

PREFACE

The Oklahoma Union List of Serials (OKULS) is a cooperative project designed to facilitate resource sharing among libraries. A compilation, by title, of the periodical holdings of member libraries, the OKULS makes it possible to identify which library in the state of Oklahoma owns a particular issue of a serial title.

The serials holdings of member libraries are added to the OKULS in two ways:

- The member library directly inputs serial data into OCLC.
- The member library sends its serial data to a volunteer agent library that inputs the serial data. See [How to report additions & changes to the OKULS](#).

This manual is designed to help member libraries standardize the data entry of Oklahoma serials holdings.

INSTRUCTIONS FOR REPORTING HOLDINGS

1. **Where to report** - for those members who do not have full OCLC access, or cannot do their own updating, please contact the following member institutions for holding updates:
 - i. Medical libraries: [Junie Janzen](#) at OUHSC - Tulsa
 - ii. Other libraries: [Dana Belcher](#) at East Central University
 - iii. All other institutions are responsible for their own local holdings maintenance. If you need training, please contact [Dana Belcher](#). Also, consult the [OKULS Manual](#), [OCLC links](#), and any member of the [Council](#) for help.
2. **Frequency of reporting** - New serial titles, additions, changes, and deletions should be reported as soon as possible.
3. **Format of reporting** - For those who are unable to do their own local holdings maintenance, check with your volunteer agent library as to the best way to report holdings. The following items will help the agent to update your holdings:

Use the [forms](#) provided on the OKULS web

- a. Title - give the title exactly as it appears on the title page, mast head, or cover of the serial. Include all punctuation marks as they appear in the title. Record the corporate entry when it is not included in the title and is helpful for identification.
- b. Other Identification Numbers - Complete the OCLC, ISSN, and LC card numbers if they are available. Remember, OKULS requires use of the hardcopy bibliographic record unless the serial was never published in hardcopy.
- c. Publisher - Be sure to include the publisher information.
- d. Physical Description [007] – provide the category of resource (text, microform, etc.) and the specific material description (unspecified, regular print, microfiche, etc. – you can code to whatever specificity you'd like).
Note: each format requires a separate LHR due to OKULS practice.
- e. Data Elements [008] – provide the following:
 - i. Publication status [06] - is it currently received, ceased, etc.
 - ii. Method of acquisition [07] – coding is optional
 - iii. General/specific retention policies [12-15]
 - iv. Completeness code [16] – always 0 when reporting specific volume/year holdings. If not reporting specific holdings, this code is based on the amount of your holdings as compared to the entire published run of the serial.

- v. Lending/Reproduction policies [20-21] – usually b. will not lend and a. will reproduce. If you have material types defined in your auto-deflection ILL policies, you can leave [20-21] as unknown.
- vi. Language (if applicable) – refers to the language used for the coded data in fields 863-865.
- f. Location [852]
 - i. Shelving scheme and order [ind 1&2] are optional – provide call number information if applicable
 - ii. Provide your four digit OCLC symbol/holdings code (i.e., ECOB)
 - iii. Provide any public notes needed (see [Local Notes](#) for examples). Also, for records with multiple LHRs, indicate the format (i.e., Paper, Fiche, Electronic, etc.) (Example: \$z Paper. Current issues retained until microfiche received.)
- g. Captions and Patterns [853] (see [Captions to be Used in Enumeration.](#))
 - i. Compress/expand [Ind 1] – usually 3-unknown
 - ii. Caption evaluation [Ind 2] – usually 0-verified; all levels present
 - iii. Linking field \$8 – decides display order when multiple 853s are present
 - iv. Provide 1st level enumeration \$a (v., no., etc.) and 1st level chronology \$i (year, etc.)
- h. Enumeration and Chronology [863] (see [Holdings Statements.](#))
 - i. Field encoding level [Ind 1] – always 3 due to OKULS practice
 - ii. Form of holdings [Ind 2] – usually 0-no information provided
 - iii. Linking field \$8 – matches 853 and decimal point decides display order when multiple 863s are present (i.e., 1.1, 1.2, 1.3 match 853 \$8 1). You can have multiple 863s matched to one 853 – used when you have gaps.
 - iv. Provide 1st level enumeration \$a (1-, 12-15 – matches caption found in 853 \$a) and 1st level chronology \$i (1999-, 2000-2005 – matches caption found in 853 \$i)

GENERAL GUIDELINES FOR LOCAL HOLDINGS MAINTENANCE

1. **Hardcopy edition** - Use only bibliographic records for the hardcopy (i.e. paper copy) edition of serials, unless the serial has never been published in hardcopy.
2. **Successive entry** - Use only successive entry bibliographic records. Serials with only latest entry cataloging on OCLC (fixed field S/L coded one) or not yet cataloged by OCLC will be returned to the reporting library for further processing.
3. **Summary holdings statement** - Use a summary holdings statement to report all copies and formats held at an institution. For example, if a library holds volumes 1-3 as paper, and volumes 3 and 4 as microfiche, report as v.1-v.4. Do not report duplicates. Multiple formats will have separate LHRs, however, the summary statement will be the same for all LHRs. Include retention notes in the summary statement, i.e., v.3-v.10(1990-1997)+retains current 5 years.
4. **Level of reporting** - Create holding statements for the local holdings record at the ANSI standard level 3 or summary level, including summary enumeration and/or chronology information. This is reported in the Leader field byte [17] and again in field 863 [Ind 1] of the LHR.
5. **Holdings statements** - Report both enumeration and chronology at the highest level of the numbering scheme used by the publisher for each format. Give enumeration in volumes only, not issues; chronology in years only, not months or seasons. Each format requires its own LHR. Holdings are reported in fields 853/863 of the LHR. (See [Instructions for Reporting Holdings](#) 3.g. & h. and [Holding Statements](#).)
6. **“Rule” of 50%** - Report a volume or a year if the library holds 50% or more published issues of that volume or year. Do NOT report a volume or a year if the library holds less than 50% of the issues for that volume or year.
[\[example\]](#)

LOCAL NOTES

1. The term “**current**” is used for titles published more frequently than annual.

For example: Retains current 6 months.

Retains current year.

Retains current 5 years.

2. The term “**latest**” is used for titles published annually or less frequently.

For example: Retains latest edition.

Retains latest 3 years.

Retains latest edition received.

3. Other examples of notes that may reflect variation in a library’s retention policy or indicate methods for updating:

For example: Kept up-to-date by pocket parts.

Kept up-to-date through [Date].

Retained in hard copy until microfilm [microfiche, etc] received.

Current issues retained until microfiche received.

Current issues retained until annual accumulation received.

Not available for ILL.

HOLDING STATEMENTS

Holdings consist of enumeration and/or chronology. In general, holdings should be reported in the following format: v.1- 1929-.

Punctuation must be used according to the following convention:

- (-) Use hyphen (-) to indicate an unbroken range of holdings, or the holdings from a specific year or volume to date.
For example: v.1-v.5
- (,) Use comma (,) to indicate a break or a gap. [863 \$w g]
For example: v.1-v.5,v.7-v.9 [library does not own at least 50% of v.6]
- (;) Use semicolon (;) to indicate a nongap break. [863 \$w n]
For example: v.1-v.3;v.5-v.7 [v.4 was never published]
- (/) Use diagonal (/) to indicate a single physical volume covering more than one calendar year or a double volume number.
For example: 1990/1991 or v.1/2-

Examples:

1. **Unbroken range of holdings.**
 - a. v.1-v.5 (Not currently received. Library holds v.1 to 5)
 - b. 1990-1995 (Not currently received. Library holds 1990-1995)
2. **From a specific year or volume to date.**
 - a. v.1- (Currently received. Library holds v.1 to date)
 - b. 1990- (Currently received. Library holds 1990 to date)
3. **A break in holdings.**
 - a. v.1-v.5,v.7-v.9 (Library holds v.1 to 5 and v.7 to 9, lacks v.6)
 - b. 1990-1992, 1995- (Library holds 1990-1992, and currently receives volumes from 1995)
4. **A nongap break in holdings.**
 - a. v.1-v.3;v.5-v.7 (v.4 was not published)
5. **Double volume number or a single physical volume covering more than one calendar year.**
 - a. v.1/2- (v.1 and 2 were published as one physical volume)
 - b. 1990/1991- (Vols. for 1990 and 1991 were published in one physical volume)

CAPTIONS TO BE USED IN ENUMERATION

Captions are required, if available. Record captions as they appear on the publication. Abbreviate captions according to Appendix B in AACR2R, using the shortest form when AACR2R allows an option.

1. Commonly used captions.

For example:	<u>Terms</u>	<u>Use</u>
	new series	new ser.
	number	no. [not nos.]
	series	ser.
	volume	v. [not vol. or vols.]

2. Chronology captions-year, month, season-are placed in parentheses in the 853 so the word will not display (i.e. (year)). The same is true for any caption you don't want to display.

3. Do not leave a space between the caption and the numbering:

For example v.1 [not v. 1]

4. Convert numeric information to Arabic numbers:

For example:	v.VII	becomes	v.7
	First ed.	becomes	1 st ed.
	no.Five	becomes	no.5

5. Record alphabetic data as they appear on the publication, including exact upper and lower case form:

For example: 23a
no.36B
v.B

6. Use abbreviated form of captions in the vernacular. Convert to romanized form if necessary.

For example:	Abteilung	becomes	Abt.
	Band	becomes	Bd.
	nمبر	becomes	no.
	numéro (French)	becomes	no
	numero (Italian)	becomes	n.
	número (Spanish)	becomes	no.
	Nummer	becomes	Nr.
	Teil	becomes	T.
	tome	becomes	t.
	Volume	becomes	v.