

INTERNATIONAL STANDARD

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Information and documentation — Holdings statements — Summary level

Information et documentation — États de collection — Niveau succinct

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

Draft International Standards adopted by the technical committees are circulated to the member bodies for voting. Publication as an International Standard requires approval by at least 75 % of the member bodies casting a vote.

International Standard ISO 10324 was prepared by Technical Committee ISO/TC 46, *Information and documentation*, Subcommittee SC 9, *Presentation, identification and description of documents*.

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Information and documentation - Holdings statements - Summary level

1 Scope

This International Standard specifies display requirements for holdings statements at the summary level for serial and non-serial items, to promote consistency in the communication and exchange of holdings information. It is intended for use in reporting holdings when reporting is in display form. For machine-readable reporting not in display form, the data elements specified in this International Standard should be included, although their order, etc., may be different in the machine record.

This International Standard identifies and defines the data elements for statements of holdings of serial and non-serial items at a summary level appropriate for listings of holdings in one or more libraries or institutions. It specifies the content and sequence of data elements within data areas and requirements for inclusion of data areas in the holdings statement.

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

This International Standard applies to holdings statements for bibliographic items in any physical medium.

This International Standard does not specify the way in which the data elements should be represented in a machine-readable data format, nor the medium (media) employed for storage, display, or transfer of the holdings statements. The guidelines are independent of cataloguing rule systems.

2 Normative references

The following standards contain provisions which, through reference in this text, constitute provisions of this International Standard. At the time of publication, the editions indicated were valid. All standards are subject to revision, and parties to agreements based on this International Standard are encouraged to investigate the possibility of applying the most recent editions of the standards indicated below. Members of IEC and ISO maintain registers of currently valid International Standards.

ISO 832:1994, *Information and documentation - Bibliographic description and references - Rules for the abbreviation of bibliographic terms*.

ISO 8601:1988, *Data elements and interchange formats - Information interchange - Representation of dates and times*.

3 Definitions

For the purposes of this International Standard, the following definitions apply.

NOTE - The defined terms are arranged in alphabetical order in the English and French texts. The equivalent terms in English or French are given in parentheses to facilitate simultaneous consultation.

3.1 accompanying material: See *secondary bibliographic unit*.

(French term: matériel d'accompagnement)

- 3.2 acquisition status designator:** Data element indicating whether a bibliographic unit has been or will be acquired by the reporting institution.

(French term: indicateur du statut d'acquisition)

- 3.3 alternative enumeration:** Additional, secondary enumeration assigned to some multipart units or serial units.

(French term: autre numérotation)

NOTE - This is done to provide a continuously numbered sequence in addition to a set of hierarchical designations. For example, "v.3:pt.1=fasc.7" reflects a primary enumeration of volumes and parts, and an alternative enumeration of fascicles.

- 3.4 basic bibliographic unit:** Primary bibliographic unit for which holdings are being reported.

(French term: unité bibliographique principale)

NOTE - Examples of basic bibliographic units are: a book, a ten-volume encyclopedia, a computer file, a map. A bibliographic item composed of several bibliographic units of which one does not predominate is considered to have multiple basic bibliographic units; examples include a multimedia kit or a musical score and parts. See also *secondary bibliographic unit*, *bibliographic unit*.

- 3.5 bibliographic item; item:** Bibliographic unit or set of bibliographic units in any physical form, either serial or non-serial, that are published, issued or treated as an entity, and form the basis for a single bibliographic description.

(French term: document)

NOTE - In this International Standard, the bibliographic item is the entity 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 disc, a multimedia kit, a manuscript collection, a microform journal, a videotape with an accompanying pamphlet, a loose-leaf publication together with its serially-issued updates, a journal, a newspaper.

- 3.6 bibliographic unit:** Discrete bibliographic entity that constitutes either the whole or a part of the bibliographic item.

(French term: unité bibliographique)

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. Examples of bibliographic units are: a single volume, a serial publication, a multivolume monograph, an accompanying pamphlet, a set of serially issued updates.

- 3.7 call number:** Data element in the location data area indicating the physical location of a bibliographic item or bibliographic unit in a collection.

(French term: cote)

NOTE 5 - For the purposes of this International Standard, sublocation identifier and copy identifier which may accompany a call number are considered separate data elements.

3.8 caption: Word, phrase, or abbreviation indicating the parts into which a multipart unit or serial unit has been divided by the publisher.

(French term: libellé)

NOTE - A caption ordinarily appears on the piece immediately preceding the enumeration, e.g. "volume", "Band", "Heft", "part", "number", "tome", "side" (for a sound-recording disc), although it may also appear following it, e.g. "1. Teil", or surrounding it, e.g. "ti 17 chan".

3.9 chronology: Date(s) used by the publisher on a serial unit or multipart unit to help identify it and/or indicate when it was issued.

(French term: chronologie)

NOTE - The chronology may reflect the date of coverage, publication, copyright, or printing.

3.10 completeness designator: Data element indicating how much of the published part of a serial unit or multipart unit is held by an institution.

(French term: indicateur de complétude)

3.11 composite 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 statement*.

(French term: état de collection composite)

3.12 copy identifier: Data element indicating the specific copy of a bibliographic unit for which holdings are being reported.

(French term: identificateur de l'exemplaire)

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

(French term: état de collection propre à l'exemplaire)

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

(French term: zone de données)

3.15 data element; element: Basic unit of identifiable and definable data.

(French term: élément de données)

3.16 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.

(French term: date de recouvrement)

- 3.17 date of printing:** Date of impression and/or production of a bibliographic unit, as designated by the publisher on the unit.
(French term: date de l'impression)
- 3.18 date of publication:** Date of issue of a bibliographic unit, as used by the publisher on the unit.
(French term: date de publication)
- 3.19 date of reprinting:** Date of a subsequent reproduction of a previously published bibliographic unit, as used by the publisher on the reproduction.
(French term: date de réimpression)
- 3.20 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.
(French term: zone de la date d'enregistrement)
- 3.21 display:** Rendering of data in a form directly interpretable by a human.
(French term: affichage)
- 3.22 enumeration:** Sequential numeric/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.
(French term: numérotation)
- 3.23 extent of holdings area:** Data area conveying the extent of unit, enumeration, and/or chronology (whichever is appropriate) about the bibliographic unit for which holdings are being reported.
(French term: zone de l'étendue de la collection)
- 3.24 extent of unit:** Data element containing specific information about the number of parts of a bibliographic unit lacking sequential designations held by the reporting institution.
(French term: importance matérielle de l'unité)
- 3.25 gap:** Break or discontinuity in the holdings of the published parts of a multipart unit or serial unit. See also *non-gap break*.
(French term: lacune)
- 3.26 general holdings area:** Data area conveying information concerning the acquisition policy, retention policy and general completeness of the holdings of a unit.
(French term: zone d'informations générales sur l'état de collection)

- 3.27 hierarchical enumeration:** Enumeration logically divided into two or more vertical levels of organization.
(French term: numérotation hiérarchisée)
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.
- 3.28 holdings note area:** Data area containing free-text information, generally of a local nature.
(French term: zone des notes sur l'état de collection)
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.
- 3.29 holdings statement:** Record of the locations of a specific bibliographic item and, optionally, the units of that item held at a location.
(French term: état de collection)
NOTE - For the purposes of this International Standard, a holdings statement reflects only current holdings, not items known no longer to be held nor items expected to be acquired. The holdings can be open-ended, as is common with serial units.
- 3.30 institution identifier:** Data element indicating a library, organization, collection, consortium or a physical site.
(French term: identificateur de l'organisme)
- 3.31 item identification area:** Data area containing the identification of the bibliographic item for which holdings are being reported.
(French term: zone de l'identification du document)
- 3.32 item identifier:** Data element that uniquely identifies the bibliographic item for which holdings are being reported.
(French term: identificateur du document)
NOTE - The item identifier may consist of such information as an International Standard Serial Number, International Standard Book Number, a record control number, or a partial or full bibliographic description of the item.
- 3.33 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.
(French term: zone de la localisation)
- 3.34 mandatory:** Required to be included in a holdings statement formulated according to this International Standard if the situation addressed by the data element applies.
(French term: obligatoire)

3.35 monograph: See *non-serial unit*.

3.36 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.

(French term: unité en plusieurs parties)

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*.

3.37 multivolume monograph: See *non-serial unit*, *multipart unit*.

3.38 name of unit: Data element that indicates the name or title of a bibliographic unit appearing on it or formulated by the cataloguer for the purpose of identifying it.

(French term: nom de l'unité)

3.39 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.

(French term: interruption dans la parution)

3.40 non-serial unit: Bibliographic unit that is a single-part unit or a multipart unit.

(French term: unité non périodique)

NOTE - A non-serial unit may be in any physical form or medium. See also *serial unit*.

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

(French term: facultatif)

3.42 physical form designator: Data element that indicates the physical medium or type of material of the bibliographic unit.

(French term: indicateur de la forme matérielle)

NOTE - Examples of physical form designators are: microform, microfiche, videorecording, text, Braille, binder, paperback, map, computer file, sound recording, model.

3.43 physical unit: Discrete physical object that comprises the whole or part of the bibliographic unit.

(French term: unité matérielle)

3.44 punctuation mark: Non-numeric, non-alphabetic characters that carry specific meaning and serve as separators.

(French term: signe de ponctuation)

3.45 retention designator: Data element denoting the period for which the bibliographic units are held by the reporting institution.

(French term: indicateur de conservation)

3.46 secondary bibliographic unit: Discrete bibliographic unit that is supplementary or complementary to a basic bibliographic unit or to another secondary bibliographic unit.

(French term: unité bibliographique secondaire)

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, or a pamphlet accompanying an audiodisc. A secondary bibliographic unit may itself be a single-part unit, multipart unit or serial unit. See also *basic bibliographic unit*, *bibliographic unit*.

3.47 serial unit: Basic bibliographic unit or secondary bibliographic unit that is issued in successive parts at regular or irregular intervals and intended to be continued indefinitely.

(French term: unité publiée en série)

NOTE - A serial unit may be in any physical form or medium. See also *single-part unit*, *multipart unit*.

3.48 single-part unit: Basic bibliographic unit or secondary bibliographic unit complete in a single physical unit.

(French term: unité en une seule partie)

NOTE - A single-part unit may be in any physical form or medium. See also *multipart unit*, *serial unit*.

3.49 specific extent note: Data element consisting of information clarifying or enlarging upon the extent of holdings area element that it follows.

(French term: note sur un état de collection particulier)

3.50 sublocation identifier: Data element indicating a subdivision or collection within the institution represented by the institution identifier.

(French term: identificateur du fonds particulier)

3.51 summary holdings statement: Holdings statement at the first (highest) level of enumeration, or chronology, or both, that records the units held at a location.

(French term: état de collection succinct)

3.52 type of unit designator: Data element that specifies the type of bibliographic unit.

(French term: indicateur du type d'unité)

4 Holdings statement structure

4.1 Data areas

The Holdings Statement is divided into six data areas (see table 1). The data areas are designated as mandatory or optional for the level of holdings statement being recorded. The order of data areas and punctuation between them are not specified in this International Standard. The absence of an optional data area does not necessarily imply the absence of the characteristics covered by the data area. In particular, the absence of an Extent of Holdings Area does not necessarily signify the completeness of the item held.

4.2 Data elements

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

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

4.3 Levels

Three levels of holdings statements are specified in this International Standard. None of the three levels is absolute concerning holdings as they are all at the summary level.

Level 1 identifies the item and the holding institution. This level is sufficient for single-part items, but gives no indication of extent of holdings for multipart items or serial items.

Level 2 adds to level 1 general guidance as to the extent of an institution's holdings.

Level 3 includes a statement of summary extent of holdings.

The data elements that are mandatory and optional for the three levels of holdings statement detail are indicated in table 1.

4.4 Punctuation and separators

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

A consistent system of punctuation or formatting shall be used within the holdings statement. Each field of the holdings statement shall be clearly separated from the field that follows it by unambiguous punctuation (e.g. period, hyphen, or double hyphen) or by format (e.g. indentation).

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 International Standard does allow the recording of holdings for secondary bibliographic units, so long as no separate record for the secondary bibliographic unit has been, or is expected to be, created by the reporting agency.

Each holdings statement may contain only one Item Identification Area. When reporting at Level 1, the Location Data Area may be repeated. If multiple locations are specified, and the report is for levels 2 or 3, then the Date of Report, General Holdings, Extent of Holdings and Holdings Note areas will be repeated as needed for each. (See annex C, example 2.)

If an item is composed of multiple bibliographic units, and holdings are reported at Level 3, then both the General Holdings and Extent of Holdings data areas are repeated as needed. (See annex C, example 8.)

4.6 Different physical media

This International Standard allows for the inclusion of information about items in different physical media within a single holdings statement when only one applicable item identifier exists (e.g., because only a single bibliographic record for the items was created). The General Holdings and Extent of Holdings data areas would be repeated as necessary. However, if separate item identifiers exist for the items in different media (e.g. because separate bibliographic records were created), this International Standard requires that holdings be reported in separate holdings statements associated with the corresponding item identifiers.

4.7 Multiple locations/copies

This International Standard provides for the reporting of multiple locations and multiple copies within a single holdings statement.

5 Data areas and data elements

Table 1 lists the data areas and data elements that are included in the holdings statement. Each data area and element is designated as either "M" (Mandatory), or "O" (Optional). An indication is also given as to whether the data areas and elements are repeatable or not. The data areas and elements are described in detail below.

This International 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. Possible display formats for holdings statements are illustrated in annex B.

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 International 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 by which it was assigned, enclosed in parentheses. Examples of possible item identifiers are an ISSN or ISBN, a record control number, a partial or full bibliographic description.

EXAMPLES

ISSN 0024-9319

ISBN 0-88022-497-5

(OCoLC)746293

(DLC)86-13927

Simenon, Georges. Maigret goes home. ISBN 0-15-655163-9

(SBN) 503203

Labro, Philippe. Un été dans l'Ouest. ISBN 2-07-071393-8

Table 1 - Content of holdings statements

Area/Data element	Level 1 ¹⁾	Level 2 ¹⁾	Level 3 ¹⁾	Repeatability ¹⁾
Item Identification Area	M	M	M	NR
Location Data Area	M	M	M	R
Institution Identifier	M	M	M	NR
Sublocation Identifier	O	O	O	R
Copy Identifier	O	O	O	NR
Call Number	O	O	O	NR
Date of Report Area	O	O	O	R
General Holdings Area	O	MA	O	R
Type of Unit Designator	O	MA	O	NR
Physical Form Designator	O	MA	O	NR
Completeness Designator	O	MA	O	NR
Acquisition Status Designator	O	MA	O	NR
Retention Designator	O	MA	O	NR
Extent of Holdings Area	O	O	M	R
Name of Unit	O	O	M ²⁾	NR
Extent of Unit	O	O	M ²⁾	NR
Enumeration	O	O	M ²⁾	NR
Chronology	O	O	M ²⁾	NR
Specific Extent Note	O	O	O	R
Holdings Note Area	O	O	O	R

1) M = mandatory; MA = mandatory if applicable; O = optional; R = repeatable; NR = not repeatable. Mandatory/optional and repeatability designations for a data area are relative to the entire holdings statement. Those designations for elements within a data area are relative to occurrence of the data area. "Mandatory if applicable" is indicated in Level 2 for the General Holdings Area because in some cases all five data elements are unnecessary for the form of material.

2) When the Extent of Holdings Area is used, at least one of Name of Unit, Extent of Unit, Enumeration, or Chronology is mandatory, whichever serves as the primary organizing element for the unit.

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, for example, 5.2.2 and 5.2.3). Punctuation between data elements in this area is not specified in this International 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 International Standard. Note that in some schemes of Institution Identifiers, a Sublocation Identifier may also be included within the Institution Identifier, rather than as a separate element (see example under 5.2.2).

EXAMPLE

DLC

[The institution code for the Library of Congress according to the system set out in Symbols of American Libraries.]

5.2.2 Sublocation identifier

The construction of the Sublocation Identifier is not specified by this International Standard. When used it shall be in conjunction with the Institution Identifier. In some schemes of Institution Identifiers, a Sublocation Identifier may also be included within the Institution Identifier itself, rather than as 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.]

BSG Fonds nordique

[The Institution Identifier and Sublocation Identifier for the Nordic collection of the Bibliothèque Sainte-Geneviève in Paris.]

NYCM SPECCOLL HISTCOLL

[The Sublocation Identifier element has been repeated to record the Historical Collection of the Special Collections section of the Columbia University Health Sciences Library; note also that the Sublocation Identifier for the Health Sciences Library is part of the Institution Identifier for Columbia University.]

BN Impr. Rés.

[The Sublocation Identifier element has been repeated to record the Reserve Collection of the Département des Imprimés of the Bibliothèque nationale in Paris.]

315552104

[Code designating the Sciences Section (04) of the University of Toulouse (21). The code also indicates the Département (31) of France and the city (555).]

5.2.3 Copy identifier

The convention used to record the Copy Identifier is not specified by this International Standard. If used, the Copy Identifier shall be reported 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 this position (see examples under 5.2.4).

The Copy Identifier element may be used to report 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

Ex.2

Ex.2-4

Ex.1,3

c.2

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.]

829358-03

[A barcode number used as a Copy Identifier.]

DLC c.1-2 (a,ta,0,0,8) v.1-10

[Composite holdings statement for the two copies held.]

DLC c.1 (a,ta,0,0,7) v.1-5

DLC c.2 (a,ta,0,0,7) 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 International 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 system; a Copy Identifier is included as part of the Call Number.]

Impr. 16-Y2-53439

[A call number of the Bibliothèque nationale in Paris; a Sublocation 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 item.]

REF M557.B757 P7 c.1

[An abbreviation for a custodial designation (or Sublocation Identifier) is part of the Call Number, as is a Copy Identifier.]

5.3 Date of report area

The date is recorded according to ISO 8601 which requires eight numeric characters in the following order: 4 for the year, 2 for the month, and 2 for the day. Any unknown portion is recorded as 00. If the entire date is unknown, all zeros are recorded. No separators are used. When holdings are given for more than one unit of an 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 should be given by coded values. Textual values may be used if coded values are inadequate. When using coded values, all five elements shall be recorded and displayed even when a code for "not applicable" is required for some. When using all textual values, only those elements appropriate to the report are given.

The data for this area are enclosed in parentheses. When coded values are used, they are in the order listed in table 1 and are separated by commas. The commas are not followed by blanks.

EXAMPLES

(0,ta,1,4,8)
 (0,zu,1,4,8)
 (text, currently received, permanently retained)
 (microform)
 (0,videocassette,0,0,8)

5.4.1 Type of unit designator

This data element specifies the component of the item to which the following general holdings information and/or the extent of holdings pertain. 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:

<u>Code value</u>	<u>Definition</u>
0 (zero)	Information not available; not applicable
a	Basic bibliographic unit
c	Secondary bibliographic unit: supplements, special issues, accompanying material
d	Secondary bibliographic unit: indexes

Serial and non-serial units: When textual values are used, this designator is usually omitted when coded values 0 and a apply. It may also be omitted when the Name of Unit is supplied in the Extent of Holdings Area.

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.

If a physical form other than those specified 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 coded, the following values shall be used:

<u>Code value</u>	<u>Definition</u>
hh	Microform
ha	Microform, aperture card
hb	Microform, microfilm cartridge
hc	Microform, microfilm cassette
hd	Microform, microfilm reel
he	Microform, microfiche
hf	Microform, microfiche cassette
hg	Microform, micro-opaque
hz	Microform, other type

mm	Multiple physical forms
tt	Text
ta	Text, regular print
tb	Text, large print
tc	Text, Braille
tz	Text, other
vv	Visual material
va	Motion picture
vb	Visual projection: slide, transparency, filmstrip
vc	Videorecording
ma	Map
mb	Globe
ra	Music, printed
rb	Sound recording
ca	Computer file
ga	Graphic
km	Kit
zu	Physical form is unspecified
zz	Other physical media

Serial and non-serial units: When textual values 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 annex C, example 2). When the textual value duplicates the class of material designation in the Extent of Unit data element, it is usually omitted (see annex C, example 10).

5.4.3 Completeness designator

This data element gives general guidance as to the extent of the institution's holdings. 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:

<u>Code value</u>	<u>Definition</u>
0 (zero)	Information not available
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.

EXAMPLE

If a publisher has issued 80 volumes of a serial and the reporting institution has some or all of 60 of these volumes (about 75 %), the holdings statement would contain "2" for "Incomplete". If the reporting institution has difficulty in obtaining valid information on the general completeness of its holdings of the reported title, "0" would be recorded.

Serial units: 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.

Non-serial units: Values 0, 1, 2 and 3 are only used for multipart units. Single-part units are coded 4 (Not applicable). 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 date of the holdings report.

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

<u>Code value</u>	<u>Definition</u>
0 (zero)	Information not available; not applicable
1	Other
2	Complete or ceased
3	On order
4	Currently received
5	Not currently received

"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 reporting location.

Serial units: Values 3, 4 and 5 are used for all serial units that have not ceased publication (unless the information is not available). Value 2 is used for serials that have ceased. When textual values are used, this designator is omitted if coded values 0 or 1 apply.

Non-serial units: Value 2 (completed) is always used for received single-part or completed multipart units. Value 3 is used when the unit is on order but has not yet been acquired. When textual values are used, this designator is omitted if coded values 0, 1 or 2 apply.

5.4.5 Retention designator

This data element specifies the retention policy for the unit at the date of the holdings report.

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

<u>Code value</u>	<u>Definition</u>
0 (zero)	Information not available
1	Other
2	Retained except as replaced by updates
3	Sample issue retained
4	Retained until replaced by microform, etc.
5	Retained until replaced by cumulation, replacement volume, or revision
6	Limited retention (all parts not permanently kept)
7	No retention (no parts kept)
8	Permanent retention (all parts permanently kept)

This data element primarily pertains to serial units.

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

If the holding institution keeps pieces of the reported unit only for a specific period of time (for example, last three 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 applies.

If no pieces of the reported 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".

Serial units: If a serial has ceased publication, value 8 is used or else the unit is not reported. When textual values are used, this designator is omitted if coded values 0 or 1 apply.

Non-serial units: Values 2, 4, 5 or 8 are used or else the unit is not reported. When textual values are used, 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, Specific Extent Note.

The Extent of Holdings Area may be repeated when needed for parts of a multipart item. In such cases, those data elements present shall appear in the sequence set out in table 1. No element except the Specific Extent Note may occur more than once in an occurrence of the area.

Punctuation conventions specified for the Extent of Holdings Area are summarized in table 2.

5.5.1 Guidelines

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. 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 Extent of Unit data element is usually given only when a unit lacks sequential designations. This will occur most frequently with non-serial units. The Enumeration data element is used to give the Extent of Holdings for units with sequential designations. It is recorded for most serial units. The Chronology is usually associated with enumeration for serial units and is supplied in addition to the enumeration. In some cases, when no enumeration is present, the Chronology alone may specify the Extent of Holdings.

In summary, Extent of Holdings is specified either by the Name of Unit (for some single-part secondary bibliographic units), the Extent of Unit (for units lacking sequential designations), Enumeration (for units with sequential designations other than dates), or Chronology (for units lacking enumerative sequential designations).

5.5.1.2 Secondary bibliographic units

The Extent of Holdings Area may include holdings for secondary bibliographic units if they are included explicitly or implicitly in the record associated with the item identifier. In some cases, an Extent of Holdings Area includes only secondary bibliographic units because the basic unit is not held. At the summary level, 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 parts
or 1 score + 1 piano conductor part + 16 parts

Supplements to a single issue of a serial unit are generally not recorded.

Table 2 - Summary of punctuation used in the Extent of Holdings Area

Symbol	Name	Purpose	Example
:	Colon	Separates the first and second levels of hierarchical bibliographical units. Blanks are not used before or after the colon.	v.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
/	Diagonal (slash)	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
=	Equal sign	Separates alternative numbering schemes. Blanks are not used before or after the equal sign.	v.2:no.5= fasc.15
-	Hyphen	Indicates an unbroken range of holdings at the same hierarchical level or open holdings. Blanks are not used before or after the hyphen.	v.1-3
< >	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> ♣
;	Semicolon	Separates two levels of hierarchical bibliographic units below the <u>second</u> level. Blanks are not used before or after the semicolon.	v.1:no.3;pt.6
?	Question mark	Indicates an unknown final digit of a date.	1950-197?
" "	Quotation mark	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" ♣
[]	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. Optionally, encloses enumeration for incomplete parts.	♣ [1981/1982] ♣
()	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	Optionally, 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 booklet ♣ + ♣ 1 sound recording
♣	Blank	Used in examples to indicate separation of data elements within an area.	v.1-9 ♣ 10 ♣ <Tables> ♣ 11 ♣ <Index>

5.5.1.3 Enumeration and chronology

The highest level of enumeration and chronology data should be recorded for multipart and serial units (for example, earliest and latest date or lowest and highest volume held, or both) with the range of holdings being broken only by the recording of gaps.

When both are present, enumeration and chronology data should be recorded and displayed together, with enumeration recorded first. The corresponding chronology is enclosed in parentheses. This is the preferred form of display.

EXAMPLE

v.1(1950)-10(1959)

If the preferred form of display is not possible, enumeration and chronology data may be displayed separately, with or without parentheses.

EXAMPLES

v.1-5(1901-1905)

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

Enumeration and chronology data shall be recorded in logical sequence; that is, lowest enumeration data to highest, earliest date to latest. Variations in either sequence, when they occur and if they must be noted, shall be indicated in the bibliographic description to which the holdings statement is linked.

There should be correlation between the recorded enumeration and chronology data. When the option of correlating enumeration and chronology data is not used, the recording of precise enumeration data is preferred, with chronology data being recorded at the broadest range possible.

5.5.1.4 Enumeration and chronology gaps

Data shall be recorded and displayed in a positive sense; that is, emphasizing that which is held rather than that which is not. If gaps are recorded, determination of when a gap occurs shall be based on whether or not any portion of a bibliographic unit is held by the reporting library. If part of a unit identified by a first level enumeration is missing, the unit should be recorded as held.

EXAMPLE

If there are six issues to a volume and no issues are held for volume 3 but two issues are held for volume 7, a gap is recorded between volumes 2 and 4 but not between 6 and 8:

v.1(1950)-2(1951),4(1953)-8(1957)

Optionally, if part of a unit identified by first level enumeration is missing, the enumeration for the incomplete part may be recorded in square brackets.

EXAMPLE

If only two of the four issues of volume 3 are held:

v.1(1929)-[3](1930)-8(1936)

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

EXAMPLES

v.5-6(1950-1951),10(1955),12(1957)
1912-1950,1954-

5.5.2 Name of unit

The Name of Unit may be used when recording the Extent of Holdings for a basic or secondary bibliographic unit, such as a part of a kit, accompanying material, or supplements when it is necessary to identify the unit being specified. It is used primarily for non-serial units for which the name may be the only designation.

The Name of Unit shall be enclosed in quotation marks. It shall consist of the bibliographic title of the unit, or a briefer supplied designation describing the item. The conventions for recording the name are not specified by this International Standard; it is suggested that an applicable existing standard be used.

EXAMPLES

"Statistical update for 1982"

"Supplement 1"

[Item reads "First Supplement to the Guide".]

"Atlas"

[Item reads "A Demographic atlas of Northwest Ireland".]

"Teacher's Guide"

"Administrative law appendix"

"Aachen to Kodesh" "Koeberle to Zwischen"

[Item carries only title designators to record Extent of Holdings.]

"Tätigkeitsbericht" 1980- + "Neuerwerbungen" 1979-

[Item is a two-part serial for which the parts are distinguished only by the title.]

5.5.3 Extent of unit

The Extent of Unit is recorded for items lacking sequential designations. Extent of Unit is used primarily for non-serial units. Serial units usually carry sequential designations (either enumeration or chronology). Extent is reported as a total count of the number of parts followed by a term indicating the specific class of material. For units having a large number of pieces, an estimate of the total may be given. If the unit is a single item, the extent is not necessary if the Name of Unit is given.

EXAMPLES

2 sound cassettes

1 microfiche

179 sheets

ca. 1 000 items

5.5.4 Enumeration

Holdings are reported by enumeration if a unit has an enumerative sequential designation. Serial units usually have enumeration. (Some serials may only bear chronological sequential designations, in which case enumeration is absent.) All serial holdings are recorded in terms of enumeration or chronology or both. Some multipart non-serial units have enumeration, e.g. multivolume monographs. In those cases, the enumeration is used to report the non-serial holdings.

The enumeration for serial and multipart units may be recorded by giving the caption from the pieces (if one is present) in the singular, followed by the sequential designations of the pieces held.

EXAMPLES

Band 5

becomes Bd.5

attiofemte upplagan

becomes Uppl.85

third series

becomes ser.3

If an item does not carry enumeration, it is not supplied.

5.5.4.1 Levels

If a unit has hierarchical enumeration, summary holdings shall be reported at the highest level of enumeration. Levels below the first level may only be used for purposes of clarity.

When enumeration below the first level is given, a colon shall be used to separate the first and second level and a semicolon to separate each subsequent level.

EXAMPLES

v.1:no.1
Bd.1:T.1;Nr.3
1:2;1

For both numbered and unnumbered first-level series designators the second-level enumeration shall be reported along with the first level.

EXAMPLES

ser.1:v.1
[The first level is a numbered series, "ser. 1".]
n.s.:v.1
[The first level is an unnumbered "new series".]

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

EXAMPLES

v.1:no.3-v.29:no.4
1:10-4:24

5.5.4.2 Captions

Captions associated with enumeration may be recorded with the enumeration. The recording of captions is optional. When a caption is abbreviated and ends in a period, no blank shall separate the caption and the enumeration.

EXAMPLE

volume 5 *becomes* v.5 *or* 5

If the parts of a serial or multipart unit have no captions, none are supplied.

Captions associated with enumeration shall be recorded in the vernacular form appearing on the publication, transliterated when needed.

Captions shall be abbreviated in accordance with ISO 832.

EXAMPLES

tome 10 *becomes* t.10
number 2 *becomes* no.2

Captions may be repeated after a hyphen when needed for clarity.

EXAMPLE

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

5.5.4.3 Sequential designators

A final hyphen shall be used if the holdings are open.

EXAMPLE

Bd.1-

No hyphen shall be used if a single unit is held.

EXAMPLE

v.5(1970)

If the holdings are closed, no punctuation shall follow the closing enumeration.

EXAMPLE

v.1-105

If typographic or other designations are used on the unit in lieu of sequential designators, they shall be converted to numbers in recording the enumeration if they have direct numeric equivalents. (If there are no direct numeric equivalents, see 5.5.3).

EXAMPLE

v.1-5

[Asterisks are used on the items in place of volume numbers.]

All numeric information shall be converted to Arabic numbers. Ordinal numbers may be converted to cardinal numbers.

EXAMPLES

VII	<i>becomes</i> 7
first	<i>becomes</i> 1st <i>or</i> 1
six	<i>becomes</i> 6
troisième	<i>becomes</i> 3e <i>or</i> 3
trettiofemte	<i>becomes</i> 33

For alphabetic data, upper-case and lower-case characters shall be recorded as they appear on the item.

EXAMPLES

23a
no.36B
v.B

When an item carries combined numbering, the numbers shall be separated by a diagonal.

EXAMPLE

v.1/2

5.5.4.4 Multiple enumerations

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

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 using an equals 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.1:no.4,ser.1:no.6=no.1-16,no.21-24

5.5.5 Chronology

Chronology is recorded in parallel with enumeration, except when an item carries only chronology or is a non-serial unit. When only a chronological sequential designation is present, the chronology specifies the holdings. (When chronology specifies the holdings, it is not enclosed in parentheses as it may be when it appears with enumeration.)

Serial units usually have both enumeration and chronology. All serial holdings are recorded in terms of enumeration or chronology or both.

Some multipart non-serial units have only chronology. In those cases the chronology is used to report the non-serial holdings. If both enumeration and chronology are present for a non-serial unit, only enumeration is recorded.

If an item does not have chronology data, it is not supplied. However, if a serial normally carries chronology data and such data are omitted from some pieces, it may be supplied within square brackets if desired.

5.5.5.1 Levels

Only the highest level of chronology data, the year, shall be reported for summary holdings. Levels below the first level may only be used if subsequent levels of enumeration are reported or, when there is no enumeration, for purposes of clarity.

When chronology below the first level is given, a colon shall be used to separate the first and second level and a semicolon to separate each subsequent level.

EXAMPLE

1982:Feb.

5.5.5.2 Dates

When more than one type of date is present on the item, the date shall be selected from the following preferred dates, in the order indicated:

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

The date of reprinting shall not be used in the holdings statement as the chronology information used is that associated with the original work. Reprint information is properly a part of the bibliographic description of the work.

The format for the year shall be all four digits.

A final hyphen (-) shall be used if the holdings are open.

EXAMPLES

1969-
Bd.1(1968)-

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

EXAMPLE

1969

A diagonal shall be used as a separator if the chronology data for a single bibliographic unit spans a non-calendar year or more than one year.

EXAMPLES

1969/1970-	<i>[non-calendar date or biennial]</i>
1980/1982	<i>[triennial]</i>

If the holdings are closed, no punctuation shall follow the closing year.

EXAMPLES

1969-1975
t.2(1940)-9(1947)

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

EXAMPLE

196?
18??

If the century is not known, the date is not recorded.

Months, seasons, and days shall be recorded in the vernacular form as they appear on the publication, transliterated when needed. Chronology data shall be abbreviated according to ISO 832.

EXAMPLES

1969:Jan.
1987:juil.

When one calendar scheme is present on the publication, that scheme should be used as the basis for recording chronology data. When more than one calendar scheme (for example, Gregorian and Islamic) is present on the publication, the Gregorian scheme should be used if present.

Any non-Gregorian dates required for a holdings statement shall be converted to the equivalent Gregorian dates at the highest level (usually year) and recorded in that form.

5.5.6 Specific extent note

A Specific Extent Note may occur after any data element, and 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.

Information relating to the formal bibliographic description of the item being described shall not be recorded as a Specific Extent Note unless needed for clarification.

EXAMPLES

1 videocassette <VHS>

[Holdings for a VHS videocassette are reported against a bibliographic record not reflecting a specific tape format.]

1 sound disc <compact digital>

[Specific type of sound disc is not reflected in the bibliographic record.]

v.1-9 v.10 <Tables> v.11 <Index>

[Vols. are sequentially numbered; volumes 10 and 11 have special titles, which 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 reported.]

v.1-6 <bound> v.7-10 <unbound>

[The institution has added an indication of the binding status of the volumes as Specific Extent Notes.]

"Decisions" 1 v. <In binder> <Decisions are discarded as soon as they are issued in Cases volumes.>

5.6 Holdings note area

All notes relevant to a single occurrence of the Location Data Area shall be combined into a single Holdings Note Area.

Notes may include such information as restrictions on access, physical condition, etc. Information contained in the Item Identification Area or elsewhere in the holdings statement shall not be repeated in the Holdings Note Area. Information relating to the formal bibliographic description of the item shall not be recorded in the Note Area unless 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 an item that are not held or to indicate a non-gap break, this may be done in the Holdings Note Area.

EXAMPLES

Vol. 5 is badly water-damaged.

Non-circulating.

Vol. 16 is lacking.

Vol. 1 missing p. 345; vol. 3 is extremely brittle.

Library set lacks slides 7-9.

DEZ treated 1984-05-13.

Transferred to safety film 1978-03-03.

Master negative.

Vol. 8 not published.

Retain latest edition only.