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**Information and documentation — Holdings  
statements — Summary level**

*Information et documentation — États de collection — Niveau succinct*

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## Contents

	Page
1 Scope .....	1
2 Normative references .....	1
3 Definitions .....	1
4 Holdings statement structure .....	8
4.1 Data areas .....	8
4.2 Data elements .....	8
4.3 Levels .....	8
4.4 Punctuation and separators .....	8
4.5 Holdings statement composition .....	8
4.6 Different physical media .....	9
4.7 Multiple locations/copies .....	9
5 Data areas and data elements .....	9
5.1 Item identification area .....	9
5.2 Location data area .....	10
5.2.1 Institution identifier .....	10
5.2.2 Sublocation identifier .....	11
5.2.3 Copy identifier .....	11
5.2.4 Call number .....	12
5.3 Date of report area .....	12
5.4 General holdings area .....	13
5.4.1 Type of unit designator .....	13
5.4.2 Physical form designator .....	13
5.4.3 Completeness designator .....	14

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<b>5.4.4</b>	Acquisition status designator .....	<b>15</b>
<b>5.4.5</b>	Retention designator .....	<b>15</b>
<b>5.5</b>	Extent of holdings area .....	<b>16</b>
<b>5.5.1</b>	Guidelines .....	<b>16</b>
<b>5.5.2</b>	Name of unit .....	<b>19</b>
<b>5.5.3</b>	Extent of unit .....	<b>19</b>
<b>5.5.4</b>	Enumeration .....	<b>19</b>
<b>5.5.5</b>	Chronology .....	<b>22</b>
<b>5.5.6</b>	Specific extent note .....	<b>23</b>
<b>5.6</b>	Holdings note area .....	<b>24</b>
 <b>Annexes</b>		
<b>A</b>	Taxonomy of a bibliographic item .....	<b>25</b>
<b>B</b>	Display formats for holdings statements .....	<b>26</b>
<b>C</b>	Examples .....	<b>27</b>
<b>D</b>	Guidelines for applying this International Standard .....	<b>31</b>

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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.

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## 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)

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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)

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- 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*.

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**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.