discard when new
 issue received.

19. A loose-leaf multipart bibliographic item with serial updates to be interfiled, shown both as an itemized and as a compressed statement.

(SYS)262-18944

Level 4 (itemized): XXX Law Lib KF1.P54 -- 19960505 -- (a,binders,1,4,8) --
 v.1-3 + (c,ta,2,4,8) "Updates" 1995:no.1 1995:no.2
 1995:no.3 1995:no.4

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1995:no.5 1995:no.6 1995:no.7 1995:no.8 1995:no.9
1995:no.10
1995:no.11 1995:no.12 1996:no.1 1996:no.2
1996:no.3,1996:no.5 --
Updates are interfiled upon arrival.

or,

Level 4 (compressed): XXX Law Lib. KF1.P54 -- 19960505 -- (a,binders,1,4,8) --
v.1-3 +
(c,ta,2,4,8) "Updates" 1995:no.1-1995:no.12 1996:no.1-
1996:no.3,
1996:no.5 -- Updates are interfiled upon arrival.

20. A bibliographic item consisting of bound volumes and loose-leaf binders, with serial updates. Holdings are compressed; a line break is used for multiple basic and secondary bibliographic units; information about binding is included in specific extent notes.

(SYS)170-29347

Level 4:

XXX Law Lib KF3775.A6E49 -- 19880305 -- "Current
Development" v.1-18 v.19:no.1-19:5 <binders>
+ "Cases" v.1-22 <bound>
+ "Decisions" <binders> v.23:no.1-23:28 v.24:no.1-24:9
1985:Sept.6-1986:Mar.26 1986:Apr.4-1986:May 30
<Decisions are discarded when they appear in "Cases">
+ "Federal laws" v.1-2 <binders>
+ "Federal regulations" v.1-4 <binders>
+ "Federal" suppl. no.761-764 1986:Apr.4-1986:May 30
<Interfiled into "Federal law" and "Federal
Regulations">
+ "Monographs" 1 v. <binder>
+ "Monograph" no.1-32 <Interfiled into "Monographs">
+ "State air laws" v.1-3 <binders>
+ "State water laws" v.1-3 <binders>
+ "State solid waste land laws" v.1-5 <binders>
+ "State laws" suppl. no.17-19 1986:Mar.28-1986:Apr.18
<Interfiled into "State air laws", "State water laws",
and "State solid waste land laws">
+ "Mining" v.1-2 <binders>
+ "Mining" suppl. no.28-30 1986:Jan.31-1986:Apr.25
<Interfiled into "Mining">

21. A text with an annual cumulative supplement.

(SYS)984-52643

Level 3 or 4:

XXX Law Lib KF6542.A59D68 -- 19960103 -- 1 v. +
"Supplement" no.2(1996) -- Supplement is cumulative;
earlier are discarded.

22. A serially issued bibliographic item with a non-gap break.

(SYS)549-4367

Level 4:

XXX -- 19970321 -- (a,ta,1,4,8) -- v.1(1986)
v.5(1990);v.7(1991)- v.12(1996) -- Volume 6 not
published.

23. A serially issued bibliographic item. The library holds: v.1-6 (complete);

v.7:no.1,3-12; v.8-10 (complete); and v.11:no.1-10.
The title is currently received; the holdings are permanently retained.

(SYS)351-77554

Level 2: XXX -- 19931017 -- (text, complete, currently received, permanent retention)
Level 3: XXX -- 19931017 -- v.1(1983)-
Level 4: XXX -- 19931017 -- (a,ta,1,4,8) -- v.1-v.6
v.7:no.1,v.7:no.3-v.7:no.12 v.8-v.10 v.11:no.1
v.11:no.10 1983-1988
1989:Jan.,1989:Mar.-1989:Dec. 1990-1992 1993:Jan.-
1993:Oct.

24. The library holds in print form v.108:no. 1-18. The title is currently received but retained only for the current year.

(SYS)874-98334

Level 1: XXX
Level 2: XXX -- 19970317 -- (0,ta,0,4,6) -- Retain latest year only.
Level 3: XXX -- 19970317 -- (a,ta,0,4,6) -- v.108- 1996- -- Retain latest year only.
Level 4 (compressed): XXX -- 19970317 -- (a,ta,0,4,6) -- v.108:no.1-108:18
1996:Jan.1-1996:Oct.15 -- Retain latest year only.

25. A serial that is received in both textual and microform forms. The textual form is discarded after a period but the microform is retained.

(SYS)609-77238

Level 2: XXX MRR -- 19970317 -- (microform,complete,currently received, permanently retained)
XXX Ag -- 19970317 -- (text,currently received,not retained)
Level 4 (compressed): XXX MRR -- 19970317 -- (a,hd,1,4,8) -- v.1-32 1949-1996
XXX Ag -- 19970317 -- (a,ta,0,4,6) -- v.33:no.1-33:3 -- Discard when microfilm received.

26. The library holds v.1-8 in print form. The holdings are permanently retained but not currently received.

(SYS)702-27612

Level 1: XXX
Level 2: XXX -- 19970317 -- (not currently received)
Level 3: XXX -- 19970317 -- (not currently received) -- v.1-8
1993-1996
Level 4 (compressed): XXX -- 19970317 -- (not currently received) -- v.1-8
1993-1996

27. Two copies of a serial held in printed form, both currently received and permanently retained. Copy 1's holdings are: v.3-22 (complete), v.23:no.1-9. Copy 2's holdings are: v.1-21 (complete), v.22:no.1-6,8-12 and v.23:no.1-

3,5-8. Both copies are currently received, the holdings for both copies are permanently retained.

(SYS)534-82746

Level 3: XXX Sci Cop.1 -- 19970417 -- (a,ta,1,4,8) -- v.3-23 1976-1996
XXX Sci Cop.2 -- 19970417 -- (a,ta,1,4,8) -- v.1-23 1974-1996
Level 3 (composite): XXX Sci -- 19970417 -- (a,ta,1,4,8) -- v.1-23 1974-1996
Level 4 (composite): XXX Sci -- 19970417 -- (a,ta,1,4,8) -- v.1:no.1-v.23:no.9
1974:Jan.-1996:Sept.
Level 4 (partly compressed, partly itemized):
XXX Sci Cop.1 -- 19970417 -- (a,ta,1,4,8) -- v.3-v.22
v.23:no.1-v.23:no.9 1976-1995 1996:Jan.-1996:Sept.
XXX Sci Cop.2 -- 19970417 -- (a,ta,1,4,8) -- v.1-v.21
v.22:no.1-v.22:no.6,v.22:no.8-v.22:no.12
v.23:no.1-v.23:no.3,v.23:no.5-v.23:no.8 1974-1994
1995:Jan.-1995:June,1995:Aug.-1995:Dec. 1996:Jan.-
1996:Mar.,1996:May-1996:Aug.

28. A multipart bibliographic item with replacement volumes, extra numbered volumes, unnumbered volumes, and pocket parts. Itemized line-by-line display; separator for itemization is a line break.

(SYS)849-34072

XXX Law Lib. KFV2430 1950.A243 -- 19970604 -- (a,ta,1,4,8)
v.1<1995 ed.>
v.1A<1994 ed.>
v.1B<1993 ed.>
v.2<1992 ed.>
v.2A<1991 ed.>
v.2B<1993 ed.>
v.3<1993 ed.>
v.3A<1989 ed.>
v.3A:cumulative supp.<1996>
v.3B<1996 ed.>
v.4<1996 ed.>
v.4A<1995 ed.>
v.5<1993 ed.>
v.5A<1992 ed.>
v.6<1996 ed.>
v.6A<1994 ed.>
v.7<1996 ed.>
v.7A<1994 ed.>
v.8<1995 ed.>
v.8A<1991 ed.>
v.9<1992 ed.>
v.9A<1995 ed.>
v.10<Tables><1993>
v.11<Rules of the Virginia Supreme Court><1996>
v.12<Index A-I><1996>
v.13<Index J-Z><1996>
+ <Legal Ethics and Unauthorized Practice Opinions><1991>
+ <Legal Ethics and Unauthorized Practice Opinions><1996>
+ <Administrative Law Appendix><1996>

+ "1996 Cumulative supplements"<Pocket parts for 1996;earlier are discarded>

29. An electronic journal available remotely. Although the latest 5 years are not available, Extent of Holdings may optionally be left open to minimize maintenance.

(SYS)123456

XXX -- 19981116 -- (a,cr,0,0,6) -- 1982-1993 -- The latest 5 years are not available in this electronic version; latest 5 years are available in paper only.

30. A journal published since 1995, simultaneously in print and electronically. Electronic version lacks enumeration.

(SYS)4321987

XXX Rapp Stor. -- 19981119 -- (a,ta,1,4,8) -- v.1- 1995-
XXX Electronic Resource -- 19981119 -- (a,cr,1,4,8) -- 1995- --
Continuously updated.

31. A database updated continuously online and quarterly on CD-ROM. Notes are used to indicate holdings; Extent of Holdings information is not recorded as a formatted data element.

(SYS)5678321

XXX Electronic Resource -- 19981119 -- (a,cr,0,4,8) --
Continuously updated.
XXX Soc. Sci. Lib. -- 19981119 -- (a,co,1,4,2) -- Latest
release only. Updated quarterly with reissue.

Index

(This appendix is not part of the ANSI/NISO Z39.71-2006 (R2011). It is included for information only.)

This index follows the recommendations of NISO TR02-1997, *Guidelines for Indexes and Related Information Retrieval Devices*. Entries for the standard use section numbers as locators, not page numbers. Entries for the Foreword use lowercase Roman numerals. Locators for tables appear in italics. Locators for definitions are in **boldface**. When an entry for a definition appears in a word order different from that used in section 2, Definitions, the term used in section 2 appears in parentheses after the locator.

- AACR *see* Anglo-American Cataloguing Rules
- accompanying material *see* secondary
 - bibliographic unit
- acquisition status designators, **2**, 5.4.4
- adjacent displays, **2**, 5.5.1.4
- alphabetic designations *see* enumerations
- alternative enumerations, **2**, 5.5.4.4
- Anglo-American Cataloguing Rules, 1.2.7
- ANSI/NISO Z39.56, v
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- areas *see* data areas

- basic bibliographic units, **2**
- bibliographic items, **2** *see also* bibliographic units
 - inclusion determined by item identification areas, 1.2.8
- bibliographic units *see also* bibliographic items
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