Serials: The Volume Holdings Record (MFHD)

(Almost) Everything You Wanted to Know About Serials

But (Understandably) Have Been Afraid to Ask

1. Definitions

Monograph an item that is either complete in one part or complete, or intended to be complete, in a finite number of separate parts.

Serial a publication in any medium that is issued in successive parts bearing numeric or chronological designations and intended to be continued indefinitely. Serials include periodicals; newspapers; annuals (reports, yearbooks, etc.); the journals, memoirs, proceedings, transactions, etc. of societies; and numbered monographic series.

Monographic series a group of separate items that are related to one another by the fact that each item bears, in addition to its own title proper, a collective title that applies to the group as a whole. The individual items may or may not be numbered. An analytical entry is an entry for a part of an item for which a comprehensive entry is also made.

2. Cataloging

Successive-entry cataloging requires that a new (separate) bibliographic record be created each time the title or the issuing body (if it is used as the main entry) of the serial changes. The associated holdings must be recorded accordingly, often across several bibliographic records. **Latest-entry cataloging** permits such changes (and therefore all holdings) to be recorded in a single bibliographic record. Although successive-entry cataloging was incorporated into the Anglo-American Cataloguing Rules in 1970, neither Yale nor the Library of Congress adopted the practice until approximately 1978.

3. Retrospective conversion

Given the complex nature of Yale's holdings, which are often extensive though not always complete, our current retrospective conversion policy has been designed to accommodate both successive- and latest-entry cataloging. In keeping with current national practice, successive-entry records are generally preferable to latest-entry records. Successive-entry cataloging is required, however, only when all the records that are necessary to accommodate Yale's holdings already exist and those records will accommodate Yale's holdings without any gaps in coverage. In other words, if the requisite successive-entry records are not readily available, latest-entry cataloging is appropriate.

- If successive-entry records for all of the titles held by Yale are present in WorldCat, and those records will accommodate Yale's holdings without any gaps in coverage (i.e., there are holdings associated with each successive-entry record), OCLC will claim the successive-entry records for Yale, even if a latest-entry record also exists in WorldCat.
- If successive-entry records for some but not all of the titles held by Yale are present in WorldCat, OCLC will create a latest-entry record based upon the information on Yale's card. OCLC will not create successive-entry records for the titles not already represented in WorldCat.
- If the only record in WorldCat is a latest-entry record, and that record will accommodate Yale's holdings, OCLC will claim the record for Yale. OCLC will not create successive-entry records based solely upon the information on Yale's card.

4. Examples

Successive-entry records (SLE 0):

Title: Nebula award stories.
Published: New York, Harper & Row.
Extent: [1]-11; 1965-76.
Continued   Nebula winners
by: CCL, Stacks
LOCATION: PN3315 N43
CALL   v.1(1965)-v.3(1968),
NUMBER: v.5(1970),
LIBRARY   v.7(1973)-v.8(1973),
HAS: v.11(1976)

Title: Nebula winners.
Published: New York, Harper & Row.
Extent: 12-   1977-
Continues: Nebula award stories
Continued   Nebula award stories (New York, N.Y. : 1982)
by: CCL, Stacks
LOCATIO   PN3315 N43
N: v.12-v.15
CALL
NUMBER:
LIBRARY
HAS:

Title: Nebula award stories (New York, N.Y. : 1982)
              Nebula award stories.
Published: New York, N.Y. : Holt, Rinehart, & Winston,
Extent: c1982-c1983.
Continues: 16-17.
Continued   Nebula winners
by: Nebula awards
LOCATIO   SML, Linonia and Brothers, 1st Floor
N: PN3315 N43
CALL   v.16
NUMBER:
LIBRARY
HAS:

Title: The Nebula awards.
Published: New York [N.Y.] : Arbor House, c1983-
Extent: No. 18-
Continues: Nebula award stories (New York, N.Y.: 1982)
LOCATIO   SML, Linonia and Brothers, 1st Floor
N: PN3315 N43
CALL   no.18-no.20,
NUMBER: no.22-no.23
LIBRARY
HAS:

Latest entry record (SLE 1):

Title: Universalist.
Published: Boston, H. Bowen.
Extent: v. 1-60, no. 35; July 3, 1819-Dec. 28, 1878.
Former   Universalist magazine 1819-1828.
titles: Trumpet and universalist magazine 1828-1862.
              Trumpet and Christian freeman 1862-1863.
              Trumpet and freeman 1864-1878.
              Christian leader 1878
Absorbed   MUDD, Stacks
by: Miw50 +Un3
LOCATIO   v.1:no.1(1819:July 3)-v.60:no.35(1878:Dec. 28)
N:
CALL
NUMBER:
LIBRARY
HAS:

Serial MFHD/Item Record: Punctuation and data recording examples

1. Punctuation Conventions

The **hyphen** is used to indicate an unbroken range of holdings.

v.1(1953)-v.5(1957)

The **comma** is used to indicate a gap in a range of holdings.

1942-1945,
1953-1955

The **diagonal** is used as a connector between notations that form a single entity, such as two different years that form a single period of coverage or a double volume number.

v.1/5(1960/1965)

The **question mark** is used as the last digit of the date to show an unknown quantity in a date.

1950-197?

The **colon** is used as a delimiter between a first-order designator and its related subsequent-order designators.

v.1:no.1:pt.1

The **semicolon** is used to indicate a nongap break in a range of holdings, i.e., when an item is not published or a change in numbering occurs.

v.1-4;v.6

The **space** is used in chronology data to separate a month from a day if the month is not abbreviated.

(1988:June 12)

Parentheses are used to separate enumeration data from chronology data.

v.1(1950)

The **equals sign** is used in enumeration data to separate alternative numbering schemes.

v.2:no.5=no.11

Brackets are used in chronology data to enclose a supplied date, such as a translated Gregorian date.

Showa 56-nendo [1981/1982]

2. Recording Enumeration Data

All numeric information is converted to Arabic numbers.

v.VII is recorded as v.7
First ed. is recorded as 1st ed.
no. Five is recorded as no.5
Troisieme is recorded as 3e

For alphabetic data, uppercase and lowercase characters are recorded as they appear on the publication and romanized, if necessary.

no.36B
v.B

Captions associated with enumeration are recorded in the vernacular form appearing on the publication and romanized, if necessary. Captions are abbreviated according to the appropriate portions of Anglo-American Cataloguing Rules (Second edition 1988 revision) Appendix B.

volume 5 is recorded as v.5
tome 7 is recorded as t.7
nmbr 3 is recorded as no.3

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

v.1/2

Enumeration data is recorded from highest hierarchical level to lowest; the colon is used to separate each level.

v.1:no.1
v.1:no.1:pt.A

When a serial carries multiple schemes of enumeration, the following guidelines apply:

For unnumbered series, the series caption (e.g., "ns" or "new series") is treated as a caption for the most inclusive level of enumeration data and is recorded at the appropriate location within the enumeration data.

new ser. v.1

For numbered series, the series numbering schemes and series captions are treated as the most inclusive level of enumeration data and are recorded in the appropriate location within the enumeration data.

ser.1:v.1:no.1

For alternative numbering schemes, if there is a scheme of continuously incrementing issue numbers or other numbering schemes in addition to a regular scheme of enumeration, the alternative numbering scheme or schemes is also recorded, following the regular scheme of enumeration and separated by an equals sign.

v.3:no.1=no.50

If a serial does not carry enumeration, it is not supplied.

3. Recording Chronology Data

The holdings record incorporates all levels of chronology data (e.g., year, month, day) that are recorded consistently on the card.

When more than one type of date is recorded, a single date is selected from the following preferred dates, in the order indicated:

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

The date of reprinting is not used in the holdings record because the chronology information used is that associated with the original work. Reprint information is properly a part of the bibliographic description of the work.

The format for the year includes all four digits.

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

Months, seasons, and days are recorded in the vernacular form appearing on the publication and romanized, if necessary. Chronology data is abbreviated according to the appropriate portions of Anglo-American Cataloguing Rules (Second edition 1988 revision) Appendix B. Day notations are not treated as a separate hierarchical level.

Correct: 1968:June 12
Incorrect: 1968:June:12

Chronology data is recorded from highest hierarchical level to lowest; the colon is used to separate each level.

1980:Jan.

If a serial does not carry chronology data, it is not supplied.

If a serial normally carries chronology data, and such data is omitted from a specific piece, it may be supplied within brackets.

4. Recording Supplementary Material

A supplement with an independent numbering scheme is considered a separate serial and described in a separate bibliographic record.

A supplement that is not described in a separate bibliographic record and not contained within a basic bibliographic unit (i.e., one of the segments of the publication sequence of a serial as designated by the publisher) is recorded in the holdings record in field **867**.

866/1:41: ‡8 0 ‡a v.1(1900)-v.12(1912),
866/1:41: ‡8 0 ‡a v.14(1914),
866/1:41: ‡8 0 ‡a v.18(1918)-v.24(1924)
867/1:41: ‡8 0 ‡a v.14:suppl.

For supplements with independent numbering schemes, the numbering scheme of the supplement is recorded in the holdings record.

867/1:41: ‡8 0 ‡a suppl.A

For supplements with numbering related to a particular volume or issue of the parent serial, all hierarchical levels of the enumeration and chronology data appearing on the publication are recorded in the holdings record.

867/1:41: ‡8 0 ‡a v.18:suppl.1(1918:June 1)

For supplements that lack an independent numbering scheme or do not have numbering related to a particular volume or issue of the parent serial, one of the following is recorded as appropriate:

867/1:41: ‡8 0 ‡a unnumbered supplement
867/1:41: ‡8 0 ‡a unnumbered supplements

5. Recording Indexes

An index with an independent numbering scheme is considered a separate serial and described in a separate bibliographic record.

An index that is not described in a separate bibliographic record but contained within a basic bibliographic unit (i.e., one of the segments of the publication sequence of a serial as designated by the publisher) is not recorded in the holdings record. The existence of such an index is usually noted in the bibliographic record.

An index that is not described in a separate bibliographic record and not contained within a basic bibliographic unit is recorded in the holdings record in field 868.

866/1:41: ‡8 0 ‡a v.1(1900)-v.12(1912),
866/1:41: ‡8 0 ‡a v.14(1914),
866/1:41: ‡8 0 ‡a v.18(1918)-v.24(1924)
868/1:41: ‡8 0 ‡a v.1/12(1900/1912)
868/1:41: ‡8 0 ‡a v.13/24(1913/1924)

An index covering a single volume is usually bound with the volume indexed and not recorded in the volume holdings record.

Recording Serial Holdings, Definitions, Compression

Guidelines for Recording Serial Holdings

1. Definitions

alternative numbering: a secondary numbering scheme used in designating a series of continuously published issues of a publication.

basic bibliographic units: the primary logical segments of the publication sequence of a serial as designated by the publisher excluding supplements, indexes, and accompanying material.

caption: an alphabetic word or phrase attached as a prefix to the enumeration data that describes the type of data (for example, volume, band, heft, part, number, or tome).

chronology: the different types of dates used by the publisher on the work to identify the individual bibliographic unit of a serial (for example, date of coverage, date of publication, date of printing, or date of reprinting).

compress: to condense one or more data elements through consolidation within one or more levels of data to express the same information with fewer characters. Data elements may be compressed only if there is not a gap in the level or levels to be compressed.

enumeration: the nonchronological scheme used by the publisher on the bibliographic unit to identify the individual bibliographic units of a serial and to show the relationship of a bibliographic unit to the serial as a whole.

first-order designator: the characters identifying the main or primary sequential division of the scheme of enumeration or chronology, or both, associated with a serial work, whether or not this main or primary division is further subdivided.

gap: a break or discontinuity in the sequence of enumeration or chronology, or both, of the serial held. The term does not refer to a break or discontinuity in the publication pattern of the serial.

nongap break: a gap between the recorded enumeration and/or chronology units caused by unpublished units or discontinuity in the publisher's enumeration or chronology.

subsequent-order designator: the characters identifying the second and all subsequent levels of sequential division of the scheme of enumeration or chronology, or both, associated with a serial work; that is, the levels of data required to distinguish between bibliographic units carrying identical first-order designators.

2. The Holdings Record

Holdings are generally recorded in a positive sense, that is, emphasizing that which is held as opposed to that which is not. Gaps can usually be determined by the absence of any bibliographic unit at any level of order designation. In many cases, however, holdings have been recorded in a negative sense, explicitly indicating issues missing.

Holdings records are created when holdings are complete and when holdings are incomplete.

Basic bibliographic units held are recorded in Orbis field **866**
Supplementary material held is recorded in Orbis field **867**
Indexes held are recorded in Orbis field **868**

In general, holdings are recorded in the holdings record in the same manner as they are recorded on the card. When enumeration and chronology have been recorded consistently on the card, enumeration and chronology data are recorded in the holdings record. Enumeration data is recorded first; corresponding chronology is enclosed in parentheses.

v.1:no.1(1976:Jan.)
v.1:no.2(1976:Feb.)

At the first order of designation (usually "volume"), holdings are recorded in a positive sense; gaps are indicated by the absence of a bibliographic unit at the "volume" level; and holdings are compressed whenever possible.

866/1:41: ‡8 0 ‡a v.1(1900)-v.12(1912),
866/1:41: ‡8 0 ‡a v.14(1914),
866/1:41: ‡8 0 ‡a v.18(1918)-v.24(1924)

For subsequent orders of designation, incomplete volumes detailing issues missing or issues held are recorded separately.

If the card records issues lacking/wanting:

866/1:41: ‡8 0 ‡a v.1(1900)-v.12(1912)
866/1:41: ‡8 0 ‡a v.13(1913) lacks no. 1,4,6,11
866/1:41: ‡8 0 ‡a v.14(1914)
866/1:41: ‡8 0 ‡a v.15(1915) lacks no. 1,6-10
866/1:41: ‡8 0 ‡a v.16(1916) lacks no. 7,12
866/1:41: ‡8 0 ‡a v.17(1917) lacks no. 3
866/1:41: ‡8 0 ‡a v.18(1918)-v.24(1924)

If the card records issues held:

866/1:41: ‡8 0 ‡a v.1(1900)-v.12(1912)
866/1:41: ‡8 0 ‡a v.13(1913) have no. 2-3,5,7-10,12
866/1:41: ‡8 0 ‡a v.14(1914)
866/1:41: ‡8 0 ‡a v.15(1915) have no. 2-5,11-12
866/1:41: ‡8 0 ‡a v.16(1916) have no. 1-6,8-11
866/1:41: ‡8 0 ‡a v.17(1917) have no. 1-2,4-12
866/1:41: ‡8 0 ‡a v.18(1918)-v.24(1924)

3. Compression

Holdings are compressed whenever possible.

Data elements **may not be compressed** if there is a gap in the level or levels to be compressed (i.e., a break or discontinuity in the sequence of enumeration or chronology, or both, of the serial held).

Data elements **may be compressed** if there is a nongap break (i.e., a gap between the recorded enumeration and/or chronology units caused by unpublished units or discontinuity in the publisher's enumeration or chronology).

Examples:

Noncompressed: v.1:no.1(1976:Jan.)-v.1:no.12(1976:Dec.)

Compressed: v.1(1976)

Noncompressed: v.1:no.1(1976:Jan.)-v.1:no.12(1976:Dec.)
    v.2:no.1(1977:Jan.)-v.2:no.12(1977:Dec.)
    v.3:no.1(1978:Jan.)-v.3:no.12(1978:Dec.)

Compressed: v.1(1976)-v.3(1978)

Noncompressed: v.1:no.1(1976:Jan.)
    v.1:no.2(1976:Feb.)
    v.1:no.3(1976:Mar.)
    v.1:no.4(1976:Apr.)
    v.1:no.6(1976:June)
    v.1:no.8(1976:Aug.)
    v.1:no.9(1976:Sept.)
    v.1:no.10(1976:Oct.)

Compressed: v.1:no.1(1976:Jan.)-v.1:no.4(1976:Apr.),
    v.1:no.6 (1976:June),
    v.1:no.8(1976:Aug.)-v.1:no.10(1976:Oct.)