

NASIGuide: Serial Holdings

853-855, CAPTIONS AND PATTERN FIELDS

Only those codes that are usually editable are examined here. For a complete list of captions and pattern fields, see the [Concise MFHD on the MARC web site](#).

Each code is discussed from one or more of three possible aspects, as applicable: conversion/migration, current coding, and/or retrospective coding.

853 - CAPTIONS AND PATTERNS FOR BASIC BIBLIOGRAPHIC UNITS [Repeatable]

854 - CAPTIONS AND PATTERNS FOR SUPPLEMENTS [Repeatable]

855 - CAPTIONS AND PATTERNS FOR INDEXES [Repeatable]

This field carries the captions, which contain the names of the bibliographic units, such as volumes, numbers, or their equivalents in other languages. In addition, the chronological captions - years, months, and seasons - are also located in the 856 field. Lastly, the patterns which detail information about the frequency, sequence, and numbering system of these parts completes this field. The patterns are set in the system so that the system, in turn, can predict the arrival of each part, and trigger certain functions so that check-in can be done with a single action, and claiming occurs automatically.

The checked-in part appears as an 863, 864, or 865, paired with the corresponding 85X captions and pattern field, which governs its display. Note that in the examples below the chronological captions are suppressed from display, which is done by placing them within parentheses. After check-in is completed, the 85X field remains, paired with as many 86X fields as are needed to display the title - or portion of the title appearing with those captions and pattern. If either element changes, a new caption and patterns field, and associated 86X fields, are created. The fields are sequenced by means of subfield \$8, as shown below (indicators and patterns are omitted for the present):

Example

310 Quarterly
362 0 Vol. 1, no. 1 (Jan. 1993)-

Encoding of first issue (supposing Language=eng):

853 \$8 1 \$a v. \$b no. \$i (year) \$j (month)
863 \$8 1.1 \$a 1 \$b 1 \$i 1993 \$j 01

Holdings display of that issue according to NISO Z39.71:

v.1:no.1(1993:Jan.)

Now let us add the April, July, and October issues:

853	\$8 1 \$a v. \$b no. \$i (year) \$j (month)
863	\$8 1.1 \$a 1 <\$b 1 \$i 1993 \$j 01
863	\$8 1.2 \$a 1 \$b 2 \$i 1993 \$j 04
863	\$8 1.3 \$a 1 \$b 3 \$i 1993 \$j 07
863	\$8 1.4 \$a 1 \$b 4 \$i 1993 \$j 10

Until compression took place, a NISO display could show the issues with line breaks between each, or in a horizontal display with spaces between:

v.1:no.1(1993:Jan.)
v.1:no.2(1993:Apr.)
v.1:no.3(1993:July)
v.1:no.4(1993:Oct.)

OR

v.1:no.1(1993:Jan.) v.1:no.2(1993:Apr.) v.1:no.3(1993:July)

Some serials control systems would automatically compress these issues on the basis of pattern elements as soon as check-in was performed. Thus, issues one through three would look like this:

853	\$8 1 \$a v. \$b no. \$i (year) \$j (month)
863	\$8 1.1 \$a 1 \$b 1 \$i 1993 \$j 01-07
Displays as:	v.1:no.1-3(1993:Jan.-July)

When the final issue for the year is checked in, the field undergoes further compression. Subfields \$b and \$j remain in the 853, but drop out of the 863 so that the field now displays as simply:

v.1(1993)

This process will be further discussed when we get to the 86X fields.

CODING OVERVIEW

Indicator 1 - Compressibility and expandability

853 and 854

0 Cannot compress or expand

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- 1 Can compress but not expand
- 2 Can compress or expand
- 3 Unknown

855

Undefined (other values may not be used in 855 field)

Indicator 2 - Caption evaluation

853 and 854

- 0 Captions verified; all levels present
- 1 Captions verified; all levels may not be present
- 2 Captions unverified; all levels present
- 3 Captions unverified; all levels may not be present

855

Undefined (other values may not be used in 855 field)

Most commonly used subfields and codes

Enumeration captions [All non-repeatable]

- \$a First level of enumeration
- \$b-f Second level through sixth level of enumeration
- \$g Alternative numbering scheme, first level of enumeration
- \$h Alternative numbering scheme, second level of enumeration

Chronology captions [All non-repeatable]

- \$i First level of chronology
- \$j-l Second level through fourth level of chronology
- \$m Alternative numbering scheme, chronology

Other captions

- \$o Type of supplementary material, type of index (non-repeatable)
- \$t Copy number (non-repeatable)

Publication pattern

- \$n Pattern note (non-repeatable)
- \$u Bibliographic units per next higher level (repeatable)
- \$v Numbering continuity (repeatable)
- \$p Number of pieces per issuance (non-repeatable)

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- \$w Frequency (non-repeatable)
- \$x Calendar change (non-repeatable)
- \$y Regularity pattern (repeatable)
- \$z Numbering scheme (repeatable)

Control subfields

- \$3 Materials specified (non-repeatable)
- \$6 Linkage (non-repeatable; for non-Roman data display)
- \$8 Field link and sequence no. (non-repeatable)

Conversion/migration issues

Converting non-MARC based serials control information to MFHD data depends on how well the vendor is able to map the non-MARC data. Mapping, in turn, depends on the quality of the previous data, how much (and what kind) of pattern information is present, and how well delimited are the data elements. The 85X is the most complex of all the fields. Any conversion from a non-MARC system will almost certainly need a combination of special programming, human oversight, and adjustment. Within single systems that upgrade to MFHD, where programmers are familiar with the old system, this process has worked successfully in many cases. It will probably be harder when mapping from one system to another. Mapping from one MFHD implementation to another will also be more or less difficult depending on the completeness of the two implementations and the conformance of the data input by the library to the standard. If your data is in coded fields, and you are told it must be mapped to free text, find out why. This is important because free text is much less capable of being manipulated by computer. However, it is perfectly reasonable to have non-MARC data mapped to the 866-868 Textual Holdings fields.

Current/retrospective coding

Code indicators after completing the rest of the field. Choice of indicators should depend on the contents of the 85X fields rather than the 86X. For current titles, try to have all captions present and verified. It does not matter whether there will be data to match each lower level of caption. A caption without a matching data element in 86X should not display, but it and its pattern remain in the record. With captions and patterns present, a compressed holding at the volume or even the summary level could theoretically be re-expanded to show the holdings data at the issue level.

INDICATORS

Indicator 1 (853 and 854)

0 **Cannot be compressed or expanded.** A holding coded 0 carries lower levels of bibliographic units in the 853 (subfields \$b and below) but without pattern elements (\$u, v, w, x, y), so that it cannot be compressed (expressed in terms of the first and last part listed, joined by a hyphen) or expanded (displayed in terms of each separate part of which the listing is composed).

1 **Can be compressed but not expanded.** Consensus uses this coding for a holdings statement with lower levels of bibliographic units and correct \$u and \$v for each, but missing elements in \$w, x, or y.

2 **Can be compressed and expanded.** Use this value for holdings all on one level (subfields \$a, i, only or \$a, i, g and m only), which do not need pattern elements, or for holdings statements with lower levels and complete pattern elements.

3 **Unknown.** May be used for default or retrospective coding.

Indicator 2 (853 and 854)

0 **Captions verified; all levels present.** You have consulted the pieces to verify that the bibliographic units are correct and complete in the holdings record.

1 **Captions verified; all levels may not be present.** The field contains captions as they appear on the item, but some levels may not be given.

2 **Captions unverified; all levels present.** The field includes all captions, but they are not necessarily the same as they appear on the pieces. You would use this value, for example, where your library has translated captions in foreign languages to English equivalents.

3 **Captions unverified; all levels may not be present.** This value would be used where neither the completeness nor correctness of the captions is clearly known.

Both indicators are blank for 855 (captions and pattern for indexes). An index ordinarily carries the (compressed) volume or year designation of the volumes it covers. For example, the first index might cover volumes 1-50, the second volumes 1-100. This sort of statement could not be compressed or expanded, nor are its captions verified by checking on the pieces.

SUBFIELD CODES FOR CAPTION ELEMENTS

\$8 - Link and sequence number

Since the 853 is the first member of the "pair," and there can be more than one 853 in a record, there must be some mechanism to connect the captions from a single 853 field with the volume and year data that they belong to. This mechanism described in the Format is subfield \$8. 853 \$8 contains a "linking number" which is identified with the captions and pattern in the field. All 863 fields containing the same linking number will be displayed with these captions, and understood to use this pattern. 854 and 855 have their own, separate, linking numbers.

When either the captions or the pattern change, a new 85X field is created with a larger number in subfield \$8; i.e., if the first 853 had \$8 1, the next one might have \$8 2. There is no rule that says the first link number must be 1 nor that the next number must in every case be used next.

Example

A serial that starts out with whole numbering, then changes to dates only, plus a dated supplement). More information will be given under the 863-865 field.

853	00	\$8 1 \$a no. \$i (year) \$j (month)
863	40	\$8 1.1 \$a 1-42 \$i 1990-1998 \$o 6-12
853	00	\$8 2 \$a (year) \$b (month)
863	40	\$8 2.1 \$a 1999- \$b 01-
854	00	\$8 1 \$a (year) \$o Annual buyer's guide
864	40	\$8 1.1 \$a 1990-

Displays as: no.1-42(1990:Jun.-1998:Dec.)
1999:Jan.-
Supplements: Annual buyer's guide, 1990-

\$a-f - Enumeration captions for primary enumeration

This set of subfields allows accurate check-in and display of up to six levels of parts (though levels below three or four are rarely used). The basic order is from the largest or most comprehensive unit to the smallest. Though display conventions are not mandated by MFHD, the Format coordinates with the display standard in prescribing a similar order for display of enumeration and chronology elements. More will be said about this under the 86X fields.

Example

853	00	\$8 1 \$a v. \$b no. \$c fasc. \$d pt.
863	40	\$8 1.1 \$a 1 \$b 1 \$c 1 \$d 1-2

Displays as: v.1:no.1:fasc.1:pt.1-2

\$g-h - Enumeration captions for alternative enumeration

Example

853	00	\$8 1 \$a new ser.:v. \$b no. \$g no.
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863 40 \$8 1.1 \$a 1- \$b 1- \$g 259-

Displays as: new ser.:v.1:no.l=no.259-

Alternative enumeration may be useful for serials with more than one numbering scheme (e.g., a new series numbering along with an old series numbering) and also for serials whose volumes appear from time to time within larger series. Chronology associated with alternative enumeration is given in subfield \$m.

\$i-m - Chronological captions

Chronological captions are "understood," rather than given explicitly; the display is "1990" rather than "year 1990." All chronological captions, whether in \$i-k, \$m (alternative chronology) or \$a-c (if only dates appear on the pieces) are input within parentheses to suppress them from display. The parentheses are not there to display the actual date within parentheses (though this is in fact done); the latter effect is achieved through programming. Chronological captions do not have to correlate with enumeration captions; e.g., there can be an \$a and \$b with only an \$i - v. 1, no. 1 (1998) - or an \$a alone with an \$i, \$j, and \$k - no. 1 (Jan. 15, 2001).

Serials will probably use a maximum of three levels of chronological captions.

Examples

853 20 \$8 1 \$a v. \$b no. \$c pt. \$i (year) \$j (season)

853 20 \$8 1 \$a t. \$b no. \$i (year) \$j (month) \$k (day)

Some caption conventions

- If the caption is not abbreviated, i.e., does not end with a period, your vendor should supply a space between the caption and the enumeration in display, so you will not have displays like Heft1 or anno10.
- The NISO standard, Z39.71, prescribes that the "series level" is not a separate level, but is combined with the first level enumeration like the example in the section immediately above. Between the series designation (for example, new ser., n.F., or ser.5) and the following enumeration, place a colon as in this example.
- Another rule that you can glean from the examples above is that when a serial has only dates, the dates are given in the numbering subfields \$a to \$f. They appear hierarchically \$a (year) \$b (month) \$c (day) or \$a (year) \$b (season). The display in NISO format is:

1999:Jan. 6 [no colon between month and day \$j and \$k; a vendor issue]

1999:spring

- If a year has internal numbering, even if it appears on the piece with the year in last position (no. 1 1994, no. 2 1994, no. 3 1994) the captions should be given as \$a (year) \$b no. Be sure first that the numbering is really internal (restarts when the next year arrives). The display:

1994:no.1

1994:no.2

1994:no.3

- If a number appears on a piece without an accompanying caption (for example, 1/1, Jan. 1999), you have two choices. Either supply a caption in brackets within parentheses (endorsed by the MFHD but not by the NISO standard), or follow the Harvard and CONSER Patterns and Holdings Project convention by using an asterisk within parentheses. N.b.: Establish, first, that 1/1 does represent two separate levels.

853 00 \$8 1 \$a ([v.]) \$b ([no.]) \$i (year) \$j (month) OR \$a (*) \$b (*)

863 40 \$8 1.1 \$a 1- \$b 1- \$i 1999- \$j 01-

Displays as: 1:1(1999:Jan.)-

- If your enumeration is ordinal, the Format has established the convention of a plus sign (+), either before the caption or standing alone in the subfield for a captionless ordinal. The symbol causes the cardinal number to be converted to ordinal, and in addition transposes it to before the caption.

\$t - Copy

If a copy number is needed, its caption also goes in the 853 field, subfield \$t.

Example

853 00 \$8 1 \$a v. \$t c.

863 41 \$8 1.1 \$a 5 \$t 2 (v.5 c.2)

\$o - Type of supplementary material or index

Another caption is authorized only for the 854 and 855 field: subfield \$o, containing the Type of supplementary material or Type of index.

Example

854 00 \$8 1 \$a no. \$o Teacher's guide
855
\$8 1 \$a v. \$i (year) \$o Author index

SUBFIELD CODES FOR PATTERN ELEMENTS

The publication pattern is a set of codes assigned to a particular publication according to a logical scheme based on frequency and numbering system. A publication pattern enables an ILS to track its currently received publications, and establish automated check-in and claiming. Some systems have databases of publication patterns available to their customers or allow their customers to purchase them from each other. Not every publication is regular enough to have a pattern set. If a human being cannot predict when it will arrive, a computer won't do any better.

Current and retrospective coding

Pattern elements that apply to an individual subfield follow immediately after the subfield. Pattern elements applying to the whole title follow the last enumeration or chronology subfield in the field. Specifically:

- \$z (the newest defined subfield) can follow any level of the enumeration.
- \$u and \$v, since they define the relationship of an individual subfield to the one immediately above it, can by definition only follow the second through the sixth levels of the enumeration.
- \$n, \$p, \$w and \$x, which apply to the publication as a whole, are input after the last enumeration/ chronology subfield.

Once the publication has been received, the pattern elements remain in the record to regulate compression and expansion of the holding. There is no reason to remove old patterns from holdings records. There may not be sufficient reason to add past patterns retrospectively, however, since there has been no strong call for data at the issue level for holdings that have already been checked in and bound. On the contrary, it is volume-level data that seems most useful. Volume-level data allows the display of special notes, availability statuses, etc., that pertain to each volume. Also, compression of holdings to the volume level makes them expandable and compressible without a pattern. Of course, if there are gaps within volumes requiring issue-level detail, those portions of the holdings could not be

compressed and expanded without a pattern. The possibility of connection to article text might also suggest the need for preservation or regeneration of issue-level detail.

\$u - Bibliographic units per higher level

Subfield \$u tells the computer the number of internal units (e.g., issues) to expect before the number of the larger unit (e.g., volume) increments. In other words, for a monthly, twelve issues will arrive for volume 1; with the thirteenth, a new volume, 2, begins. \$u follows the caption to which it applies, always the second level or lower (subfield \$b-f, or \$h). It will contain either a number, or the terms "var" (varies) or "und" (undetermined).

Examples

853 10 \$8 1 \$a v. \$b no. \$u 4 \$v r (four numbers per volume)
853 10 \$8 1 \$a (year) \$b v. \$u 2 \$v r \$c issue \$u 6 \$v r (six issues per volume, two volumes per year)
853 00 \$8 1 \$a v. \$b pt. \$u var. (variable number of parts per volume)

If \$u contains either "var" or "und," the system cannot predict the issue nor compress and expand the holding. It may work better in your system to choose an approximate number of issues and adjust the result manually when it varies.

\$v - Numbering continuity

Subfield \$v tells the computer whether the lower-level unit numbering continuously increments ("c") or restarts ("r") with the completion of the level above it. This code follows subfield \$u.

Examples

853 10 \$8 1 \$a v. \$b no. \$u 4 \$v r (numbers within each volume numbered 1 to 4)
853 10 \$8 1 \$a v. \$b no. \$u 4 \$v c (numbers increment continuously; v.1 no. 1-4; v.2 no. 5-8; v. 3 no. 9-12, etc.)

The top level is assumed to be continuously numbered (including the top level of alternative numbering, \$g).

\$w - Frequency

Subfield \$w contains a code for the frequency of the publication (like the code that appears in the bibliographic record). If the frequency is one of the recognizable intervals, it will be represented by a

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letter from the following chart. If there is no recognizable frequency, subfield \$w may contain a number indicating the number of issues per year; or, the value x meaning "completely irregular." \$w follows the last enumeration or chronology subfield.

- a Annual
- b Bimonthly (every two months)
- c Semiweekly
- d Daily
- e Biweekly (every two weeks)
- f Semiannual
- g Biennial (every two years)
- h Triennial (every three years)
- i Three times a week
- j Three times a month
- m Monthly
- q Quarterly
- s Semimonthly
- t Three times a year
- w Weekly
- x Completely irregular

Examples

- 853 10 \$8 1 \$a v. \$b no. \$u 52 \$v r \$i (year) \$j (month) \$k (day) \$w w (weekly)
- 853 20 \$8 1 \$a v. \$b no. \$u 7 \$v r \$i (year) \$j (month) \$w 7 (7 issues yearly)
- 853 00 \$8 1 \$a t. \$b no. \$u var \$v r \$i (year) \$j (month) \$w x (varying no. of issues yearly)

\$x - Calendar change

This subfield specifies the calendar point at which the highest level of enumeration increments. Numeric codes for months (1-12), seasons (21, spring, to 24, winter) or dates (e.g., 0101 for January 1st) tell the volume level to increase by 1. If there is more than one volume per year, the \$x subfield contains multiple codes, separated by commas. E.g., if there are volume changes in January and July, input \$x 01,07.

Example - Serial whose volume begins with the fall issue

- 853 20 \$8 1 \$a v. \$b issue \$u 4 \$v r \$i (year) \$j (season) \$w q \$x 23
- 863 41 \$8 1.1 \$a 1 \$b 1 \$i 1998 \$j 23
- 853 00 \$8 1 \$a t. \$b no. \$u var \$v r \$i (year) \$j (month) \$w x (varying no. of issues yearly)

Displays as: v.1:issue 1 (1998:fall)

§y - Regularity pattern

This subfield contains strings of codes representing a combination of calendar points when a title is either published or not published. It is intended to describe those variations in a regular frequency which occur in a predictable way.

The first code in §y is a publication code consisting of a single character:

p Published
o Omitted

The second code is a chronology definition code. Illustrating the first two codes in random combinations:

pm Published [in the following] month(s)
ps Published [in the following] season(s)
ow Omitted [in the following] week(s)
od Omitted [in the following] day(s)

The third type of code is a repeatable chronology code. It is variable in length. It may contain the codes previously described for months, seasons, and dates, along with some extra ones. Here is the [complete chart from the LC website](#).

PATTERN VALUES

Week (ww)	Day of week (dd)	Week of month (WW)	Month (MM)	Day of month (DD)	Season (SS)
01-53	mo - Monday tu - Tuesday we - Wednesday th - Thursday fr - Friday sa - Saturday su - Sunday	99 - Last 98 - Next to last 97 - Third to last 00 - Every 01 - First 02 - Second 03 - Third 04 - Fourth 05 - Fifth	01-12	01-31	21-Spring 22-Summer 23-Autumn 24-Winter

The combined codes tell the computer to account for variations in the intervals of receipt as set by the entire 853 field. For example, if the publication is a regular English-language monthly which omits the July issue, the 853 field corresponding to the first published issue (in the 863) might look like this:

853 20 \$8 1 \$a v. \$b no. \$u 11 \$v r \$i (year) \$j (month) \$w m \$x 01 \$y om07

863 41 \$8 1.1 \$a 1 \$b 1 \$i 2002 \$j 01

Displays as: v.1:no.1(2002:Jan.)

Alternatively, the month values could be written as pm01,02,03,04,05,06,08,09,10,11,12.

Example 1

A bimonthly publication with combined months may use the following 853 (accompanied by the 863 corresponding to the 99th year of publication):

853 20 \$8 6 \$a new ser.:v. \$b no. \$u 6 \$v r \$i year) \$j (month) \$w 6 \$x 02 \$y

pm01/02,03/04,05/06,07/08,09/10,11/12

863 40 \$8 1.1 \$a 1 \$b 1 \$i 2002 \$j 01

Displays as: new ser.:v.99:no.1-6(2002:Jan./Feb.-Nov./Dec.) [Can be further compressed to: new ser.:v.99(2002)]

The newer coding, "cm," could also be used here; but since all months must be given, "pm" works equally well.

Example 2

A French publication which is a regular seasonal quarterly, but uses the less frequent pattern of winter as the first issue of the year and combines the summer and fall issues. The numeric values in subfield \$j are converted by means of a table to the French words for winter and fall; the fact that the last issue is combined could be (but is not necessarily) used in the display. (Display is prescribed by the Holdings Display Standard.)

853 20 \$8 1 \$a t. \$b no. \$u 4 \$v r \$i (year) \$j (season) \$w q \$x 24 \$y ps24,21,22/23

863 40 \$8 1.1 \$a 22 \$b 1-4 \$i 001 \$j 24-23

Displays as: t.22:no 1-4(2001:hiver-automne) [Can be further compressed to: t.22(2001)]

In fact, the volume might begin with another season, such as 22 (summer); the values in \$y are written in the order that they appear within the year.

Example 3

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A publication from the Southern Hemisphere might have reversed seasons:

853 20 \$8 2 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (season) \$w q \$x 24 \$y ps22,23,24,21
863 40 \$8 2.1 \$a 33 \$b 1-4 \$i 1999-2000 \$j 24-23

Displays as: t.33:no.1-4(1999:winter-2000:fall)

That is, the chronological year may begin with the summer or the fall issue, e.g., January or April, but number 1 of the volume may be issued in the winter - June!

Issues above are:

v.33:no.1(1999:winter);v.33:no.2(1999:spring);v.33:no.3(2000:summer);v.33:no.4(2000:fall).