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Presenting the UNIMARC Holdings Format

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Abstract

UNIMARC Holdings Format is a new format in the family of UNIMARC formats. The draft for world-wide review was posted on the IFLANET at <http://www.ifla.org/VI/3/nd1/unimarc-holdings.pdf> in 2003. The present, final version is the result of the comments received.

The format is presented in terms of its purpose and scope, format structure, format design issues and the display of holdings records. The purpose of the UNIMARC Holdings Format is to facilitate the reporting of holdings data at national or international level and to promote consistency in the communication of holdings information and location of an item.

The development issues to be solved were the following: (1) the level of depth of the format: how many and what type of fields are necessary to describe correctly holdings information; (2) the description level of the holdings record: how many details are necessary to provide adequate information; (3) definition of the boundary between bibliographic data and holdings data: the question whether a particular type of data is bibliographic or holdings; and (4) the placement of holdings data fields as to the bibliographic records format and holdings records format: which bibliographic data fields are valid in the holdings format.

The PUC finds it difficult to predict which transformation will have to be introduced into the format: to this end the placement of the holdings record within the FRBR model is planned to be considered, and the evolution of the concept of a "Universal Holdings Data Record" is being monitored.

In 1999 the Permanent UNIMARC Committee (PUC) appointed a working group to develop the UNIMARC format for holdings data. The draft for world-wide review was accepted by the PUC during its Ad Hoc meeting held at the 69th IFLA General Conference and Council in Berlin in 2003. The draft was subsequently posted on the IFLANET at <http://www.ifla.org/VI/3/nd1/unimarc-holdings.pdf>. The present version is the result of the comments received.

The purpose and scope of the format

The purpose of the UNIMARC Holdings Format is to facilitate the reporting of holdings data at national or international level and to promote consistency in the communication of holdings information and location of an item.

The scope of the UNIMARC Holdings Format is to specify, in separate holdings records linked to the bibliographic records, the content designators (tags, indicators and subfields) to be assigned to holdings data and to specify the logical and physical format of the records. The format provides information related to the single characteristics of a continuous and non-continuous resources, specifically, the owner entity, physical location and availability. Other specific information related to an item can be added in the holdings record according to the usage of the cataloguing agency.

The format structure

UNIMARC Holdings Format adheres to the agreed upon principles on which the UNIMARC family of formats is being based. It adheres to the three basic parts of a machine-readable record format: (1) the structure of the record, which is the physical representation and layout of the information (ISO 2709); (2) the content designators for the record, which identify and supply information about elements (UNIMARC consistent tagging); and (3) the data content of the record, which is the holdings data that are being communicated.

The format is based on the two main sources: *UNIMARC Manual – Bibliographic Format* and *ISO 10324 : 1997 – Information and documentation - Holdings statements - Summary level*, the first one was the basis for the structure of data elements, while the second for the format's main concept. It was also important to consult *MARC 21 Format for Holdings Data* because, as it was an already existent format with practical application, it could give us a better idea of the kind of information that was needed to identify the item to register and to develop a harmonized UNIMARC format.

The fields of the holdings record are divided into nine functional blocks. These are:

- 0-- Identification Block: contains numbers that identify the record or the holdings.
- 1-- Coded Information Block: contains fixed length data elements (usually coded) describing various aspects of the record or data.
- 2-- Location and access block: contains information that identifies the institution, physical site or collection at which a bibliographic unit is located or from which it may be available.
- 3-- Note Block: contains notes, intended for public display, that contribute to the identification of the item described in the holdings record.
- 5-- Holdings Statement Block: contains information for caption, pattern, enumeration and chronology of a specific bibliographic item (basic or secondary unit) for which a location is to be made.
- 7-- Intellectual Responsibility Block: contains a form of responsibility heading related to the item described in the holdings record.
- 8-- Source Information Block: contains the source of the record, and cataloguer's notes about the data not intended for public display.
- 9-- National Use Block: contains data local to the originator of the record. Field tags will not be defined in the UNIMARC Holdings Format for intersystem exchange.

Format design issues

The remit set out for the Working Group was to develop the format according to the following basic issues:

1. the adherence to the general philosophy of UNIMARC formats as to its physical structure, content designation and the modular concept of the use of the family of UNIMARC formats;
2. the provision of effective means for recording holdings data; and
3. the promotion of consistency in the communication and exchange of holdings data.

However, during the work on the format's development the following issues proved to be difficult to resolve:

1. the level of depth of the format: how many and what type of fields are necessary to describe correctly holdings information;
2. the description level of the holdings record: how many details are necessary to provide adequate information;
3. definition of the boundary between bibliographic data and holdings data: the question whether a particular type of data is bibliographic or holdings;
4. the placement of holdings data fields as to the bibliographic records format and holdings records format: which bibliographic data fields are valid in the holdings format.

The level of depth of the format

In the design of the format, fields mandatory for any UNIMARC record were identified first. These fields are inherent to the basic structure of the UNIMARC format:

001	Record Identifier
100	General Processing Data
801	Originating Source

The next step was to identify fields that should contain information indispensable to the identification of the item for which holdings data is being recorded. These are:

- 0-- item identification fields,
- 1-- general coded data information,
- 2-- location,
- 3-- general or specific notes related to the item, and
- 5-- extent of the holdings.

However, some open questions remained: Have all the necessary fields been created? Has the structure been created in such a way that it would allow further growth if necessary?

The description level of the holdings record

As the Working Group decided that the format should take into account continuous as well as non-continuous resources, it was necessary to include fields to accommodate information for single-part items, as well as for the extent of multipart and serial items. The concept of integrating resources that was introduced by the ISBD(CR) was considered to still lack practical implementation to be treated in this version of the format. Further development of the format should take care of that in the future.

According to the guidelines for applying ISO 10324 the holdings statement can have three levels. In its design, the format follows this pattern:

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

Level 2 - adds to level 1 general guidance as to the extent of an institution's holdings, and also as to the receipt or acquisition status, general retention policy, completeness designator and physical characteristics of an item.

Level 3 - includes a statement of summary extent of holdings.

The boundary between bibliographic data and holdings data

The bibliographic format has defined particular fields, both coded and variable data fields, that contain information related to the characteristics of the copy in hand and physical characteristics of an item. Thus, the questions were raised:

- Is the copy specific information like notes pertaining to binding, provenance etc., bibliographic or holdings information?
- Is information pertaining to different types of content carriers and/or versions holdings or bibliographic information?
- Does it make sense to include in the holdings record names that pertain to a particular copy, e.g. name of a binder, previous owner? What about the authority control of such names, i.e. should a holdings record include a link to the authority record?

Regardless of the answer to these questions, the Working Group was, however, decisive that information of the same content should retain the same tagging scheme and structure in both formats.

Bibliographic format fields valid in Holdings format records

To solve the above problem, particularly because the consensus was not reached within the Working Group and the analysed practices showed no uniformity, it was decided to allow the use of bibliographic fields in a holdings record. The following fields were recognised as such:

130 Coded Data Field: Microforms

135 Coded Data Field: Electronic Resources

141 Coded Data Field: Antiquarian – Copy Specific Attributes

310 Notes Pertaining to Binding and Availability

316 Note Relating to the Copy in the Hand

317 Provenance Note

318 Action Note

345 Acquisition Information Note

702 Personal Name - Secondary Intellectual Responsibility (Related to Copy)

712 Corporate Body Name - Secondary Intellectual Responsibility (Related to Copy)

722 Family Name - Secondary Intellectual Responsibility (Related to Copy)

The list is not exhaustive; the use of the format will confirm or disclaim such a concept.

Display of Holdings Records

According to ISO 10324 the following formats may be used to arrange the holdings statement areas in a display.

Style A:

Item Identification Area
Location Data Area -- Date of Report Area -- (General Holdings Area) Extent of Holdings Area + ... + (General Holdings Area) Extent of Holdings Area -- Holdings Note Area

Style B:

Item Identification Area
Location Data Area
Date of Report Area
(General Holdings Area) Extent of Holdings Area
(General Holdings Area) Extent of Holdings Area
.
.
.
Holdings Note Area

FIELD LIST

0-- IDENTIFICATION BLOCK

- 001 Holdings Record Identifier
- 004 Related Bibliographic Record Identifier
- 005 Version Identifier
- 035 Other Systems Control Number
- 070 Inventory Number

1-- CODED INFORMATION BLOCK

- 100 General Processing Data
- 170 Coded Data Field: Acquisition Status
- 171 Coded Data Field: Collection Management
- 172 Coded Data Field: Information Service Policy

2-- LOCATION AND ACCESS BLOCK

- 252 Location and Call Number
- 255 Past Location and Call Number
- 256 Electronic Location and Access

3-- NOTES BLOCK

- 300 General Notes
- 301 Notes Pertaining to Identification Numbers
- 302 Notes Pertaining to Coded Information
- 371 Notes on Information Service Policy
- 372 Notes on Physical Characteristics of an Item
- 373 Notes Pertaining to Copy History
- 375 Notes Pertaining to Copy and Version Identification

5-- HOLDINGS STATEMENT BLOCK

- 500 Captions and Pattern – Basic Bibliographic Unit
- 501 Captions and Pattern – Secondary Bibliographic Unit: Supplementary Materials
- 502 Captions and Pattern – Secondary Bibliographic Unit: Indexes
- 510 Enumeration and Chronology – Basic Bibliographic Unit
- 511 Enumeration and Chronology – Secondary Bibliographic Unit: Supplementary Materials
- 512 Enumeration and Chronology – Secondary Bibliographic Unit: Indexes
- 520 Textual Holdings – Basic Bibliographic Unit
- 521 Textual Holdings – Secondary Bibliographic Unit: Supplementary Materials
- 522 Textual Holdings – Secondary Bibliographic Unit: Indexes
- 530 Item Information – Basic Bibliographic Unit
- 531 Item Information – Secondary Bibliographic Unit: Supplementary Materials
- 532 Item Information – Secondary Bibliographic Unit: Indexes

7-- INTELLECTUAL RESPONSIBILITY BLOCK

8-- SOURCE INFORMATION BLOCK

- 801 Originating Source
- 830 General Cataloguer's Note

9-- NATIONAL USE BLOCK

Conclusion

The users of the UNIMARC Holdings Format need a record structure that is easy to use and to understand. Such a requirement is not always easy to meet with, particularly as to the structure and the vision of the development of a format. Since the format has not been applied yet, there is no experience in regard to the performance of the systems functionalities like load, export and use of data. It is also difficult to predict which transformation will have to be introduced into the format: to this end the placement of the holdings record within the FRBR model is planned to be considered, and the evolution of the concept of a “Universal Holdings Data Record” is being monitored.

APPENDIX – Complete example

Single-part item holdings

RECORD LABEL

Characters positions	5	6	7	8	10	11	17	18	20	21	22
Values	n	a	a	a	2	2	1	0	4	5	0
001	0021764										
004	(PTBN)0007291										
005	20030320161200.0										
070	1#\$a4523										
100	##\$a20020104pory0103#####ba0										
170	##\$aaj#####										
171	##\$afb###x001										
172	##\$aaaa										
252	11\$pPT\$aBN\$bFundo Geral\$jL. 574397 V.\$mEFG0914567028										
373	##\$aOriginal collected by Cordeiro Pereira and bequested to Biblioteca Nacional in 2000										
702	#1\$aPereira\$bCordeiro\$4390										
801	#0\$aPT\$bBN										

The example reflects the hold of a new holdings record (Leader 5=n) for a single part and a single copy (Leader 6=a; 8=a) of a basic bibliographic unit (Leader 7=a). The level of the specificity of the holding statement is the “level one” (Leader 17=1).

The record was created for a holding of the National Library of Portugal (field 252 \$pPT\$aBN), with the call number L. 57439 V. (252 \$j), and it is available at the “Fundo Geral” (252 \$b).

Specific information about the copy: this copy was collected by Cordeiro Pereira and bequested to National Library in 2000 (note field 373). It was created in the holding record an access point (field 702) for Cordeiro Pereira with the relator code 390.

Coded information: 1) data related to the status acquisition (field 170) – It is a single part item (\$a/0=a), acquired by bequest (\$a/1=j) with “intent to cancel date” not applicable (\$a/2-9=#####); 2) data related to the collection management (field 171) – the item is not retained (\$a/0=f), it is available (\$a/1=b) without specific retention (\$a/2-4=###) and the record is used for a single-part unit (\$a/5=x) and the information is reported to one copy (\$a/6-8=001); 3) data related to the information service policy (field 172) – the item is available for consultation (\$a/0=a), lending (\$a/1=a) and reproduction (\$a/2=a).