

## NASIGuide: Serial Holdings

### 863-865, ENUMERATION AND CHRONOLOGY FIELDS

863 - HOLDINGS DATA FOR BASIC BIBLIOGRAPHIC UNITS [Repeatable]

864 - HOLDINGS DATA FOR SUPPLEMENTS [Repeatable]

865 - HOLDINGS DATA FOR INDEXES [Repeatable]

These fields are used for the report of actual holdings. Captions in the 85X subfields (\$a through \$h) are paired with holdings data in 86X for display. The concept is "one-to many," one set of captions in a caption field linked to a series of data fields by a shared number in a control subfield. The contents of both the caption fields and the enumeration-chronology fields are then displayed together.

Subfield \$a and subfield \$i must be present in each 86X field for display of enumeration and chronology, respectively, to occur. The lower levels of the hierarchy may or may not be present in a particular field (cf. the first 863 below, which displays a compressed holdings statement).

#### Example

853	20	<i>\$8 1 \$a v. \$b no. \$u 6 \$v r \$i (year) \$j (month) \$w b \$x 03</i>
863	40	<i>\$8 1.1 \$a 1-20 \$i 1983-2002</i>
863	41	<i>\$8 1.2 \$a 21 \$b 1 \$i 2003 \$j 03</i>
863	41	<i>\$8 1.3 \$a 21 \$b 2 \$i 2003 \$j 05</i>
863	41	<i>\$8 1.4 \$a 21 \$b 2 \$i 2003 \$j 07</i>

A system that displays this bimonthly just as it appears (without any automatic compression) will display as follows (per NISO Z39.71 1999):

v.1-20(1983-2002)  
v.21:no.1(2003:Mar.)  
v.21:no.2(2003:May)  
v.21:no.3(2003:July)

Another system (or another display generated through automatic compression on the same system) may display this holding in a completely summarized form:

v.1:no.1(1983:Mar.)-21:3(2003:July)

This display may look like a leap of faith, especially the completion of issue information for the first issue of Volume 1. Literally, the presence of the pattern governing the entire summary would imply that the designation shown (Volume 1, number 1, March 1983) is accurate. Whether it is or not depends on the regularity of the publication and the determination of the library to record its numbering, including every variation, accurately. A compromise display might preserve the volume level summary and add the itemized issues to a second summary:

*v.1-20(1983-2002)*  
*v.21:no.1-21:3(2003:Mar.-2003:July)*

And, of course, if the Receipt/Acquisitions status code discussed in the [Control Fields](#) chapter is present in the record and coded 4 for currently received, the summary may also be open at any of these degrees of compression, from fully itemized to fully summarized. For example, if fully summarized, the statement would be displayed like this:

*v.1(1983)-*

Such a summary has the virtue of being easy to read and interpret--"the library has it all." At the same time, however, the information exists right within those fields to display the holdings itemized to the volume level (which does not even need a pattern) or to the issue level (using the pattern to determine what the individual issues were). Again, the results depend on the accuracy of the issue recording and of the use of the Format coding rules. The capability of expansion and compression is built into the fields.

Not all holdings data will show a complete holding, with no gaps, as the above does. So, if there are gaps, the statement will ordinarily end at the last piece before a gap or break, with another statement beginning after the break:

*v.1:no.1(Mar.1983)-5:1(Mar.1988), v.5:no.5(Nov.1988)-*

The comma indicates a gap, as volume 5 is missing three numbers.

When the volume is completed and the numbers bound together, an item record is created. This is where the barcode resides, and the barcode may be tied to circulation status. In present systems, item information is the "non-MARC" part of the holdings information - although MARC now boasts item fields, 87X, which will be described and which have been implemented in a few systems. The segregation of the item record from the rest of the data often means that public notes about a title and circulation status of the volumes cannot be displayed together. As computer storage space becomes less expensive, it is becoming more feasible to store check-in data. Perhaps, if there were some way to link the issue data to the volume data and to the title-level data, and generate all displays from all three, we

would have a better way to preserve accuracy and completeness of our holdings, and present better and more coordinated information to our users.

## **CODING OVERVIEW**

### **Indicator 1 - Level of specificity**

- blank No information provided
- 3 Summary holdings
- 4 Detailed holdings
- 5 Detailed holdings with piece designation

### **Indicator 2 - Form of holdings**

- 0 Compressed; display is generated
- 1 Uncompressed; display is generated
- 2 Compressed; use Textual display
- 3 Uncompressed; use Textual display

### **Subfield codes**

#### Enumeration captions [All non-repeatable]

- \$a First level of enumeration (to go with caption in 85X \$a)  
There need not be a lower level of enumeration/chronology to match each particular caption in the 85X fields. The highest level of enumeration (and chronology if needed) should be present in each 86X field.
- \$b-f Second-through sixth level of enumeration (to go with caption in 85X \$b-f)
- \$g-h First-second level of alternative enumeration (secondary numbering scheme, to go with caption in 85X \$g)

#### Chronology captions [All non-repeatable]

- \$i First level of chronology (to go with caption in 85X \$i)
- \$j-k Second level of chronology (to go with caption in 85X \$j-k)  
Months and seasons may be represented by natural language or numerical codes: 1-12; 21-24.
- \$m Alternative numbering scheme, chronology
- \$t Copy number

## Other captions

- \$o Type of supplementary material, type of index [*non-repeatable*]  
If different from the Type of ... specified in 854 and 855; not used in 863.
- \$s Copyright article fee code [*non-repeatable*]
- \$w Break indicator [*non-repeatable*]  
g gap, n nongap, i.e., due to unpublished or misnumbered parts.
- \$x Nonpublic note [*repeatable*]
- \$z Public note [*repeatable*]
- \$6 Linkage [*non-repeatable*]  
For non-Roman data display.
- \$8 Field link and sequence number [*non-repeatable*]

## **CODING – DETAIL**

### **Conversion/migration issues**

In moving from one MARC-based holdings system to another, having your data in compliance to the standard, is the best insurance that your data will move without a hitch. It should go without saying that if you routinely violate the standard, perhaps to make your data "look better" in a particular system, you cannot expect a better outcome than you would have with non-MARC data. Mapping properly coded data is generally straightforward. As previously stated, coded data can take advantage of MARC-based functionality (to vary displays, to provide more flexible searching and reporting capabilities), so it is important not to lose coding in migration to a new system even if it means pre-migration cleanup to get your data into compliance. Conversely, non-MARC data has been mapped to MARC successfully; it all depends on how easily the different elements can be identified by computer, and that depends on a way to delimit it. Discuss this with the vendor. Mapping to the textual holdings fields (described in the next section) is an obvious solution for non-MARC, non-delimitable, data. It's a viable option, and certainly better than coded, but garbled, holdings data.

A particular issue for libraries with MARC-based holdings is down-migration, in cases where the new system may not offer the same array of features as the old system. Systems are not usually bought with serials concerns uppermost. Serialists may need to compromise on some issues. They should not compromise on preserving the integrity (of coding or content) of the data; nor should they compromise on being able to continue maintaining the data in standard format without inputting twice. Here are some areas where compromise may be necessary in today's systems because some systems cannot:

- display notes from fixed field codes;

- sequence statements using subfield \$8 (but they should preserve the sequence and should use the link number to align captions with data);
- suppress display of coded data in favor of textual display;
- compress and expand;
- display item information in tandem and preferably integrated with MARC-coded data;
- display a summary from a check-in record;

If your new system cannot do most of these things, ask whether they are on the development schedule. Explore ways to co-develop features if you have that system expertise available; band with your peer libraries to get your desired functionality on the list of enhancements to be worked on. Users' groups are good places to collaborate on deciding which are the most important enhancements. A feature that many customers want will always be more important to a company than a feature, even one that complies with standards, that only one library wants.

### **Current coding**

The following instructions assume you are using a MARC-tagged interface; adjust the instructions if you are using a graphic interface. (It's desirable to be able to see the outcome, at least, on a tagged screen to verify if your data is in the proper format. After all, you may need to communicate it remotely or migrate it again.)

We will also assume that you are coding at level 4. Level 3 is more often used for retrospective holdings, the next topic. Level 4 demands that you record all gaps explicitly. This level coordinates with the encoding level of the record, though mixed levels are also possible (encoding level m). You may also have some holdings records at level 2 if you use simple notes such as "current edition only" or "latest six months only." These records will not have "piece holdings" fields (85X-86X), but only a shelving location in 852, and the note in 852 \$z if not generated from the specific retention code. If you are coding at Level 4, the first indicator of your 86X fields is 4.

Just a note about encoding level: it may not seem important. If you think "my users won't care," you're probably right. The encoding level becomes important in union listing, in Z39.50 (remote) searching, and perhaps in future migrations. The code could help sort records for staff purposes or for the purposes of a remote query inquiring which institution is likeliest to hold a sought volume.

If you are setting up the first issue, you will input captions and, if you have a subscription, the pattern for the "basic units" in 853, then match the data to the captions and input it in the identical subfields of the 863. You will use a link number in subfield \$8 of the 853 (it need not be 1 if your subscription does not start with the first issue) to coordinate the captions and the data. In the 863, you will add a sequence number after a period in order to sequence the holding and hyphens to show open entry:

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q  
 863 4 \$8 1.1 \$a 1- \$b 1- \$i 01- \$j 2001-

As we mentioned above under subfield \$j, a good system will use numeric chronology and convert it, by means of the language code, to the proper display of the month, as follows:

*v.1:no.1(2001:Jan.)- [Hyphen may also be placed via Receipt-Acquisition status code]*

If a subsequent issue does not match the captions or the pattern that you entered with the first issue, you will have to consider closing off the holdings statement under link number 1 and begin a new captions/pattern set under a link number 2.

853 20 \$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q [quarterly]  
 863 4 \$8 1.1 \$a 1-3 \$i 2001-2003 [compressed]  
 853 20 \$8 2 \$a v. \$b no. \$u 2 \$v r \$i (year) \$j (month) \$w f [now semiannual]  
 863 40 \$8 2.1 \$a 4- \$b 1- \$i 2004- \$j 01-

(It would be desirable to compress across a changed pattern for display, but changed captions will break the display.) Your coding is still incomplete, but the result you are aiming for is:

*v.1-3(2001-2003)*  
*v.4:no.1(2004:Jan.)- [With automatic compression, would summarize to: v.1(2001)-]*

## Indicators

The first indicator relates to the specificity of the data within the field. In retrospective coding, it is easier to code the second indicator first, to determine whether the statement represents a single unit or a range of units. However, if you know you are coding at Level 4 for current receipts, you already know your first indicator will be "4."

Indicator 2, value "1" identifies a statement about a physical unit, something to be managed ordinarily, with an item record. It was clarified that this meaning for the indicator had the most value for libraries as a guide to item record creation on migration and to barcoding. It is desirable that this value be generated automatically if the indicator is set during physical processing of either an issue or a volume; but if the end result is a summary, use the indicator 0 described below.

Indicator 2, value "0" identifies a statement about a range of units, sometimes called a "summary." In the past, since the definition was simply "compressed," many libraries used this for any holdings

statement encompassing more than one unit. Since the major value is for local processing, just make sure there are other ways to identify your physical volumes if this indicator was not coded for it.

Indicator 2, value "2" identifies a statement about a range of units that the library wishes to suppress from display. The library will input a Textual Holdings field that it wishes to display instead. (See the Textual Holdings section.)

Indicator 2, value "3" identifies a statement about a physical unit that the library wishes to suppress from display. It will input a Textual Holdings field instead. (See the [Textual Holdings](#) link under the Holdings Data section.)

To finish the coding of the holding displayed above:

853	20	<i>\$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month) \$w q [quarterly]</i>
863	40	<i>\$8 1.1 \$a 1-3 \$i 2001-2003 [compressed]</i>
853	20	<i>\$8 2 \$a v. \$b no. \$u 2 \$v r \$i (year) \$j (month) \$w f [now semiannual]</i>
863	40	<i>\$8 2.1 \$a 4- \$b 1- \$i 2004- \$j 01-</i>

A word about sequence numbers: In systems that use them, there's no rule that requires they restart when the link number changes. As long as the same link number, tag, and sequence number (all three together) don't occur more than once, and the sequence increments within links, you can skip both link and sequence numbers to allow for earlier volumes, or continue to increment sequence numbers instead of restarting them when the link number changes.

Another reminder: Lower captions, and pattern fields, do not drop out of the 853 just because the field is compressed. They remain in the field to show what the captions were for the lower levels of hierarchy. By means of the pattern, the holdings could even be "uncompressed" to the issue level for an alternative display. If your system does not drop the display of the lower-level captions when there is no matching data, talk to your vendor. This should be routine functionality.

### **Retrospective coding**

In retrospective coding, you may have source data from an old microfiche listing, old check-in records, or the backs of shelf cards. You may not know what statement represents a physical volume and what does not. You may notice gaps with no specifics on where they are (and in the worst case, you may not know whether there are gaps). You probably don't have enough publication pattern information to provide full compression-expansion functionality.

If there is time (and administrative support) for staff to do a bit of research on the holdings statement, the priority is certainly to get specific detail on where the gaps exist in the library's copy of the

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publication, especially if your source is vague or does not give assurance at least to the volume level. The project can also justify itself in that it serves to update old information.

Second in importance is the listing of specific volumes and creation of items with barcodes that will later save time in inventorying, transferring, or circulating the material. It would be great if you can create macros, or keyboard shortcuts, to accomplish a repetitive job.

Third and last would come any kind of retrospective publication pattern work, probably done only if you have a simple pattern and an abundance of time. The cost-benefit balance usually rules it out.

But perhaps you will have to use only the data you have in your source, or can overview the shelves only quickly. In coding a retrospective holding for a dead title, you are more likely to use encoding level 3. Typically, this is done using textual holdings (see 866-868, Textual Holdings fields under the [Holdings Data section](#)). If your system allows it, it's also no more onerous to code the holdings using 86X first indicator 3 with a summary holding indicating the first and last volumes of a range.

Level 4 holdings, if you can provide them, detail gaps internal to volumes. These missing issues may have been noted on the flyleaf or even on the spine label, if you can get access to the physical volumes or a report from someone who can. In the absence of such aids from past catalogers, it's not always possible to tell whether a volume is incomplete because the library failed to receive an issue (a gap, 863 \$w g) or whether the issue was not published (a non-gap break, 863 \$w n). Enter a gap notation only if it's fairly certain you have a gap (for example, you own numbers no.1 through 5 and no.7 through 12 and there is some evidence (such as a missed month of publication in a regular monthly schedule) that number 6 was published.

#### Example 1 - Coded Level 3 holdings, gaps specific to volume level

852	11	<i>\$b (location) \$h (class no.) \$i (work no.) \$z some volumes incomplete</i>
853	03	<i>\$8 1 \$a v. \$i (year)</i>
863	30	<i>\$8 1.1 \$a 2-4 \$i 1950-1952 \$w g</i>
863	40	<i>\$8 1.2 \$a 6-15 \$b 1954-1965</i>

Displays as: *Location ? Call number ? Note: some volumes incomplete*  
*Holdings:*  
*v.2(1950)-4(1952),*  
*v.6(1954)-15(1965)*



## Example 2 - Coded Level 4 holdings, gaps specific to issue level; frequency regular bimonthly

852 11 \$b (location) \$h (class no.) \$i (work no.)  
853 20 \$8 1 \$a v. \$b no. \$i (year) \$j (month)  
863 40 \$8 1.1 \$a 2-3 \$i 1950-1951 \$w g  
863 40 \$8 1.2 \$a 4 \$b 2-4 \$i 1952 \$j 03-07 \$w g  
863 40 \$8 1.3 \$a 6-12 \$i 1954-1961 \$w g  
863 40 \$8 1.4 \$a 13-15 \$b 3-3 \$i 1962-1964 \$j 05-05 \$w g  
863 40 \$8 1.4 \$a 14 \$b 1-2 \$i 1965

Displays as: *Location ? Call number*

### *Holdings:*

*v.2(1950)-3(1951),  
v.4:no.2-4:4(1952:Mar.-July),  
v.6-12(1954-1961),  
v.13:no.3-15:3(1962:May-1964:May),  
v.14:no.1-14:2(1965:Jan.-Feb.)*

Note: not all systems can generate the mixed-level holding of v.13-15, but more than one can do this currently. Alternately, the three volumes would be coded separately. Volumes 13 and 15 are incomplete, volume 14 is complete.

## UNUSUAL CODING SITUATIONS

### Dates in enumeration

In the section on [Captions and Patterns](#), we discussed some unusual situations. One of the most knotty for vendors and librarians has been the publication with issues that bear no volume numbering, but only a year and internal numbering, particularly if the internal numbering also has a month or season. These publications may need to have the year repeated on both the enumeration and the chronology side of the record, and the uncompressed holding may look repetitive and "wrong." But any other way of handling it would jeopardize functionality such as automatic summarization. Here is an example:

853 20 \$8 1 \$a (year) \$b no. \$u 12 \$v r \$i (year) \$j (month) \$w m  
863 41 \$8 1.1 \$a 1990- \$b 1- \$i 1990- \$j 01-

Displays as: *1990:no.1(1990:Jan.)-*

After summarization, the system should be able to drop the lower levels plus the top level of chronology and display only subfield \$a: 1990-.

The computer must also recognize when an enumeration subfield contains what is usually chronological information such as a month or season. This is also possible when a year is the highest level. It should be possible to recognize those captions and to manipulate the display of the months or seasons equally from subfield \$b or subfield \$j.

### Ordinal numbers

Ordinal numbers were briefly mentioned in a previous section. A value "+" in an enumeration subfield, alone or preceding another caption such as "+ed." (edition), should also work with the language code to provide a display of an ordinal number preceding the caption: as in, 2nd ed. (or 2. ed. for non-English titles.)

853 20 \$8 1 \$a + \$i (year)  
863 41 \$8 1.1 \$a 2 \$i 1998 [Lang=eng]

Displays as: 2nd(1998)

### Hyphens and other symbols within enumeration

Since hyphens should be, but are not, reserved punctuation in the Holdings Format, they may cause migration trouble when a system interprets them as signifying a range of data, but they are really internal to a numbering scheme. In most cases the hyphen probably indicates more than one level and may suggest a separation by colon. If not, in order to avoid migration problems, it is advisable to change the hyphen to another symbol; the Publication Patterns Initiative decided on the period (.). If this is written into the standard, programming will soon follow so that the display can change the mark of punctuation back to the original hyphen.

The holding below also illustrates the common symbol "number sign" (#) used as a caption.

A publication with numbering 10-46 ("10" is not a volume number but a government code):

853 20 \$8 1 \$a # \$i (year)  
863 41 \$8 1.1 \$a 10.46 \$i 2000

### Supplements and indexes

Supplements and indexes are coded in the same way as the main volumes. They may be more irregular in receipt, or in the case of indexes, be very infrequent. Unless they are regularly received, they need not receive pattern coding and often are not summarized, but listed singly. Note that in applying the

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NISO Z39.71 rule, "When a bibliographic item is issued with combined numbering--not when bound together after receipt--separate the numbers by a forward slash," the category seems clearly to include cumulative indexes, since by their nature they combine the enumeration of multiple volumes. Though not prescribed specifically in the standard, a forward slash is extremely useful as a visual cue when the holdings are long and complex.

They can be a little tricky to sequence. Some of the format examples show these secondary bibliographic units as though they were always to display at the end of the record, and some ILS's default to this kind of display. If you want them to appear with the volumes to which they pertain (the supplement with the volume it supplements, the index immediately following the last indexed volume), try sequencing using the same link and the same (or next) sequence number. If this fails to put it in the right place, be sure to ask other system users and the vendor whether there is a solution.

853 20 \$8 1 \$a v. \$i (year) \$w a  
 855 \$8 1 \$a v. \$i (year)  
 863 40 \$8 1.1 \$a 1-50 \$i 1951-2000  
 865 41 \$8 1.1 \$a 1/50 \$i 1951/2000

Subfield \$o could conceivably be present in both 854 and 864, or 855 and 865, if there is both a type and a specific title of supplement or index to be displayed. Display will be furnished by the ILS vendor, since there is no prescription. Here, a double dash precedes the type, and a colon the title:

854 01 \$8 1 \$a (year) \$o Register  
 864 41 \$8 1.1 \$a 1995 \$o Electoral Districts 3, 4, and 5

Displays as: *Supplement: 1995 --Register: Electoral Districts 3, 4, and 5*

855 \$8 1 \$a v. \$i (year) \$o Author index  
 865 41 \$8 1.1 \$a 5/10 \$i 1990/1994 \$o Poems by new American writers

Displays as: *Index: v.5/10(1990/1994) --Author index: Poems by new American writers*

### Alternative numbering

Some titles, especially scholarly titles that involve series, have more than one numbering system. One common occurrence is a "new series" which also bears the numbering of the old series in addition to its own. Another instance is the monographic series, which has a serial within it, and bears the numbering of the serial in addition to the series. If in either of these situations the whole collected set is shelved together, and both sets of numbering are given equal prominence, it is safest to account for both systems in the record for the benefit of researchers who seek particular volumes. If the smaller set is

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published consecutively within the overall set, such as the "new series," the numbering can be summarized if desired. With a scattered internal set comprising non-adjacent volumes of a larger work, the volumes may have to be listed singly.

853 01 \$8 1 \$a v. \$i (year)  
863 40 \$8 1.1 \$a 1-40 \$i 1940-1979  
853 01 \$8 2 \$a new ser.:v. \$i (year) \$g old ser.:v.  
863 01 \$8 2.1 \$a 1-35 \$i 1980-2004 \$g 41-75

Displays as: v.1-40(1940-1979)  
new ser.:v.1-35(1980-2004)=old ser.:v.41-75

### Electronic holdings

No standard has arisen yet to take these especially into account, but they are being coded in the work of the Publication Patterns Initiative. In local libraries, circumstances may not favor expending this kind of effort, where labor is saved by use of purchased electronic records, abbreviated information in the catalog with link to A to Z lists, and outside management of the holdings data via PAMs (Publication Access Management companies) and the like. Some libraries have nonetheless expressed the wish to check in newly arrived issues of electronic journals, and steps to enable this are in process in some ILS companies. More information in this area will be available soon; in the meanwhile, those libraries that create holdings for these titles at a level greater than 2 (a note) would presumably use a simple summary using the same methods described in the above discussions.