

SUMMARY HOLDINGS STATEMENTS FOR SERIALS

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1. INTRODUCTION

The purpose of serial summary holdings is to record and display all holdings in summary form. In Sirsi, summary holdings for serials are recorded in MARC holdings records. A separate MARC record is provided for each location that has holdings of a serial. The NEOS standard for summary holdings statements for serials is based on ISO 10324 standard (Holdings Statements – Summary Level) <http://www.niso.org/standards/resources/Z39-71.pdf> supplemented by NEOS decisions.

NEOS uses only those MARC fields that are needed to record textual (summary) holdings, namely: Location field (852), textual holdings field (866), and fixed fields. See the NEOS Serials Training Manual for information on creating MARC records. For the full MARC holdings format, see <http://www.loc.gov/marc/holdings/echdhome.html>

2. SUMMARY HOLDINGS

2.1 Extent of Holdings

- Summary holdings include bound, unbound, and microform holdings. They normally exclude indexes and supplements (unless these are the only holdings) and duplicate copies in the same location.
- Summary holdings are either open or closed depending on whether or not the title is currently received.

Use a final hyphen to indicate open holdings.

Example:

1987-

v.1(1984),v.3(1986)-

Do not supply additional final punctuation to closed holdings.

Example:

1963-1977

v.1(1917)

- No distinction is made between bound and unbound holdings.

U of A practice: If there is a subscription, but no bound holdings, assume we have all holdings from the point at which the subscription was placed.

Example:

v.1(2002)-

- When both enumeration and chronology are present on the publication, record both.

Example:

v.1(1901)-v.5(1905)

4th ed.(1982)-

- If only enumeration or only chronology are present, use only one.

Example:

v.1-5

1998-

- Record related enumeration and chronology together, with the enumeration data first, and the chronology data following it in parentheses.

Example:

no.2357(1979)-

Jahrg.1(1920)-Jahrg.12(1931)

14th ed.(1977/1978)-17th ed.(1980/1981)

- Record only the highest level of enumeration and chronology, e.g. volume (but not issue number, part, etc.) and year (but not month or day). This means that incomplete volumes must be shown as complete.

Example:

v.10(1910),v.14(1914)-v.23(1923)

not v.10:no.2-4(1910),v.14(1914)-v.23(1923)

Indicate incomplete volumes in a note. Do not include years unless there are no volume numbers. When there is more than one volume, use hyphens and commas to show spans and gaps, and do not repeat volume designations.

Example:

v.10(1910),v.14(1914)-v.23(1923)|zIncomplete: v.10,22-23

- Consider a numbering system that begins each year with 1 to be a subsequent-order level of the chronology.

Example:

1990-1997

not no.1(1990)-no.12(1997) [12 issues/year]

- Gaps are shown only where no issues are held or expected.

U of A practice: In cases where the summary holdings end in a hyphen, ignore any subsequently appearing "gaps" in the item records.

Example:

Summary holdings: v.2(1999)-

Copy record exists for v.2 1999

Current adds: v.4 2001 and v.5 2002

Do not change the summary holdings.

However, it sometimes happens that entire volumes, which should have been received on subscription or standing order, are lacking and all efforts to acquire them are unsuccessful. The resulting gap will be evident in the copy records, but at the request of a public service area record the gap in the summary holdings.

- For publications that began and/or ended in mid-volume, do not consider such a volume to be incomplete if we have all issues published.

Example:

v.14(1979)-

[catalogue record has 362 Vol.14, no.2 (Feb. 1979)-

We hold all issues from v.14 no.2 to date.]

Likewise, for reproductions in which not all holdings were reproduced, and this is noted in the bibliographic record, do not consider a volume to be incomplete if we have all issues reproduced.

2.2 Enumeration

Record the enumeration by giving the caption followed by the sequential designations of the items held.

2.2.1 Captions

- Record captions (i.e. volume designations) in the vernacular form appearing on the publication, transliterated when needed. Record captions in the singular. Abbreviate captions according to AACR2 and CP 52. If there is no abbreviation, use the full form. When AACR2 allows an option, use the shortest form (for example, "v." not "vol.").

Examples:

volume 5 becomes v.5

tome 7 becomes t.7

number 3 becomes no.3

Band 3 becomes Bd.3

reel 32 remains reel 32

#6 becomes no.6

nمبر 3 remains nمبر 3

- If the enumeration is made up of an alphabetic portion followed by a numeric portion, consider the alphabetic portion to be the caption.

Example:

MR 106.

- If a serial has enumeration but no captions, supply an appropriate caption in the language of the publication (U of A practice).

Example:

no.4 [catalogue record has 362 0. 4-]

2.2.2 Sequential designations (Numbering)

- Convert all numeric information to Arabic numbers.

Example:

v.VII	becomes v.7
First ed.	becomes 1st ed.
no. five	becomes no.5
Troisieme	becomes 3e

Record other numeric information as it appears on the publication.

- For alphabetic data, record uppercase and lowercase characters as they appear on the publication (romanized, if necessary).

Example:

23a
no.36B
v.B

- When a serial carries combined numbering, for example, as in a double volume, separate the numbers by a diagonal.

Example:

v.1/2

However, if combined issues are bound with other issues, record the whole span with a hyphen.

Example:

no.43-57
not no.43-56/57

- When a serial has series numbering, record both the series level and the second level numbering, separated by a colon.

Example:

ser.3:v.1
new ser.:v.1-new ser.:v.9
ser.3:v.1(1951)-ser.3:v.7(1957)
not ser.3 [ser.3 has 10 volumes]

- Record series in spanned form if holdings are complete.

Example:

new ser.:v.3(1959)-ser.4:v.10(1984)
not: new ser.:v.3(1959)-new ser.:v.8(1964);
ser.3:v.1(1965)-ser.3:v.10(1974);ser.4:v.1 (1975)-ser.4:v.10(1984).

- For a serial within a serial or series, each with its own numbering scheme, use the enumeration/chronology appropriate to the serial identification to which the serial holdings statement is linked.

Example:

Studies in bibliographic control, nos.5 1963, 8 1968, 13 1971, 16 1973 are:
Bibliographic control of microforms, nos. 1,2,3,4 for 1963, 1968, 1971, 1973.

Enumeration and chronology for the holdings statement are linked to
Bibliographic control of microforms shall be:
no.1(1963)-no.4(1973)

- UofA practice: If there are alternative numbering schemes, record only one numbering scheme.

Example:

v.12- [catalogue record has: 362 v.12 = no.44-]

2.2.3 Changes in numbering system

- If the enumeration is dropped or added, or a new series or numbering system adopted, incorporate this data in the holdings.

Example:

arg.78(1958)-arg.85(1965);1966-

2.3 Chronology

- When more than one type of date is present in the source for chronology, select the date from the following preferred dates, in the order indicated:

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

For conferences, consider the date it was held to be the date of coverage. For monographic series, ignore dates in the monographic title. This means that the publication date is normally used.

- The format for the year is all four digits, punctuated as follows:

Use a diagonal (/) as a separator if the chronology data for a single bibliographic unit spans a noncalendar year or more than one year.

Example:

1969/1970 [noncalendar date or biennial]
1980/1982 [triennial]

Do not abbreviate years, eg. 1984/1985, not 1984/85.

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

Example:

Correct: 196?

Incorrect: 1977?

If the century or decade is not known, the year is not recorded.

- If a serial does not carry chronology data, do not supply it. However, if a serial normally carries chronology data and such data is omitted from a specific piece, supply it if known.
- Do not record any non-chronological data which may appear in conjunction with the chronology.

Example:

1987

not 1987 ed.

- The chronology data enclosed in parentheses must reflect what appears on the publication in conjunction with the enumeration data.

Example:

no.1 1905

no.2 1904

no.3 1906

is recorded as: no.1(1905)-no.3(1906)

2.4 Scattered holdings (U of A practice)

It sometimes happens, especially with microreproductions, that the holdings are so scattered that it is impractical to record them in detail. In such cases make a bibliographic note. The note should be a 590 local note if it applies only to the holdings of a particular library.

Example:

590 UA copy: Scattered issues lacking.

500 Scattered issues filmed.

Record the holdings as if they were complete from the first to last issues held.

2.5 Supplements and indexes

Supplements and indexes that are not described in separate bibliographic records are considered to be secondary bibliographic units and are therefore not recorded in the summary holdings. However, if the only holdings are supplements or indexes, then record them.

2.6 Holdings Notes (U of A practice)

- Notes relating to limited retention of serial holdings (e.g. Latest edition only retained) are used *in place of* summary holdings.

All other notes are added at the end of the summary holdings in subfield |z.

- Use the full form (i.e. description) for libraries and locations.
University of Alberta Rutherford-Humanities & Social Sciences,
not HSS Reference, *not* RF
- When there is a note about holdings in different libraries or locations, the library used for the MARC holdings record should be the first library that holdings go to. This is the opposite of our old practice, when we used the "final" library the holdings went to.
- Do not precede "Incomplete:" notes with a crosshatch (#) as in previous practice. If a summary holdings note and an "Incomplete" note are both required, place the "Incomplete" note last.
- Notes should be standardized as far as possible. The following should cover all but the most unusual cases. Variations on these notes, which may be received from unit libraries, should be "translated" into standard form.

Standard Note	Acceptable Variations	Additional info
Latest edition only retained	Latest [2, 3, etc.] editions only retained Latest [2, 3, etc.] editions only retained; latest edition in...; second latest in...	Limited retention note (866 a) Used with serials
Current issues only retained	Current year only retained Current [2, 3, etc.] years only retained Current issues retained until replaced by microfilm Current issues and previous year retained	Limited retention note (866 a) Used with periodicals
Latest edition in...; others in...	Latest [2,3, etc.] editions in...; others in... Latest edition in...; second latest in...; others in...	Used with serials
Current issues in...; others in...	Current year in...; others in...	Used with periodicals
After [volume, date], issues retained until replaced by microfilm [or microfiche]		

2.7 Microform holdings

The recording of summary holdings is the same as for non-microform serials except that the type of microform must be specified if it is not described in the bibliographic record. Follow the instructions below.

- If the holdings are catalogued as microform (eg. fields 1008 and 533 are present in the bibliographic record), then do not specify the type of microform in the holdings.

Example:

no.1(1789)-no.37(1791)

[All holdings are microfiche and are catalogued as such]

- If the holdings are not catalogued as microform, then add the type of microform in parentheses after the summary holdings.

Example:

1973-1979 (microfilm)

v.1(1970)-v.15(1977) (microfiche)

1947-1969 (microfilm);1970- (microfiche)

2.8 Summary of Punctuation

Symbol	Name	Purpose	Examples
	Blank	Indicates separation of data elements within an area. NOTE: Previous NEOS practice was to insert a blank between the enumeration and chronology, e.g. v.5 (1997)-	reel 32 1st ed.
:	Colon	Separates two orders or levels of hierarchical bibliographical units. Blanks are not used before or after the colon.	Ser.3:v.1
,	Comma	Indicates a gap in a range of holdings. Blanks are not used before or after the comma.	1942-1945,1953-1955
/	Diagonal (forward 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
-	Hyphen	Indicates an unbroken range of holdings or open holdings. Blanks are not used before or after the hyphen.	1953-1957 v.1-
()	Parentheses	Separates enumeration and chronology when this information is recorded together. Blanks are not used before or after parentheses.	v.1(2003)-
?	Question mark	Indicates unknown digits(s) of a date when either the decade and/or year are not known. Blanks are not used before the question mark; a closing question	1950-197?

		mark is followed by a blank.	
;	Semicolon	Indicates a non-gap break. Blanks are not used before or after the semicolon.	v.1-4;v.6 (v.5 not published)

3. EXAMPLES

v.1(1987)-

Bd.1(1982)-Bd.5(1983),Bd.8(1985)-v.11(1987)

1977-1984,1986-

1982/1983-1983/1984,1985/1986-

arg.78(1958)-arg.85(1965);1966-

Latest edition only retained

1985-

no.12 (1966) suppl.

1976- Latest edition in Reference; others in Stacks

no.1(1962),no.4(1963),no.7(1965)-no.8(1965)

16th ed.(1985/1986)

1962-1985 (microfilm)

v.5(1983)- Incomplete: v.6

no.12(1961),no.14(1962),no.14 rev.(1980),no.24(1978)-no.25(1978),no.29(1980)

v.1(1953)-v.10(1962);ser.2:v.1(1964)-ser.2:v.5(1968)

v.1(1982),v.4(1985)-

no.9(1978)-

Current issues retained until replaced by microfilm.

1.Jahrg.(1968)-2.Jahrg.(1969)

4. DEFINITIONS

Alternative enumeration. Additional, secondary enumeration assigned to some serial units. Note: Alternative enumeration provides a continuously numbered sequence in addition to hierarchical designations. For example, "v.3:pt.1=fasc.7" reflects a primary enumeration of volumes and parts, and an alternative enumeration of fascicles.

Caption. Word, phrase, or abbreviation indicating the parts into which a serial unit has been divided by the publisher. Note: A caption ordinarily appears on the piece immediately preceding the enumeration, for example, "volume," "Band," "Heft," "part," "number," "tome," although it may also appear following it (for example, 1. Teil), or surrounding it (for example, ti 17 chan).

Chronology. Data element that indicates the date(s) used by the publisher on a serial unit to help identify if and/or indicate when it was issued. Note: the chronology may reflect the date of coverage, publication, copyright, or printing.

Combined numbering. The use of a combined numbering scheme when the publisher has chosen to publish two or more parts (or issues) as one, for example, "number 3/4."

Correlation. A one-to-one correspondence between the recorded sequence of enumeration and the chronology data.

Currently received. Newly published pieces routinely being received at the time the holdings report is prepared/

Data area. Defined segment of the holdings statement made up of one or more data elements.

Data element. Basic unit of the identifiable and definable data of the holdings statement.

Date information. See chronology.

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.

Date of printing. Date of impression and production of a bibliographic unit as designated by the publisher of the work.

Date of publication. Date of issue of a bibliographic unit as used by a publisher on the unit.

Date of reprinting. Date of a subsequent reproduction of a previously published bibliographic unit as used by the publisher on the reproduction.

Element. See data element.

Enumeration. Data element that indicates the sequential numeric and/or alphabetic designation used by a publisher on a 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.

Extent-of-holdings data area. Data area conveying the extent of unit, name of unit, enumeration, and/or chronology (whichever is appropriate) about the bibliographic unit for which holdings are being recorded.

Field. See data element.

Gap. Break or discontinuity in the holdings of published parts of a serial unit. A gap may reflect a part not yet issued, a part issued but not yet received, or a part about which there is doubt about whether it has been issued.
See also nongap break.

Hierarchical level. The relative position of one or more data elements to other data elements in the hierarchical structure of a system. Such relative position implies an upward or downward relationship among the data elements in the structure.

Holdings note area. Data area containing free-text information, generally of a local nature. 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.

Holdings statement. For the purposes of this standard, a holdings statement reflects only items actually held now, not items no longer held nor items expected to be acquired. The holdings statement can be open-ended.

Index. For the purposes of this standard, a separately described index (that is, one having its own bibliographic record) is a basic bibliographic unit; an index described in the record for the main work that is not enumerated as part of the basic bibliographic unit is considered a secondary bibliographic unit.

Monographic series. A group of separate bibliographic items related to one another by the fact that each item bears, in addition to its own title proper, a collective title applying to the group as a whole. The individual items may or may not be numbered.

Noncalendar year. A period of given months of publication that does not correspond to the Gregorian calendar year of January to December (for example, fiscal year or academic year).

Nongap break. Gap between the recorded parts of a serial unit caused by unpublished parts or discontinuity in the publisher's sequential designations.

Numbering. See enumeration.

Open-ended holdings statement. A range of enumeration and/or chronology that ends with a hyphen. An open-ended holdings statement indicates that the institution is receiving the title on an ongoing basis.

Range. The extent or scope of holdings, expressed in terms of enumeration or chronological data.

Serial unit. Basic bibliographic unit or secondary bibliographic unit that is issued in successive parts at regular or irregular intervals, bearing numerical and/or chronological designations, and intended to be continued indefinitely. Note: A serial unit may be in any physical form or medium. Examples of works that are usually serial in nature include periodicals. Newspapers, annual works, reports, journals, memoirs, proceedings, transactions such as conferences of societies and other corporate entities, and numbered monographic series.

Series. A separately numbered or unnumbered sequence of volumes within a set or serial. For example, 1st series, 2nd series, etc., or, New series.

Summary holdings statement. Holdings statement at the first (highest) level of enumeration and/or chronology.