

## Enumeration 1st and 2nd Levels: 866-868 Fields

**SCOPE:** This section describes the recording of first and second levels of enumeration in a *Textual Holdings* statement using the 866-868 fields.

**Recommendation:** At a minimum, the GIL Serial Holdings Working Group (GSHWG) recommends that holdings be recorded at Encoding Level 3. Choose the level of encoding on a title-by-title basis as deemed appropriate. As a guide, use the 362 field of the bibliographic record to formulate the holdings statement.

### DEFINITIONS:

- **866** - This field records the *Basic Bibliographic Unit*, or each volume of the title. The 866 currently generates a print constant *Volumes Owned:* in the OPAC.
- **867** - This field records any *Supplements* issued for the title. The 867 generates the print constant *Supplements:* in the OPAC.
- **868** - This field records any *Indexes* issued for the title. The 868 generates a print constant *Indexes:* in the OPAC.
- **Compressed** - To record the range of holdings in chronology or enumeration using the first and last issues only.
- **Itemized** - Listing each bibliographic unit individually.

### ENCODING LEVEL 3

**DEFINITION:** Level 3 Encoding, or summary level, indicates the holdings is recorded only at the first level of enumeration or chronology in a compressed form.

- **First Indicator (I1):** - record as **3**
- **Second Indicator (I2):** - record as **1**

**Recommendation:** For recording holdings at Level 3, the GSHWG recommendation is to follow the ANSI/NISO standard and leave the holdings open (i.e., v.#-, no.#- , etc.).

Holdings at level 3 provides a *summary* of the issues held. When an entire volume is missing from the serial title, the holdings statement should reflect this gap. However, if only a few issues of a volume are held, record the holdings as if the entire volume is owned. As indicated in the ANSI/NISO standard ([1] 5.5.1.5), gap *ranges* are recorded for publications using the highest level of enumeration only. "When two forms of an abbreviation are provided in a list[, AACR2R,] use the shorter on" (i.e., v. not vol.) ([1] 5.5.4.2., p. 30). As stated in section 5.5.4.3 [1], Level 3 summary holdings are recorded open (e.g. v.- ) if the title is currently received. If the title is no longer received, close the holdings record. Record holdings in a single 866 field. The caption is repeated (e.g., v.1-v.5).

**Scenario 1:** Library has received the volumes for v.1-5, v.8, v.12-15. The title is currently received. The *detailed* holdings statement would be recorded as:

Tag	I1	I2	Subfield data
866	3	1	\$a v.1-v.5,v.8,v.12-

*Public Display:*

**Volumes Owned:** v.1-v.5,v.8,v.12-

**Scenario 2:** *West's federal reporter* is published irregularly. The 362 of the bib record has: 2nd ser., v. 831 F.2d-v. 999 F.2d ; 3rd ser., v.1 F.3d-. Library has vols. 831-862 and 864-999 of the second series, and vols. 1-274 of the issues of the third series. The title does not use chronology. The title is currently received. Paper issues are received prior to the bound edition. The *summary* holdings statement would be recorded as:

Tag	I1	I2	Subfield data
852	0		\$a GYG \$b REF \$k REF \$h KF 105 .F432 \$z Paper volume retained until bound volume is received.
866	3	1	\$a 2nd ser.;3rd ser.-

*Public Display:*

**Notes:** Paper volume retained until bound volume is received.

**Volumes Owned:** 2nd ser.;3rd ser.-

Note: Level 3 does not record the second level enumeration. In this scenario, the 2nd series is recorded as if owned in its entirety. Note also the library chose to not record any chronology as it was not recorded in the 352 field of the bibliographic record.

## SUPPLEMENTS and INDEXES

According to the ANSI/NISO standard, supplements or indexes are *secondary bibliographic units*, and are not recorded at the summary holdings level (Level 3) ([1 5.5.1.6]).

## ENCODING LEVEL 4

**DEFINITION:** - Level 4 Encoding, or detailed level, indicates the holdings is recorded in detail either in an itemized or compressed form.

- **First indicator(I1):** - record as **4**
- **Second indicator (I2):** - record as **1**

**Recommendation:** GSHWG suggests that closing or leaving the holdings recorded open at level 4 should be determined by each individual institutions policy. Note that the holdings recorded and levels 3 or 4 using the paired fields (853/863, etc.) are typically

recorded closed. Holdings recorded at level 3 using the textual holdings (866-868) are left open.

**Scenario:** Library has received v.1, no. 1-v.4, no. 11, v. 5 no. 2, v.8, no. 1-12, v.12, no. 1-v.15, no. 6. . The *summary* holdings statement would be recorded as:

Tag	I1	I2	Subfield data
866	4	1	\$a v.1:no.1-v.4:no.11,v.5:no.2,v.8,v.12:no.1-v.15:no.6

*Public Display:*

**Volumes Owned:** v.1:no.1-v.4:no.11,v.5:no.2,v.8,v.12:no.1-v.15:no.6

**Scenario 2:** *West's federal reporter* is published irregularly. The 362 of the bib record has: 2nd ser., v. 831 F.2d-v. 999 F.2d ; 3rd ser., v.1 F.3d-. Library has vols. 831-862 and 864-999 of the second series, and vols. 1-274 of the issues of the third series. The title does not use chronology. The title is currently received. Paper issues are received prior to the bound edition. The open *detailed* holdings statement would be recorded as:

Tag	I1	I2	Subfield data
852	0		\$a GYG \$b REF \$k REF \$h KF 105 .F432 \$z Paper volume retained until bound volume is received.
866	3	1	\$a 2nd ser.:v.831-2nd ser.:v.862,2nd ser.:v.864-2nd ser.:v.999;3rd ser.:v.1-

*Public Display:*

**Notes:** Paper volume retained until bound volume is received.

**Volumes Owned:** 2nd ser.:v.831-2nd ser.:v.862,2nd ser.:v.864-2nd ser.:v.999;3rd ser.:v.1-

## SUPPLEMENTS:

Record any supplements issued for the title in the **867** field (Level 4 only). Indicators are the same as those used in the 866.

Tag	I1	I2	Subfield data
866	4	1	\$a v.1:no.1-v.4:no.11,v.5:no.2,v.8,v.12:no.1-v.15:no.6
867	4	1	\$a v.12:suppl.

*Public Display:*

**Volumes Owned:** v.1:no.1-v.4:no.11,v.5:no.2,v.8,v.12:no.1-v.15:no.6

**Supplements:** v.12:suppl.

If there is an index issued to the title (perhaps covering a range of years), record its receipt in the **868** field.

Tag	I1	I2	Subfield data
866	4	1	\$a v.1:no.1-v.4:no.11,v.15:no.2,v.8,v.12:no.1-v.15:no.6
867	4	1	\$a v.12:suppl.
868	4	1	\$a v.1/5

Note the forward slash (/) indicates the index combines the volumes into a single volume.

*Public Display:*

**Volumes Owned:** v.1:no.1-v.4:no.11,v.5:no.2,v.8,v.12:no.1-v.15:no.6

**Supplements:** v.12:suppl.

**Indexes:** v.1/5