

UC San Diego Guidelines for Recording Serial Holdings in Alma Holdings Records

For use by the technical services staff of the UC San Diego Library.

Adapted from the Yale University Library guidelines and we send them our immense gratitude. July 1, 2020, updated August 30, 2021

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Overview

Purpose: promote consistency in recording serial holdings by following the national standards.

UC San Diego follows Level 3 & 4 (summary & detailed holdings) of the current national standard for recording serial holdings: [ANSI/NISO Z39.71-2006 \(R2011\). Holdings Statements for Bibliographic Items](#). The current standard supersedes: ANSI/NISO Z39.44-1986. Serial Holdings Statements.

UC San Diego uses the **MARC 21 Format for Holdings Data** to store serial holdings records in machine readable form. At this time, UC San Diego uses the following MARC fields for textual holdings: 866 and 867. The 868 field for indexes is not used.

Key Definitions

Adjacent display. Holdings display in which each piece of enumeration is followed immediately by the corresponding chronology. UC San Diego uses adjacent display in its holdings display.

Alternative enumeration. Additional, secondary enumeration assigned to some multipart units or 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. UC San Diego generally does not use alternative enumeration.

Basic bibliographic units. Primary bibliographic unit for which holdings are being recorded. Examples of basic bibliographic units are a book, a multivolume encyclopedia, a computer file, a map, a score, a set of orchestral parts, and a publication with separately titled constituent parts. A bibliographic entity composed of several bibliographic units where one does not predominate is considered to have multiple basic bibliographic units; for example, a multimedia kit or a musical score and parts.

Bibliographic unit. Discrete bibliographic entity that constitutes either the whole or a part of the bibliographic item. 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.

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).

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

Compress. To record a range of holdings in terms of the enumeration and/or chronology of only the first and last parts held. UC San Diego generally uses compressed holdings statements.

Detailed holdings statement. Set of data elements required for Level 4 holdings to identify and record, at the most specific level of information, the parts of a bibliographic unit held by a particular institution. UC San Diego generally applies when holdings are incomplete, or for the holdings of some rare or special collection serials. Cf. Mixed; Summary holdings statements.

Enumeration. Data element in the Extent or Holdings Area that indicates the sequential numeric and/or alphabetic designation used by the 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.

Gap. A break or discontinuity in the holdings of the published parts of the serial held. The term does not refer to a break or discontinuity in the publication pattern of the serial.

Index. For the purposes of the ANSI/NISO standard, a separately described index (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.

Lacking. Not held.

Mixed holdings statement. Holdings statement with a combination of summary and detailed levels of enumeration and/or chronology data. UC San Diego uses mixed holdings statements when we have gaps.

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.

Secondary bibliographic unit. Discrete bibliographic unit that is supplementary or complementary to a basic bibliographic unit or to another secondary bibliographic unit. Examples: map in pocket, set of updates to a loose-leaf, answer book accompanying a text, pamphlet accompanying an audiodisc.

Summary holdings statement. Holdings statement at the first (highest) level of enumeration and/or chronology. UC San Diego policy is that data elements are recorded as summary holdings statements only if there is not a gap at any of the specific levels of the hierarchy. Where gaps occur, a mixed holdings statement is used. Cf. Detailed; Mixed holdings statements.

Supplement. Publication closely connected in subject matter to the basic bibliographic unit, issued by the same publisher, secondary to but separate from the basic bibliographic unit. A supplement having its own bibliographic description is considered a basic bibliographic unit and not treated as a supplement in the ANSI/NISO standard. A supplement included in the bibliographic description of the main work (basic bibliographic unit) is considered a secondary bibliographic unit so long as it is not enumerated as part of the main work, in which case it is considered a part of the basic bibliographic unit.

Alma Holdings Records

UC San Diego uses Alma holdings records to record holdings for serials. The holdings record stores data according to the MARC 21 Format for Holdings standard.

At this time, UC San Diego uses MARC 21 field 866 (Textual holdings-Basic Bibliographic Unit) to record **Basic Bibliographic Units** for serials rather than fields 853-855 (Captions and Pattern) and 863-865 (Enumeration and Chronology). This generates the label "Summary holdings:" in Primo.

866	4	1	±8 0 ±a <text>
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For **Supplementary Material**, UC San Diego uses MARC 21 field 867 (Textual holdings-Supplementary Material) rather than fields 854 (Captions and Patterns-Supplementary Material) and 864 (Enumeration and Chronology-Supplementary Material). This generates the label "Supplements:" in Primo; the text "Supplement(s)" should not be entered in subfield a.

867	4	1	±8 0 ±a <text>
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For **Indexes**, UC San Diego does not use MARC 21 field 868 (Textual holdings-Indexes) or fields 855 (Captions and Pattern-Indexes) and 865 (Enumeration and Chronology-Indexes). The presence of indexes is only indicated by notes in the holdings and bibliographic records and by separate item records for the indexes.

Enumeration data is recorded first; corresponding chronology follows immediately and is enclosed in parentheses. When a field is repeated, enumeration and chronology data are recorded from lowest enumeration data to highest, earliest data to latest.

EXAMPLE:

Published run: v. 1, no. 1-12 Jan.-Dec. 1960

Library holds: v. 1, no. 1-3, 5-8 Jan.-Mar., May-Aug. 1960

Record as:

866	4	1	±8 0 ±a v.1:no.1(1960:Jan.)-v.1:no.3(1960:Mar.),v.1:no.5(1960:May)-v.1:n o.8(1960:Aug.)
-----	---	---	---

Details on indicators, punctuation, and compression are in subsequent sections.

Indicator and Subfield Values for Fields 866 & 867

Indicator 1 4 = NISO Level 4 (see 1. Levels of Specificity in the next section). **Value 4 is MANDATORY**

Indicator 2	1 = Follows Z39.71 standard described in this document. Value 1 is MANDATORY.
8 0	Linkage field. May be used to facilitate arrangement of holdings fields if in the future, the MFHD includes both text and coded fields. Linkage field is MANDATORY.
a	Textual holdings. MANDATORY.
x	Staff note (does not display in Primo)
z	Public note (displays in Primo)

Note that, for the time being, UC San Diego procedure is to record current serial issue receipts in the item record.

Volume holdings in 866 are transcribed following the American National Standard (ANSI)/NISO (National Information Standards Organization) [Holdings Statements for Bibliographic Items](#) standards (ANSI/NISO Z39.71-2006 (R2011)). UC San Diego decisions on ANSI/NISO options as they apply to serials are recorded in this document.

Levels of Specificity

At UC San Diego, a combination of ANSI/NISO Levels 3 and 4 is used.

“This standard allows institutions to record holdings with a combination of level 3 and level 4 Extent of Holdings areas. This mixed level of recording allows an institution to record some Extent of Holdings areas at the summary level, while others are recorded at the detailed level, within the same holdings statement ...”

UC San Diego holdings statements may be either open or closed, depending on whether the serial is currently received or not.

UC San Diego does not use ANSI/NISO Level 1 ("no indication of extent of holdings") or Level 2 ("general guidance as to the extent of the institutions' holdings"). Note that Level 3 is understood to utilize the summary statement even when there are gaps so this is only used when there are no gaps in holdings. Cf. the examples for values 3 and 4 in MARC 21 Format for Holdings Data. UC San Diego policy is always to indicate gaps, so to avoid ambiguity, never use first indicator 3 in 866, even if the holdings are recorded at level 3.

The current standard is intended to allow institutions to record holdings with a combination of level 3 and level 4, allowing the institution to record some Extent of Holdings areas at the summary level, while others are recorded at the detailed level, within the same holdings statement. To simplify processing and to make clear that UC San Diego summary statements never ignore gaps, code first indicator as 4 for all holdings statements, even when a non-gap summary statement is recorded.

For detailed scope notes on Levels 1-4, see [ANSI/NISO Z39.71-2006 \(R2011\)](#), section 4.3.

Basic Principle for Recording Extent of Holdings

"When the extent of holdings is explicitly recorded, this standard requires the recording of those pieces held rather than of those pieces not held." (ANSI/NISO Z39.71-2006 (R2011), section 1.2.4. Pieces Held) See also section 5.5.1.5: "Record and display data in a positive sense; that is, emphasize that which is held rather than that which is not." Gaps shall be indicated and are determined by the absence of any bibliographic unit at any level of order designators (first order or any subsequent order.).

Extent of holdings must be based on examination of the physical items. If the physical items cannot be examined, digital surrogates may be used.

Punctuation, etc.

Use prescribed punctuation when recording holdings.

ANSI/NISO STANDARDS summary for punctuation and display as applied to serials (incorporating UC San Diego option applications and modifications):

1. **Angle brackets.** "Encloses the Specific Extent Note. The opening angle bracket is always preceded by a blank; the closing angle bracket is always followed by a blank."
<sound disc>
<Water-damaged>
UC San Diego generally does not use
2. **Blank space.** "Indicates separation of data elements within an area." For our holdings, blank is used in chronology data to separate a month from a day if the month is not abbreviated.
(1988:June 12)
(1988:Aug.15)
NO BLANK SPACE before or after punctuation (except: square and angle brackets)
3. **Colon (:)** "Separates two orders or levels of hierarchical bibliographic units." The hierarchy order should be from higher to lower. Blanks are not used before or after. Note in the second example that the series level is considered the first level of enumeration and is separated from the second level with a colon.
v.1:no.1:pt.1
new ser.:v.1
4. **Comma (,)** "Indicates a gap in a range of holdings. Blanks are not used before or after the comma."

1942-1945,1953-1955

5. **Equal sign (=)** "Separates alternative numbering schemes. Blanks are not used before or after the equal sign."
v.2:no.5(1950)=no.11
UC San Diego generally does not use
6. **Forward slash (diagonal) (/)** "Indicates combined numbering, combined chronology or non-calendar year chronology data. Blanks are not used before or after the diagonal."
v.1/5(1960/1965)
7. **Hyphen (-)** "Indicates an unbroken range of holdings or open holdings. Blanks are not used before or after the hyphen."
v.1(1953)-5(1957)
8. **Parentheses** "separate enumeration and chronology when the data are recorded together. Parentheses are neither preceded nor followed by a blank."
v.1(1950)
9. **Plus sign (+)**. "Separates a basic bibliographic unit from a subsequent one or from a secondary bibliographic unit. Blanks are used before and after a plus sign." See example under Quotation marks.
10. **Question mark** "indicates unknown digit(s) of a date when either the decade and/or year are not known." No blank before; follow a closing question mark with a blank unless used in conjunction with other punctuation that forbids blank before/after, e.g.parentheses.
195?-197?
18??
BUT: v.1(19??)-v.8(195?)
11. **Quotation marks**. "Encloses the name of a Unit." Precede and follow with blankspace.
+ "Cases" v.1(2000)-v.2(2001) <bound>
12. **Semicolon (;)** "indicates a non-gap break," i.e., when an item is not published or a change in numbering occurs. Blanks are not used before or after. Use a line break following the semicolon for clarity.
v.1(2000)-v.4(2004);v.6(2006)
v.1(1900)-v.4(1904);new ser.:1(1905)-new ser.:12(1917);new ser.2:v.1(1918)-new ser.2:v.10(1928)

13. **Square brackets** "enclose supplied enumeration or chronology data." Blank space before and after square brackets, unless used in conjunction with other punctuation that forbids blank before/after, e.g. equal sign, comma, parentheses.

Compression

Holdings are compressed whenever possible. A hyphen is used to indicate compression.

If there are no gaps between recorded pieces at the lowest hierarchical level, holdings are compressed in 86x. Compression may occur even if there are non-gap breaks as long as there is no change in enumeration.

Compressed form:

866	4	1	±8 0 ±a v.1:no.1(1976:Jan.)-v.1:no.4(1976:Apr.),v.1:no.6(1976:June),v.1:n o.8(1976:Aug.)-v.1:no.10(1976:Oct.)
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If within a level there are no gaps, generally eliminate any unnecessary, subordinate levels of enumeration. Use judgment in eliminating subordinate levels of detail if to do so would cause an unacceptable level of ambiguity.

EXAMPLE:

Compressed form with subordinate levels recorded:

866	4	1	±8 0 ±a v.1:no.1(1976:Jan.)-v.1:no.12(1976:Dec.)
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With subordinate levels eliminated:

866	4	1	±8 0 ±a v.1(1976)
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"If it is necessary to record both first-level and subsequent level enumeration in the holdings statement, repeat all levels of enumeration at the beginning and end of each range held." (ANSI/NISO 5.5.4.1) In the following example, a gap occurs in the subsequent enumeration level of v. 2, so both ends of the range in the first 866 repeat all levels of enumeration, even though v.1 is complete. There are no gaps in

volumes 3, 4, and 5, so the subsequent levels of enumeration are eliminated when the compressed form is recorded as a summary statement.

866	4	1	‡8 0 ‡a v.1:no.1(1976:winter)-v.2:no.3(1976:fall),v.3(1978)-v.5(1980)
-----	---	---	--

"For both numbered and unnumbered first-level series designators, record the series level as the first level of enumeration. When the first level is a series, always record the second-level enumeration along with the first level." Note that the first level is separated from the second level with a colon.

866	4	1	‡8 0 ‡a new ser.:v.1(1999)
-----	---	---	----------------------------

Enumeration and Chronology

When both enumeration and chronology are present, both should be recorded and supplied. Enumeration and chronology may be displayed separately or adjacent to each other. UC San Diego displays enumeration and chronology adjacently.

If both enumeration and chronology data are recorded adjacently, the chronology data is recorded in parentheses. If the item does not carry numeric designation and chronological designation is used (e.g., some annual publications), parentheses are not used with the chronology data.

866	4	1	‡8 0 ‡a 1999:Dez.-2000:Mai
-----	---	---	----------------------------

Enumeration and chronology are recorded from lowest enumeration data to highest; earliest date to latest.

Gap and Non-Gap Breaks

Use one holdings field, whether or not the holdings are complete or have gaps.

Holdings complete (Note that for complete holdings, UCSD practice is not to repeat the caption):

866	4	1	‡8 0 ‡a v.1(1976)-20(1996)
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Use a **comma** (,) to indicate a gap in holdings.

866	4	1	‡8 0 ‡a v.1:no.1(1982:Jan.)-v.6:no.2(1987:June),v.6:no.4(1987:Oct.)-v.7:n o.4(1988:Oct.)
-----	---	---	--

866	4	1	‡8 0 ‡a v.1:no.1(1981:fall)-v.1:no.2(1981:winter),v.2:no.3(1982:spring)-v.1 0:no.2(1989:winter),v.11(1990/1992)
-----	---	---	---

Use a **semicolon** (;) to indicate a change in enumeration (non-gap break). If a non-gap break occurs adjacent to a gap, a semicolon may be placed next to a comma.

866	4	1	‡8 0 ‡a v.1(1981)-v.2(1982);new ser.:v.1(1983)-new ser.:v.7(1989);,new ser.2:no.2(1991)-new ser.2:no.3(1993)
-----	---	---	---

A semicolon may also be used to denote a gap when a volume was never published.

866	4	1	‡8 0 ‡a v.1(1981)-v.2(1982);v.4:no.1(1984)
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However, if it is possible to compress the holdings (i.e., in situations where a change in enumeration is not involved), the non-gap break is not accounted for. If, in the previous example, all issues for v. 4 were received, the holdings would be recorded as:

866	4	1	‡8 0 ‡a v.1(1981)-4(1984)
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CAUTION: the bibliographic record must indicate that the volume was never published.

Enumeration

ENUMERATION. Data indicating the sequential numeric and/or alphabetic designation used by the publisher of the serial to identify the individual bibliographic or physical parts and to show the relationship of each part to the bibliographic unit as a whole.

Supplied enumeration. "If the bibliographic item does not carry enumeration, do not supply it."
(ANSI/NISO 5.5.4)

Record enumeration by giving the caption followed by the sequential designator (the number). If the enumeration on the item uses ordinal numbering, with the number preceding the caption, convert to cardinal numbering in order to place the caption first. (ANSI/NISO 5.5.4.3)

Item in hand has designation: 3. Teil. Record in 866 as:

866	4	1	8 0 3a T.3(2004)
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EXAMPLES:

Band 5	becomes	Bd.5
volume 16, no. 3	becomes	v.16:no.3
third series	becomes	ser.3
63	recorded as	63
volume 63	recorded as	v.63
1st edition	recorded as	ed.1
3. Teil	recorded as	T.3
1st (captionless ordinal)	recorded as	1

If the parts have hierarchical enumeration, record the sublevels following a colon when the situation warrants recording of sublevels. See also Compression above.

866	4	1	8 0 3a v.1:no.1(2004:Jan.15/31)
-----	---	---	---------------------------------

866	4	1	8 0 3a v.1:no.1:pt.A(2005:Jan.)
-----	---	---	---------------------------------

"Convert all numeric information to Arabic numbers" (ANSI/NISO 5.5.4.3).

VII	becomes	7
sixth volume	becomes	v.6

"Record uppercase and lowercase alphabetic characters as they appear on the item" (ANSI/NISO 5.5.4.3):

866	4	1	‡8 0 ‡a 23a(2006:Apr.28)
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866	4	1	‡8 0 ‡a no.36B(2006:July/Dec.)
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866	4	1	‡8 0 ‡a v.B(2007:summer)
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"When a bibliographic item is used with combined numbering--not when bound together after receipt--separate the numbers by a forward slash." (ANSI/NISO 5.5.4.3). If a caption is used, record the caption for the first number only.

866	4	1	‡8 0 ‡a v.1/2(1985/1986)
-----	---	---	--------------------------

"When a part of an otherwise numbered unit lacks numeric or alphabetic designation, it may be supplied in square brackets" (ANSI/NISO 5.5.4.3):

866	4	1	‡8 0 ‡a [Bd.1](2002)-3(2004)
-----	---	---	------------------------------

Record an incorrect numeric designation as found, with the correct form in square brackets preceded by "i.e." (ANSI/NISO 5.5.4.3). Notice how the semi-colon for "non-gap break" is used

866	4	1	‡8 0 ‡a v.1(1988)-v.2 [i.e.3](1990);v.4(1991)-v.9(1996)
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Series designators ("new series" and equivalent). Always record as first level enumeration whether unnumbered or not and always record the second level as well.

New series with numbering. Caption and numbering included as another element of the enumeration hierarchy:

866	4	1	‡8 0 ‡a ser.1:v.1:no.1(2003)
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New series without numbering. Note that the series designator is still separated from the second level with a colon, even though the series designator is not numbered.

866	4	1	‡8 0 ‡a n.F.:Bd.1(2003)
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REPEATING NUMBERS.

Per RDA 2.6.2.3, "If the designation consists of a year and a number that is a division of the year, record the year before the number."

CONSER example (8.5.5):

On piece:

no. 1 1990 (no. 1 repeats each year)

In bibliographic record:

362	0		‡a 1990, no. 1-
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In holdings record:

Volume 1990 incomplete; volume 1991 complete:

866	4	1	‡8 0 ‡a 1990:no.1-1990:no.5,1990:no.7-1991:no.8
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Volumes 1990 and 1991 complete (compressed):

866	4	1	‡8 0 ‡a 1990-1991
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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 may be recorded, following the regular scheme of enumeration and separated by an equals sign." (ANSI/NISO 5.5.4.4)

UC San Diego policy is generally not to record the alternative numbering; it may be recorded according to individual judgment if deemed necessary for clarity.

866	4	1	‡8 0 ‡a v.3:no.1(2003)=no.50
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866	4	1	‡8 0 ‡a v.1:pt.1(1893)-v.56:pt.2(1948)=no.1-no.666
-----	---	---	---

CAUTION: When volume number and consecutive numbers appear together on the source, and the consecutive numbers are a subordinate level of designation, the consecutive number is recorded subordinately to the volume number; rather than as alternative numbering (cf. CONSER CATALOGING MANUAL 8.3.2c).

Bibliographic record has:

588	0		‡a v.153:no.3873(1944)
-----	---	--	------------------------

In that case, record volume holdings as:

866	4	1	‡8 0 ‡a v.153:no.3873(1944)-v.160:no.4071(1947)
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If the bibliographic record has no indication whether or not the consecutive numbers are to be recorded subordinately, generally do not record as alternative enumeration unless the numbering is considered useful:

866	4	1	‡8 0 ‡a v.153(1944)-v.160(1947)
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Or if alternative enumeration is considered useful:

866	4	1	‡8 0 ‡a v.153(1944)-v.160(1947)=no.3873-no.4071
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Alternative numbering can be considered useful if it is commonly used in citation practice, if there is reason to believe patrons are otherwise likely to use the alternative numbering, or if the alternative numbering is useful for check-in.

If the original numerical designation is consecutive but a new designation, such as "new series" or the like, appears in addition to the consecutive numbering designation, the additional designation is

generally recorded in a 515 note; in that case, do not record the additional designation in 866. Cf. Liheng, Carol. Serials cataloging handbook. 2nd ed., p. 116-117 (F12).

515			‡a v.26-50 also called: ser. 2, v. 1-ser. 2, v. 25; v. 51-75 also called: ser. 3, v. 1-ser. 3., v.25; v. 76-100 also called: ser. 4, v.1-ser. 4, v. 25.
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866	4	1	‡8 0 ‡a v.1(1851)-124(1974)
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NOT:

866	4	1	‡8 0 ‡a v.1(1851)-v.25(1875);v.26(1876)-v.50(1900)=ser.2:v.1-ser.2:v.25;v .51(1901)-v.75(1925)=ser.3:v.1-ser.3:v.25;v.76(1926)-v.100(1950) =ser.4:v.1-ser.4:v.25;v.101(1951)-v.124(1974)
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Captions

Caption. "A word, phrase, or abbreviation indicating the parts into which the publisher has divided the serial." Examples: "volume," "Band," "Teil," "part," "tome."

ANSI/NISO Z39.71-2006 (R2011), 5.5.4.2. Recording captions is optional. **UC San Diego applies the option to record captions.** If parts of a unit do not have captions, captions are not supplied.

"Transcribe captions associated with enumeration in the vernacular form appearing on the publication, transliterated when needed. Record captions in the singular. Optionally, captions may be translated. If the parts of a unit have no captions, do not supply captions." (ANSI/NISO 5.5.4.2)

UC San Diego does not apply the translation option, i.e. if the caption is Bd., use **Bd.** as the caption rather than **v.**

EXCEPTION: Translate captions that appear in non-Latin scripts. The standard English captions of ser., v., no., etc. may be used.

Per ANSI/NISO 5.5.4.2, if an AACR2 caption abbreviation is available, the abbreviation is used. ANSI/NISO option if no abbreviation in AACR2 is "other standard lists or ISO 832 rules." **UC San Diego will apply both the RDA [instead of AACR2] and ISO abbreviations.** If the caption abbreviation is not listed in either RDA or the ISO list, it must be transcribed in full, unabbreviated form. (See [Appendix 1: Captions and chronology data](#))

Use lowercase for captions unless the language of the caption (e.g., German nouns) requires an uppercase first letter.

If a symbol (e.g. #) is used as a caption and it has a recognized textual equivalent, record the textual equivalent [ANSI/NISO 5.5.4.2]; use the RDA abbreviation if listed:

Caption on piece: #1. Record in 866 as:

866	4	1	‡8 0 ‡a no.1(2003)
-----	---	---	--------------------

If enumeration follows an unabbreviated caption (i.e., no end punctuation), leave one space between the caption and the enumeration. (ANSI/NISO 5.5.4.2)

In the following example, there is no authorized abbreviation for Heft and it is transcribed as is. Since there is no end punctuation, a space is entered between Heft and 1.

866	4	1	‡8 0 ‡a Heft 1(2000)
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ANSI/NISO: "Captions need not be repeated after the hyphen. However, captions may be repeated after the hyphen when needed for clarity."

UC San Diego practice is to generally not repeat the caption unless it is needed for clarity. The most common reasons for repeating the captions are many gaps in holdings, holdings where the top level is only a date, or many sub-levels of enumeration.

Holdings statement without the caption repeated:

866	4	1	‡8 0 ‡a Heft 1(2000)-2(2001)
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Holdings statements with the captions repeated:

866	4	1	‡8 0 ‡a 1990:no.1-1990:no.5,1990:no.7-1991:no.8
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866	4	1	‡8 0 ‡a v.1:no.1(1982:Jan.)-v.6:no.2(1987:June),v.6:no.4(1987:Oct.)-v.7:n o.4(1988:Oct.)
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Chronology

NOTE: Issue numbering was locally assigned to months and recorded in a 931 note. The holdings record incorporates all levels of chronology data (e.g., year, month, day)

If both enumeration and chronology are present, NISO states that both may be recorded. **UC San Diego records both.** Note also that, per ANSI/NISO, if only enumeration is present, only enumeration is recorded; chronology is not supplied. And, vice versa, if only chronology is present, record only chronology; do not supply enumeration.

On piece: Winter 2012, no enumeration

866	4	1	±8 0 ±a 2012:winter-
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On piece: December 1999, no enumeration

866	4	1	±8 0 ±a 1999:Dec.-
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However, if a serial normally carries chronology data, and such data is omitted from a specific piece, it may be supplied within brackets.

DATES (ANSI/NISO 5.5.5.2)

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. A public note may be made with the reprint information, if necessary.

The format for the year includes all four digits, even if the item does not.

1993/1994 **not** 1993/94

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 RDA [Appendix B](#).

Day notations are not treated as a separate hierarchical level.

USE: (1968:June 12)

NOT: (1968:June:12)

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

(1980:Jan.)

(1996:Oct.19:am) <daily newspaper w/morning & evening eds.>

Note that a blank space is used in chronology data to separate a month from a day if the month is not abbreviated.

Use a forward slash if the chronology spans a non-calendar year or more than one year:

1989/1990 <either a non-calendar year or a biennial>

1990/1992 <triennial>

UC San Diego practice: Although the ANSI/NISO standard instructs us to record non-Gregorian chronological data when it is the only scheme used, staff should convert the chronological data to Gregorian; dates are not bracketed; months and seasons are translated into English.

East Asia example:

245	0	0	‡6 880-01 ‡a Wen xue Taiwan.
310			Quarterly

362	0		¶6 880-04 ¶a no. 1 (2002 chun ji)-
866	4	1	¶8 0 ¶a no.1(2002:spring)-3(2002:fall)

Microfilm, Reprints & Accompanying Material

If a microform set is original, record holdings based on the bibliographic designation.

010			¶a 93640490
245	0	0	¶a Dun's business identification service.
264		1	¶a [Parsippany, N.J.] : ¶b D & B,
300			¶a microfiches : ¶b negative
310			¶a Semiannual
588	0		¶a May 1984; title from eye-readable header.
866	4	1	¶8 0 ¶a 1984:May-2003:May

If a microform set is a reproduction of a single title, record 866 holdings based on the ***bibliographic*** designation.

010			¶a sn 83010209
245	0	0	¶a Dun's business month.
264		1	¶a New York, N.Y. : ¶b Dun & Bradstreet, ¶c c1981-
300			¶a volumes : ¶b illustrations ; ¶c 28 cm
310			¶a Monthly
362	0		¶a [Vol. 118, no. 3] (Sept. 1981)-
533			¶a Microfiche. ¶b Ann Arbor, Mich. : ¶c University Microfilms International, ¶e microfiches. ¶f (Publication 202)

866	4	1	‡8 0 ‡a v.118(1981)-140(2003)
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Reprints. Record 866 holdings based on the original **bibliographic** designation.

010			‡a sf 92090648 ‡z sn 90010223
245	0	4	‡a The blue review.
264		1	‡a London : ‡b Frank Cass and Co. Ltd., ‡c 1968.
300			‡a 1 volume ; ‡c 26 cm.
362	0		‡a Vol. 1, no. 1 (May 1913)-v. 1, no. 3 (July 1913).
580			‡a Originally published monthly: London : Martin Secker, 1913.
866	4	1	‡8 0 ‡a v.1:no.1(1913:May)-v.1:no.3(1913:July)

Generally do not record accompanying material in the 866 holdings. Instead, record accompanying material only in 300 \$e, in a public note, by using items records, or ignore in the bibliographic description, as appropriate. See CONSER Cataloging Manual, 11.4.2. "Once you have determined what you have in hand, decide how to describe it. As with the illustration statement, consider the entire serial. Will each issue be likely to contain such material or is this more likely a one-time occurrence? If the latter is true, it may be more appropriate to add a note to the record about the extent of the accompanying material (RDA 3.22.2), or the accompanying material may be ignored." (Advertising material might be an example of material to be ignored.)

In the following example, each issue is accompanied by an audio compact disc*:

*(i.e., in the original CONSER example; LC later revised the record and recorded information about accompanying material in a note).

010			‡a 90649787
245	0	0	‡a Amadeus : ‡b il mensile della grande musica.
264		1	‡a Milano : ‡b De Agostini-Rizzoli periodici, ‡c [1989?-
300			‡a volumes : ‡b illustrations (chiefly color) ; ‡c 29 cm + ‡e sound discs
310			‡a Monthly
362	0		‡a Anno 1, n. 1 (dic. 1989)-

866	4	1	⌘8 0 ⌘a anno 1(1989)-2(1990)
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In the following example, some issues have accompanying material:

010			⌘a 87656977
245	0	0	⌘a OCLC micro.
264		1	⌘a [Dublin, Ohio : ⌘b OCLC Online Computer Library Center, ⌘c c1985]-1992.
300			⌘a 8 volumes : ⌘b illustrations. ; ⌘c 23 cm
310			⌘a Bimonthly
362	0		⌘a Vol. 1, no. 1 (Mar. 1985)-v. 8, no. 6 (Dec. 1992).
500			⌘a Some issues accompanied by diskettes.
866	4	1	⌘8 0 ⌘a v.1(1985)-8(1992)

If considered to be important, accompanying material should be recorded in field 866 and not as a supplement in field 867. In such cases, accompanying material should be recorded as a "secondary bibliographic unit" in field 866 according to the scheme: <primary bibliographic unit> + <secondary bibliographic unit>. This procedure might be more appropriate for a rare, dead serial. It would be misleading to record only selected accompanying material in 866 for an ongoing serial. Also consider using a public note in 866 ⌘z instead.

866	4	1	⌘8 0 ⌘a v.1(1989)-v.3(2002);v.4(2003) + 1 globe;v.5(2004)-v.6(2005)
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If the library decides to record the accompanying material for the Amadeus example (based on ANSI/NISO Example 20):

866	4	1	⌘8 0 ⌘a v.1(1985)v.-8(1992) + "musica" v.1(1985)-v.8(1992) <sound discs>
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Note use of plus sign, line break, quotation marks, and angle brackets to identify the accompanying material.

If the accompanying material has been given a distinct name by the publisher, it is recorded in quotation marks; include a specific extent note in angle brackets if the nature of the accompanying material is not

clear. Where the publisher has not assigned a distinct name, generally use an appropriate term from RDA without quotation marks.

Additional Examples

Preview issues (based on Cornell examples)

Premier issue is v. 1, no. 0

866	4	1	⌘8 0 ⌘a v.1(1971)-15(1985)
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Premier issue is v.0, no. 0

866	4	1	⌘8 0 ⌘a v.0(1971)-15(1985)
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Preview issue without enumeration

866	4	1	⌘8 0 ⌘a 1971:Sept.;v.1(1971)-15(1985)
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866	4	1	⌘8 0 ⌘a premier issue (1970);v.1(1971)-15(1985)
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Issued in 2 parts; one issue is incomplete (Cornell example):

Annual composed of 2 parts, "Undergraduate degree programs" and "Graduate degree programs"

866	4	1	⌘8 0 ⌘a ed.1(1972)-ed.7(1978),ed.8:graduate degree programs(1979),ed.9(1990)-ed.18(1989)
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Remote online resources:

Holdings for online resources are not recorded in a holdings record. Follow these procedures for recording online holdings in the Public note under Inventory and linking information in the electronic portfolio:

[Online Serials Cataloging \(Cataloging Remote Access Electronic Serials Using the Separate Record Approach\)](#)

Supplements

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

For a supplement described in a separate bibliographic record, the numbering scheme of the supplement is recorded in the holdings record for the supplement. For example, the library holds volumes 66-69 of Beiheft zur A for 1965-1968, which is represented by its own bibliographic record.

Record holdings as:

866	4	1	‡8 0 ‡a v.66(1965)-69(1968)
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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 in the form:

<caption><vol. no.>:suppl.

EXAMPLE (item states: "Supplement to v.14, 1914 of The antiquarian"):

866	4	1	‡8 0 ‡a v.1(1900)-v.12(1912),v.14(1914),v.18(1918)-v.24(1924)
867	4	1	‡8 0 ‡a v.14:suppl.

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. In the following example, there exist multiple numbered and dated supplements to v.18; library has supplement 2.

867	4	1	‡8 0 ‡a v.18:suppl.2(1918:June 1)
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Supplement holdings are compressed if it is possible to do so. For example, if it is known that every volume is accompanied by supplements within a given range, compress as follows in the volume holding statement:

867	4	1	‡8 0 ‡a v.31:suppl.-35:suppl.
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Indexes

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

For indexes described in separate bibliographic records, the numbering scheme of the index is recorded in the holdings record for the index. For example, the library holds 1975-1977 of the Index of Title E where the Index is represented by its own bibliographic record. Record holdings as:

866	4	1	†8 0 ‡a 1975-1977
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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 would be recorded in the holdings record in field 868, however, **UC San Diego does not record indexes in summary holdings statements**. The presence of indexes is noted in the bibliographic 555 field, staff notes, and by item records.

Free Text Notes

Free text staff notes are given in the 931 field. Free text public notes are given in 866 ‡z (holdings related information) or 852 \$z (location related information). According to MARC21 rules, the 866 ‡z should be on the same line as the 866 ‡a, or at the end of an 852 field.

Record holdings related information in the 866 \$z at the end of the 866 field with its corresponding holdings.

866	4	1	†8 0 ‡a v.298(2013)- ‡z Special issues
866	4	1	†8 0 ‡a v.1(1908)-v.8(1916) ‡z Vols. 2 and 5 are reprints
866	4	1	†8 0 ‡a v.10(1956)-v.39(1997) ‡z copy 2

Free text public notes related to location should be entered in 852 \$z as the last subfield of the 852 field. Location elements in the 852 field in the holdings record include the library (\$b), location (\$c), and the call number (\$h).

852	0		†b Geisel ‡c jrnI_fl1 ‡h SK373 \$i .C3 ‡z Older volumes shelved in Journals, Geisel Floor1 East
866	4	1	†8 0 ‡a v.298(2013)-