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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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National Information Standards Organization

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FOREWORD

(This Foreword is not part of the American National Standard for Holdings Statements for Bibliographic Items, ANSI/NISO Z39.71-1999. It is included for information only.)

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 Z39.71-1999.

Certain codes and values used in the earlier standards are not used in Z39.71-1999. 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.

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, as the starting point for Z39.71-1999.

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.

This standard was processed and approved for submittal to ANSI by the National Information Standards Organization. It was balloted by the NISO Voting Members October 29, 1997 - January 31, 1998. It is scheduled to be reviewed in 2003. Suggestions for improving this standard are welcome. They should be sent to the National Information Standards Organization, 4733 Bethesda Avenue, Suite 300, Bethesda, MD 20814. NISO approval of this standard does not necessarily imply that all Voting Members voted for its approval. At the time it approved this standard, NISO had the following Voting Members:

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NISO Standards Committee AL on Holdings Statements for Bibliographic Items, which developed this standard, had the following members:

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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.

Acknowledgment

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.

This is a preview of "ANSI/NISO Z39.71-199...". [Click here to purchase the full version from the ANSI store.](#)

Holdings Statements for Bibliographic Items

1. Introduction

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.