NAAUG 2004 Conference
Topical Discussion Notes: Issues in Serials
Monday, June 14, 2004
4:00 pm-5:00 pm
MIT, Room 4-231
Facilitator, Patricia Hatch, Harvard University
Meeting Notes by Patricia Hatch

Topic 1: Serial Claims

The discussion opened with a request from the University of Iowa, submitted to the facilitator prior to NAAUG, concerning how libraries are working with serial claims in Aleph. The discussion yielded the following:

1. No one present at the discussion is using the batch claims service for serials claims
2. Some libraries are not using the manual serial claim process; most because they are using version 14 and do not have use of the Order Unit concept introduced in Versions 15 and higher
3. Through Version 15, this is how the claiming process worked:

A. First claim is generated based on the Expected Arrival Date of Piece. How the Expected Arrival Date is calculated is different based on what version of Aleph you are using:

1a. Versions 14 and 15.2, as well as Version 16.01 and 16.02: Expected Arrival Date is calculated based on the Issue Date (subfield $$3 of the 853X field) plus the number of days found in the First Claim field of the Subscription Record. When this date is passed, libraries can obtain a serial claim report.
1b. In Version 15.5, the Expected Arrival Date is calculated differently. In this version, the Expected Arrival Date is the date found in the subfield $$3 of the 853X field, and does not add the number of days found in the First Claim field of the Subscription Record. Libraries that are using this version are concerned about the impact of this when they upgrade to Version 16.

B. When a claim is sent, the next claim date is the date the claim was sent plus the number of days found in the Second Claim field of the Subscription Record.
Ca. In Versions 11-15: If there is no response to the claim, the second claim is sent and the next claim date is the original Expected Arrival Date of the piece plus the number of days found in the Third Claim field of the Subscription Record.
Cb: In Version 16: The next claim date is the date the second claim is sent plus the number of days found in the Third Claim field of the Subscription Record.

The change made in Version 16 reflects how the documentation for claiming has been written by Ex Libris since Version 14.

Topic 2: Clarification about the Order Unit

Libraries who are not yet using Versions 15 and higher requested clarification about the Order Unit and how it is used. The Order Unit provides a ship-to and claim reply address for vendors for both orders and claims. To use the Order Unit correctly, you will need to make sure that your Subscription is linked to an Order, because the Order Unit appears only in the Order Record, and not in the Subscription Record.

Topic 3: Prediction Patterns

A few libraries had questions about patterns and the facilitator also provided a list of prediction patterns that are not currently working in Version 16.

A pattern question concerning omitting days of the week was clarified—you should use a subfield $$y odsa,su if you wish to omit Saturdays and Sundays. There was some question about whether or not this is MARC compliant—the facilitator was later able to verify this (after the session) and can refer NAAUG librarians to an example at the CONSER publication pattern site: http://www.loc.gov/marc/chrono_patterns.html. Scroll down to the bottom of the page and view the first example.

The facilitator provided the following list of prediction problems in Version 16:

1. Ordinals are not predicting or displaying correctly. Something that calls itself the 231st edition is displaying as the 23rd edition.
2. Some problems with combined chronology: If you try to predict a bimonthly, for example, the first issue created will say v.12:no.1 (2004:Jan.), while the rest of the issues will predict correctly (e.g. v.12:no.2 (2004:Mar./Apr.).
3. All patterns that are designated as (year) and no. in enumeration are not predicting correctly
4. When the piece does not contain a subfield $$j, Aleph will add a $$j to the 853X field.
5. Continuous numbering: the biggest problem in Aleph Version 16 prediction.

The facilitator reported that Harvard has reported all of these problems to Ex Libris.

Topic 4: Supplements

Libraries had questions about supplements, particularly in law collections, and how they are added to holdings. The serials librarian at the Harvard Law School library explained that at their institution they will sometimes add a supplement as an 854/864 pair or, if the supplement is substantial enough (i.e. has its own title, etc.), a separate bibliographic record may be made for the supplement title. The facilitator indicated that if you have a supplement that can be predicted (such as the Consumer Reports Annual Buyers Guide), you can create prediction for the supplement in the same holdings record as the pattern for the main work and Aleph will predict both correctly and independently of each other.

Topic 5: Multiple Holdings Records

Libraries had questions about whether or not they should put holdings of multiple copies on the same holdings record. The consensus was, while Aleph does not require this, it is probably good practice to have holdings for each copy on a separate holdings record. The most obvious reason for this is that it is not often that the holdings for each copy would be exactly the same, and also claiming would be very difficult.

Topic 6: Version 16 Serials Tab

The facilitator provided some basic information about the new Serial Tab, now found in the Acquisitions Module, in Version 16.01. The tab contains all of the functionality of the stand alone Serials and Items Modules found in Versions 15 and earlier in Aleph.