

MARC 21 Holdings Records

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Focus of this presentation

- Why standards?
- Harvard's holdings history

Holdings in Aleph:

- Public display of holdings data

Serial example:

- Holdings record fixed fields: LDR and 008
- 852 field
- 85X fields
- 86X fields
- Processing Gaps
- Pattern changes

Multipart work example:

- Fixed Fields
- 85X fields
- 86X fields
- Processing gaps

Other Information:

- 866-868 fields
- Aleph Version 16 and Holdings
- Documentation resources

What is the MARC 21 Format for Holdings Data?

- An addition to the MARC standards
 - An international standard developed for libraries to *COMMUNICATE*
 - Detailed holdings information
 - Location
 - Call number
 - Access
- about bibliographic entities owned by libraries

Standards

■ THE CONTENT STANDARD

- AACR2 Standard for Bibliographic Records

■ THE COMMUNICATION STANDARD

- MARC 21 Format for Bibliographic Records
- MARC 21 Format for Holdings Data

■ THE DISPLAY STANDARD

- ANSI/NISO Z39.71

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Some Benefits of Standards

- **Easier to convert MARC-to-MARC from one system to another.**
- **Resource sharing: Aleph customers make their patterns available to other Aleph customers.**
- **Consistency in holdings data.**
- **Easier to suggest enhancements that will benefit a larger group of customers.**

Harvard's Holdings History

- **1985-July 2002: NOTIS-based ILS**
- **Paired-field MARC holdings data added to holdings records since 1985.**
- **July 2002: Aleph Version 15 implementation**
- **Computer-generated prediction in use only since Aleph implementation.**
- **Harvard/Ex Libris Holdings specification to support public display of paired fields signed in 2001.**

Cataloging Standards at Harvard



Harvard Holdings Documentation

All documents by SSSSC:

- *Holdings Records in the HOLLIS Catalog: Standards and Guidelines (HRHC)*
- *Abbreviations for Captions in Holdings Data: Supplement to Abbreviations found in Anglo-American Cataloguing Rules, Appendix B*
- *Enumeration and Chronology Examples, Preview Document, April 26, 2004*
- **SSSSC Web Site:**
<http://hul.harvard.edu/cmtes/haac/ssssc/>

Harvard/Ex Libris Holdings Specification

Major provisions agreed to:

- **Public display of paired holdings fields.**
- **Separate display of holdings and items.**
- **Full compliance with MARC 21 Holdings fields, indicators and subfield values.**
- **Ability to generate holdings fields (863 or 866 fields) automatically in the holdings record.**

MARC 21 Holdings in Aleph

- **Public Display of Holdings in the HOLLIS Catalog**

Public Display of Holdings

Aleph Version 15 & Higher:

- Supports ANSI/NISO Z39.71 Standard.
- Supports separate display of holdings and item data.
- Current periodical receipts from Serial Tab appears in public holdings display.
- Public holdings display is configurable.

Public Display of Holdings- Two Views of Holdings Data

Aleph Version 16 HOLLIS OPAC

Two links from the full record display provide holdings information:

- Holdings
- Availability

Public Display of Holdings-- Availability Link

- Data display from Item Record
- “Physical” holdings data
- Includes Circulation Policy Information
- Patrons can request individual items from remote storage facility, if applicable

Public Display of Holdings-- Holdings Link

- Data display from Holdings Record and virtual, expanded display from Serial Tab
- “Logical” holdings data
- Display in accordance with ANSI/NISO Standard Z39.71
- ANSI/NISO “Separate” display of holdings (all enumeration followed by all chronology)
- Display also includes Receipt and Acquisitions Status, when applicable

Public Display of Holdings-- Holdings Link—Fields Defined

Tags defined in XXX60 table edit_doc_999.eng

- **Location: Field 852.**
- **Acquisitions Data: Byte 06 of 008 field.**
- **Holdings: 853/863 Pairs.**
- **Current Receipts: Serial issue check-in from Serial Tab—linked to appropriate 853 field.**
- **Supplements: 854/864 Pairs.**
- **Current suppl.: Supplement check-in from Serial Tab—linked to appropriate 854 field.**

Public Display of Holdings-- Holdings Link—Fields Defined (2)

- **Index: 855/865 Pairs.**
- **Current Index: Index check-in from Serial Tab—linked to appropriate 855 field.**
- **Recent Receipts: RLN field.**
 - **RLN field locally defined Harvard field, Not MARC.**
 - **Bridged serial receipt data from legacy system to Aleph implementation.**
 - **Libraries delete this data as pieces are added to holdings Aleph**
 - **Deadline set for nondisplay of all RLN data June 2005.**

Current Public Display Problems in Aleph Version 16.01

- **Ordinals: 109th displays as 10th!**
- **German ordinals not displaying correctly.**
- **Some word or words in parenthesis are displaying, when the word or words should be suppressed per MARC and ANSI e.g., (unit)**
- **Data in brackets are not displaying correctly, e.g. 1885-[1890] displays as [1885-1890]**
- **Problems with languages that use hyphens as part of their romanized form, such as Arabic.**
- **Holdings that have more than one instance of a / are not displaying correctly (e.g. Jan./Feb.-Mar./Apr. displays as Jan./Feb.-Mar Apr.**
- **All have been reported to Ex Libris.**

MARC 21 Holdings in Aleph Serial Holdings Record

- Example of a holdings record for a serial title received quarterly.
- LDR and 008 fields will be reviewed and edited.
- 852 field will be created.
- 853 pattern will be created.
- 863 fields will be created.
- Gaps in holdings will be recorded.
- Pattern Change to bimonthly will be recorded.
- Supplement will be added via 854/64 fields.
- Index will be added via 855/65 fields.
- Public display of holdings will be reviewed.

MARC 21 Format for Holdings Data

- MFHD is a separate record with coded fixed and variable fields and subfields linked to the bibliographic record.

>The Basic MFHD Fields:

Leader

- 008 Variable Control Field
- 852 Location and Access
- 853 Captions and patterns
- 863 Enumeration and chronology
- 866 Free text holdings

The Leader and 008 fields

- **Character Strings**

- **The codes aid retrieval; encode library policy, processing information and can display information using the Z39.71 standard.**

The Leader Field (LDR)

Defines characteristics of

- **Record length**
 - **Record status**
 - **Format**
 - **Encoding level**
 - **Base address of the data**
 - **The entry map**
- **The first 24 character positions of the holdings record**
 - **Most coding is system supplied**
 - **Some is staff supplied**

The Leader

24 character positions (00, 01, 02...)

05 Record status (n=new)

06 Record type (y=serial)

Staff

17 Encoding level (holdings level)

Supplied

LDR 00315ny^{^^^}22001334n[^]4500

System

Supplied

20-23 entry map

19 undefined character

12-16 base address

11 subfield code length

10 indicator count

07-09 undefined

00-04 logical record length

LDR Byte 05 - Record Status

3 possible values

- c – Corrected record
- d – Deleted record
- n – New record

LDR Field –Byte 6 - Type of Record

4 possible values

- **u – Unknown/No type specified**
- **v – Multi-part item holdings**
- **x – Unitary [Single part item holdings--used for monographs]**
- **y – Non-unitary [Serial item holdings]**

LDR Field –Byte 17 - Encoding Value

8 possible values

Values 1-4 correspond with ANSI/NISO Z39.71

- 1 – Holdings Level 1 (monographs)
- 2 – Holdings Level 2 (adds acq status, retention policy to level 1). Used at Harvard for limited retention periodicals.
- 3 – Summary holdings [At Harvard, can include gaps]
- 4 – Detailed holdings including gaps [Used at Harvard for serials and multipart works]
- 5 – Detailed + item information [Not used at Harvard]
- u – Unknown/No level specified
- m - Mixture of two levels, most often levels 3 and 4.
- z – Other level [Not used at Harvard]

LDR Field-Byte 17-Encoding Value- Harvard Policy

**See HRHC document sections for how
encoding levels are defined for use at
Harvard:**

1.3.2

1.3.3

1.3.4

**See HRHC document sections for Rules and
Guidelines for reporting encoding levels:
Sections 3-6.**

The 008 Field

Defines

- Local policies
- Retention policies
- Method of acquisition
- Completeness
- Lending policy
- Language, etc.

- Contains 32 character positions
- Staff supplies all coding except for the first 6 (date entered on file)

The 008 Field - 32 character positions

06 Receipt status (4=currently received)

07 Method of acquisition (e=exchange)

08-11 intent to cancel date

12 general retention policy (8=permanently retained)

13-15 specific retention policy

16 completeness (1=complete)

17-19 number of copies

20 lending policy (u=unknown)

21 reproduction policy (u=unknown)

22-24 language

25 separate/composite copy report

26-31 date of report

Staff

Supplied

008 0104114e^^^8^^1001uueng0011219

System supplied 00-05 Date entered on file

The 008 Field

Byte 06-Receipt Status

Receipt or acquisition status

- 0 - Unknown
- 1 - Other receipt or acquisition status
- 2 - Received and complete or ceased. Code value 2 indicates that all parts of a multipart or serial item have been published or that the publication is no longer issued)
- 3 - On order
- 4 - Currently received
- 5 - Not currently received

Harvard has configured Status 3 and 4 to display in OPAC.

The 008 Field

Byte 07-Method of Acquisition

Method of acquisition

- d - Deposit
- e - Exchange
- f - Free
- g - Gift
- p - Purchase
- u - Unknown
- z - Other method of acquisition

Reporting field only-no functionality

The 008 Field

Bytes 08-11 - Intent to Cancel Date

Four characters that indicate an intent to cancel, effective date of a cancellation, or the date of the last expected part of a multipart or serial item.

- **yymm** - Date of cancellation or last expected part
- **uuuu** - Intent to cancel; effective date not known
- **Four blanks** - No intent to cancel or not applicable

Reporting field only—no functionality

The 008 Field

Byte 12: General Retention Policy

General retention policy

- 0 - Unknown
- 1 - Other general retention policy
- 2 - Retained except as replaced by updates
- 3 - Sample issue retained
- 4 - Retained until replaced by microform
- 5 - Retained until replaced by cumulation, replacement volume, or revision
- 6 - Retained for a limited period
- 7 - Not retained
- 8 - Permanently retained

It is possible to configure Aleph to display this policy.

The 008 Field

Bytes 13-15 - Specific Retention Policy

Specific retention policy

Three blanks - No specific retention policy

Byte 13 Policy Type

- l - Latest
- p - Previous

Byte 14 Number of units

- 1-9 - Number of units

Byte 15 Unit type

- m - Month(s)
- w - Week(s)
- y - Year(s)
- e - Edition(s)
- i - Issue(s)
- s - Supplement(s)

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The 008 Field

Byte 16 - Completeness

Completeness

- **0 - Other (Limited retention, or no estimate made)**
- **1 - Complete (95-100%)**
- **2 - Incomplete (50-94%)**
- **3 - Scattered (0-49%)**
- **4 - Not applicable (Used for single-part items)**

The 008 Field

Bytes 17-19: Number of Copies Reported

Three numeric characters that indicate the number of copies reported. The number is right justified and each unused position contains a zero.

Harvard Policy (HRHC sections 1.3.4.1 and 1.3.4.2):

- **Serials:** one holdings record per copy, regardless of whether or not the copies are held in the same collection.
- **Monographs:** more than one copy can be recorded on one holdings record unless the copies are held in separate collections.
- **Multipart works:** more than one copy can be recorded on a single holdings record unless: the copies are held in a separate collection, or if the holdings of each copy are not identical, or if the holdings are complex.

The 008 Field

Byte 20 - Lending Policy

A one-character alphabetic code indicating the reporting organization's external lending policy for the bibliographic item.

- a - Will lend**
- b - Will not lend**
- u - Unknown**

Reporting field only; the Aleph ILL Module does not consult the XXX60 library.

The 008 Field

Byte 21- Reproduction Policy

A one-character alphabetic code indicating the reporting organization's reproduction policy for the bibliographic item.

- a - Will reproduce**
- b - Will not reproduce**
- u - Unknown**

Reporting field only; the Aleph ILL Module does not consult the XXX60 library.

The 008 Field

Bytes 22-24 - Language

A three-character MARC code indicates the language contained in the 863-865 Enumeration and Chronology fields that require a language table to generate chronological terms or ordinal numbers for the codes in a display of the holdings statement.

- Field can be blank if you have no compressed or expanded captions**
- und – code used if the language cannot be determined.**
- In Aleph, the table used is called 853_chrono.**
- In Aleph, you can set a default language if the code is blank or language code is not defined in the 853_chrono table.**

The 008 Field

Byte 25 - Separate or Composite Copy Report

A one-character code indicates whether the holdings information represents a separate copy or composite copy

Separate: 1 copy

■ Value: 0

Composite: two or more copies

■ Value: 1

Bytes 16, 17-19 should be coded accordingly.

852 Location and Access Field

This field contains the information required to locate an item. The information may simply identify the organization owning the item or from which it is available, or it may contain detailed information to locate the item in a collection.

Field 852 – Differences from the Format-HVD and Aleph

- 852 is repeatable in MARC 21. Not repeatable at Harvard.
- Subfield \$\$a not used at Harvard. Specifies location found in Appendix G of MARC 21 Format.
- Subfields \$\$b and \$\$c are repeatable in MARC 21. Not repeatable in Aleph. Used to define sublibrary and collection in Aleph.

852 Field-Location and Access - Example

852 __ **\$\$b** Code for sublibrary **\$\$c** Code for collection **\$\$h** Call number (Classification) **\$\$i** Call no. (item part) **\$\$j-m** Call no. prefixes and suffixes, etc. **\$\$z** Public note **\$\$x** Non-public note

852 01 **\$\$b** WID **\$\$c** WIDL **\$\$h** PT2661.S34 **\$\$i** I5 2001x **\$\$z** Map in pocket **\$\$x** Upon return check for map in pocket

852 Field – Indicator Values- First Indicator=Shelving Scheme

- [blank] no information provided
- 0 LC
- 1 DDC
- 2 NLM
- 3 SuDocs
- 4 Shelving control no.
- 5 Title
- 6 Shelved separately
- 7 Source in subfield |2 below
- 8 Other scheme

852 01 \$\$b WID \$\$c WIDLc \$\$h PT2661.S34\$\$i I5 2001x

852 Field – Indicator Values- Second Indicator=Shelving Order

- [blank] No information
(Used in HOLLIS conversion, used for single part items)
- 1 Primary enumeration
(Most common for multipart items. E.g. v.1 , v.2)
- 2 Secondary enumeration
- 0 Not by enumeration
(numbering exists but you don't use it!)

852 01 **\$\$b** WID **\$\$c** WIDL **\$\$h** PT2661.S34 **\$\$i** I5
2001x

853 -- **\$\$8** 1 **\$\$a** v.

863 -- **\$\$8** 1.1 **\$\$a** 1

852 Field – Subfields

Mandatory subfields in Aleph:

- **\$\$b** Sublibrary (e.g., at Harvard: WID, MED, etc.)
- **\$\$c** Collection (e.g., at Harvard: REF, GEN, etc.)

Commonly-used subfields

- **\$\$h** Classification part of call no.
- **\$\$i** Item part (or cutter)
- **\$\$k** Call no. prefix
- **\$\$m** Call number suffix
- **\$\$x** Non-public note
- **\$\$z** Public note
- **\$\$2** Source of scheme indicated by first indicator 7

852 Field – Examples

■ 852 2- **\$\$b** MED **\$\$c** GEN **\$\$h** WR15 **\$\$i** G779
1973

■ 852 01 **\$\$b** HIL **\$\$c** MRS **\$\$h** ML160 .B655 **\$\$i**
R5 1999

■ 852 7- **\$\$2** ZHCL **\$\$b** WID **\$\$c** GEN
\$\$h 42200.317 **\$\$z** Library has 1949 printing
\$\$x Missing for the past 40 years.

Recording Detailed Holdings

In MARC 21, holdings are recorded in paired fields.

- Fields **853, 854, 855** include the captions and publication pattern
- Fields **863, 864, 865** include the actual enumeration and chronology of an issue, volume, etc.

Paired Fields Defined

Different fields are used for:

- **Basic Bibliographic unit (853/863)**
 - E.g. Time Magazine, v.163:no.7(2004:Feb. 16)
- **Supplementary Material to the basic unit (854/864)**
 - Material published in addition to the basic unit that is not cataloged separately, e.g. Time Magazine Suppl.:Style and Design (2004:Summer)
- **Indexes to the basic unit (855/865).**
 - Does not include serials with the title “index” that constitute a basic unit (e.g., Index Medicus)

85X Field Structure

- Tag [853, 854, 855]
- Indicators [2 positions] [No indicator values for 855]
- Field Link subfield \$\$8
- Enumeration subfields [\$\$a-\$\$h]
- Enumeration publication pattern subfields [\$\$u, \$\$v]
- Chronology caption subfields [\$\$i-m]
- Chronology publication pattern subfields [\$\$p, \$\$w, \$\$x, \$\$y]
- Pattern Note, type, copy and numbering scheme subfields [\$\$n, \$\$o, \$\$t, \$\$z] [\$\$o valid in 854-855 only]

85X Fields: Subfield \$\$8

- Subfield 8 defines the link number that links the 85X fields to 86X fields.
- A new 85X field is created when there is a serial pattern change. The \$\$8 value will increment by 1.
- The 85X field with the highest \$\$8 link number is considered the active pattern.
- There can only be one active 853 pattern, though holdings can have multiple 853 fields denoting the pattern history.
- There can be multiple active 854 and 855 fields.

85xX Field: Subfield \$\$8

- The 85xX field is a proprietary field used by Aleph to generate a set of predicted issues.
- Not part of the MARC 21 Holdings Format.
- When predicting, the 85xX field will contain the same \$\$8 value of the active 85X pattern.
- The 85xX field also contains a \$\$9 denoting the subscription number so that the correct set of issues can be generated for a specific sublibrary's copy of a title.

Subfield \$\$8 Examples

853 20 **\$\$8 1** \$\$a Bd.

Pattern Change

853 20 **\$\$8 2** \$\$a v. \$\$i (year)

Subfield \$\$8 Examples-85xX Field

853 20 **\$\$8 1** \$\$a v. \$\$b no. \$\$u 6 \$\$v 4 \$\$i
(year) \$\$j (month) \$\$w b \$\$x 02

Pattern change—active pattern:

853 20 **\$\$8 2** \$\$a v. \$\$b no. \$\$u 12 \$\$v r \$\$i
(year) \$\$j (month) \$\$w m \$\$x 01

853 X- **\$\$8 2 \$\$9 1** \$\$a 12 \$\$b 1 \$\$i 2004 \$\$j 01
\$\$3 20040101

Definitions: Caption data-- Enumeration (853/854)

- Enumeration Caption: the word, phrase, or abbreviation used by the publisher to designate each level of the parts issued.
- Abbreviations for captions defined in AACR2.
- Harvard list at SSSSC Web Site.

Example: Volume 12, number 1
853 \$\$8 1 \$\$a v. \$\$b no.

Enumeration subfields \$\$a-\$\$f

Example 1

Example: Volume 13 number 4 part 5

Coded as:

853::\$\$8 1 \$\$a v. \$\$b no. \$\$c pt.

863::\$\$8 1.1 \$\$a 13 \$\$b 4 \$\$c 5

- Linking number 1 in 853 and 1.1 in 863
- 3 levels of enumeration coded in subfields \$\$a, \$\$b, and \$\$c.

Public display:

v.13:no.14:pt.5

Subfield Codes (\$\$a-\$\$f) - Example 2

Year as Highest Level of Enumeration

On issue: 1998 no. 1

Coded as: 853::\$\$8 1 \$\$a (year) \$\$b no.

863::\$\$8 1.1 \$\$a 1998 \$\$b 1

- Year serves as the highest level of enumeration and is coded in enumeration subfield \$\$a.

Public Display:
1998:no.1

Subfield Codes (\$\$a-\$\$f) - Example 3

Alternate Numbering

On issue: Volume 13 number 14 (no. 2911)

Coded as:

853::\$\$8 1 \$\$a v. \$\$b no. \$\$g no.

863::\$\$8 1.1 \$\$a 13 \$\$b 14 \$\$g 2911

- 2 levels of enumeration coded in subfields \$\$a and \$\$b
- Alternative numbering for specific piece in subfield \$\$g
- Second level alternate numbering, \$\$h, can NOT be used for prediction in Aleph.

Public Display:

v.13:no.14=no.2911

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Subfield Codes (\$\$a-\$\$f) - Example 4

New Series Numbering

On issue: New series B number 12

Coded as: 853::\$\$8 1 \$\$a new ser.B:no.

863::\$\$8 1.1 \$\$a 12

- The designation for a series is considered part of the caption.
- There is only one level of enumeration and one caption in this example.

Public Display
new ser.B:no.12

Subfield Codes (\$\$a-\$\$f) - Example 5

Ordinal Numbers

- **An ordinal number** is defined as a number indicating position in a series or order, e.g., first (1st), second (2nd), third (3rd), and so on.
- If we follow the normal coding convention, coding for a first edition would look like this:

853::\$\$8 1 \$\$a ed.

863::\$\$8 1.1 \$\$a 1

And would display to the public as:

ed.1

- There is a special provision that can be used in most cases where an ordinal number and a reversal of the usual syntax is preferred ...

Subfield Codes (\$\$a-\$\$f) - Example 5-Ordinal Numbers (cont.)

12th Edition 1990

*P. Sarniento's Guide to
Colonial Mexico*

14th Edition 1997

*P. Sarniento's Guide to
Colonial Mexico*

853::\$\$8 1 \$\$a +ed. \$\$i (year)

863::\$\$8 1.1 \$\$a 12 \$\$i 1990 \$\$w g

863::\$\$8 1.2 \$\$a 14 \$\$i 1997

Public Display
12th ed.(1990),
14th ed.(1997)

In Aleph, this display is determined by two tables

- **853_chrono** (for language) and **853_numbering** (for ordinal display)

Definitions: Caption data-- Chronology (853/854)

- Chronology caption: the name of a division of the year.
- Most chronology captions appear in parenthesis, meaning that the caption is understood, but does not display to the public.
- Example: volume 12, number 1, part 1, January 1, 2004

Coded as:

853::\$\$8 1 \$\$a v. \$\$b no. \$\$c pt. \$\$i (year) \$\$j (month)
\$\$k (day)

863::\$\$8 1.1 \$\$a 12 \$\$b 1 \$\$c 1 \$\$i 2004 \$\$j 01 \$\$k 01

Public display

v.12:no.1:pt.1 (2004:Jan. 1)

Chronology subfields \$\$i-\$\$m

Example 1

On issue: June 15, 1998 volume 13 number 4 part 5

Coded as:

853::\$\$8 1 \$\$a v. \$\$b no. \$\$c pt. \$\$i (year) \$\$j (month) \$\$k
(day)

863::\$\$8 1.1 \$\$a 13 \$\$b 4 \$\$c 5 \$\$i 1998 \$\$j 06 \$\$k 15

- 3 levels of enumeration coded in subfields \$\$a, \$\$b, \$\$c; the levels of chronology are coded in subfields \$\$i, \$\$j and \$\$k.
- Parentheses () suppress the display of chronological captions.

Public Display
v.13:no.4:pt.5 (1998:June 15)

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Chronology subfields \$\$i-\$\$m

Example 2-Seasonal Subdivisions

On issue: volume 12 no. 2 Summer 2004

Coded as:

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

863::\$\$8 1.1 \$\$a 12 \$\$b 2 \$\$i 2004 \$\$j 22

- Seasons are coded numerically in the 863
21: Spring 22: Summer 23: Autumn 24: Winter
- 008 language value (bytes 22-24) and 853_chrono table determines language of seasons

Public Display
v.12:no. 2 (2004:Summer)

Chronology subfields \$\$i-\$\$m

Example 3-Liturgical Seasons

On issue: no.50 Pâques 1964

Coded as:

853::\$\$8 1 \$\$a no. \$\$i (year) \$\$j (season)

863::\$\$8 1.1 \$\$a 50 \$\$i 2004 \$\$j Pâques

- Cannot use 853_chrono table to generate seasonal display
- You must use literal in 863 \$\$j, not numeric values.
- NOT predictable in Aleph.

Public Display
no.50 (1964:Pâques)

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Chronology subfields \$\$i-\$\$m

Example 4-Rainy/Dry Seasons

On issue: volume 2, number 1 1994 Dry Season

Coded as:

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

863::\$\$8 1.1 \$\$a 2 \$\$b 1 \$\$i 1994 \$\$j Dry Season

- Cannot use 853_chrono table to generate seasonal display
- You must use literal in 863 \$\$j, not numeric values.
- NOT predictable in Aleph.

Public Display
v.2:no.1 (1994:Dry Season)

Chronology subfields \$\$i-\$\$m

Example 5-Two-Week Subdivisions

On issue: año 20:no.2, 1991, September 2nd quincena (fortnight)

Coded as:

853::\$\$8 1 \$\$a año \$\$b no. \$\$i (year) \$\$j (month) \$\$k quincena

863::\$\$8 1.1 \$\$a 20 \$\$b 2 \$\$i 1991 \$\$j 09 \$\$k 2

- MARC 21 currently does not acknowledge numbering systems for ordinals in chronology.
- Aleph currently does not process ordinal numbers in chronological subfields. 853_numbering table can be used for enumeration subfields only.
- Ordinal in this case will display as a cardinal number.
- NOT predictable in Aleph.

Public Display

año 20:no.2(2004:Sept.:quincena 2)

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Publication Pattern Subfield codes

\$\$p - \$\$y

Publication pattern subfields that follow enumeration subfields:

- **\$\$u**: Bibliographic units per next higher level
- **\$\$v**: Numbering continuity

Publication pattern subfields that follow chronology subfields:

- **\$\$w**: Frequency
- **\$\$x**: Calendar change
- **\$\$y**: Regularity pattern
- **\$\$p**: Number of pieces per issuance

Bibliographic Units Per Next Higher Level Subfield \$\$u

- Specifies the total number of parts that comprise the next higher level of enumeration.
- Not used with subfield \$\$a or \$\$g (highest level).
- Follows the caption subfield to which it applies.
- Values:
 - **<n>** (Number of parts)
 - **var** (Varies)
 - **und** (Undetermined)

Subfield \$\$u Examples

On issue: May 1998 volume 12 number 5 [Monthly]

Coded as: 853::\$\$8 1 \$\$a v. \$\$b no. **\$\$u 12** \$\$i (year)
\$\$j (month)

On issue: volume 21 number 4 part 5

[4 numbers in a volume, but a varying number of parts
in each number]

Coded as: 853::\$\$8 1 \$\$a v. \$\$b no. **\$\$u 4**
\$\$c pt. **\$\$u var**

No prediction can be made on \$\$u value var or und.

Numbering Continuity Subfield \$\$v

- One-character code indicating whether the numbering of the described level continuously increments or restarts.
- Not used with subfield \$\$a or \$\$g (highest level).
- Values:
 - **c** (Numbering increments continuously)
 - **r** (Numbering of unit restarts at the completion of the unit next above it)

Subfield \$\$v Examples

On issues: Volume 1 part 12

Volume 2 part 13

Volume 2 part 14

Coded as:

853::\$\$8 1 \$\$a v. \$\$b pt. \$\$u 12 \$\$v c

On issue: Volume 21:number 4 part 2

Volume 22:number 1 part 1

Coded as: 853::\$\$8 1 \$\$a v. \$\$b no. \$\$u 4 \$\$v r
\$\$c pt. \$\$u 2 \$\$v r

Frequency Subfield \$\$w

- One-character code or a number indicating publication frequency.
- Codes are used for regular frequencies. For example:
a - Annual b - Bimonthly c – Semiweekly
d – Daily m - Monthly q - Quarterly f - Semiannual
- A number is used to specify the issues per year when issues come regularly but there is no code established for their interval (e.g., 5,7,13/yr.)
- In Aleph, when a number is used, you must add a \$\$y to the 853 for prediction.

Subfield \$\$w examples

On issue: October 1999 Volume 8 no.10
{Monthly}

Coded as: 853::\$\$8 1 \$\$a v. \$\$b no. \$\$u 12
\$\$v r \$\$i (year) \$\$j (month) **\$\$w m**

On issue: volume 21 number 3 May 1996 {5
issues per year}

Coded as: 853::\$\$8 1 \$\$a v. \$\$b no. \$\$u 5 \$\$v r
\$\$i (year) \$\$j (month) **\$\$w 5**

Subfield \$\$w Coded with the Highest Level of Enumeration

- When a title contains only the highest level of enumeration, subfield \$\$w is coded with the appropriate value, e.g.:

An annual designated: v.1 (2002)

Coded as: 853::\$\$8 1 \$\$a v. \$\$i (year) \$\$w a

A biennial designated as: 2002

Coded as: 853::\$\$8 1 \$\$a (year) \$\$w g

Number of Pieces Per Issuance Subfield \$\$p

- Contains a numeric value that represents the number of physical parts or pieces received per issuance.
- Only coded in cases where the number of parts or pieces is different from the publishing frequency expressed in subfield \$\$w.
- \$\$p is not currently supported for prediction in Aleph.
- Will be available for prediction in Aleph ?????

Subfield \$\$p example (1)

- Example 1: Semiannual, six pieces published per issuance

853 \$\$8 1 \$\$a v. \$\$b no. \$\$u 12 \$\$v r \$\$i (year)
\$\$j (month) \$\$p 6 \$\$w f

Twelve issues per volume, published twice a year, six issues at a time.

Subfield \$\$p example (2)

- **Example 2: Quarterly, 2 pieces published per issuance**

853 \$\$8 1 \$\$a Bd. \$\$b Heft \$\$u 8 \$\$v r
\$\$i (year) \$\$j (season) **\$\$p 2** \$w q

Eight issues per volume, published 4 times a year, 2 issues at a time.

Calendar Change Subfield \$\$x

- A two-character code identifies the month or season of the calendar change.
- A four-character code (*mmdd*) identifies the month and the day of change. A month or day code of less than two digits is right justified and the unused position contains a zero.
- Month: 01-12 Day: 01-31
- Season: 21(Spring) 22(Summer) 23(Autumn) 24(Winter)
- In v. 15 of Aleph, \$\$x was not consulted in prediction. It is consulted in v.16, but not consistently.

Subfield \$\$x examples

On issue: January 1, 1999 Vol. 6 No. 1 {Weekly}

Coded as:

853::\$\$8 1 \$\$a v. \$\$b no. \$\$u 52 \$\$v r \$\$i (year)
\$\$j (month) \$\$k (day) \$\$w w **\$\$x 0101**

On issue: volume 21 number 4 October 1996 {monthly,
2 v. per year, volumes begin in Jan. and July}

Coded as:

853::\$\$8 1 \$\$a v. \$\$b no. \$\$u 6 \$\$v r \$\$i (year)
\$\$j (month) \$\$w m **\$\$x 01,07**

Subfield \$\$x - Combined Chronology

- When a title is published with combined chronology, e.g. a bimonthly published Jan./Feb.-Nov./Dec., subfield \$\$x is coded with the latter month as the date of the calendar change.

Example:

On piece: v.1:no.1 (2002:Jan/Feb.)

Coded as:

**853::\$\$8 1 \$\$a v. \$\$b no. \$\$u 6 \$\$v r \$\$i (year)
\$\$j (month) \$\$w b \$\$x 02**

Note that \$\$j is also coded (month), not (month/month)

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Regularity pattern Subfield \$\$y

- Indicates *regular exceptions* to a specific regular pattern (i.e., normalized irregulars).
- Describes the exceptions to the publishing pattern coded in subfield \$\$w <Frequency>.
- Contains coding that specifies which issues are published or omitted.
- Can contain coding indicating variances between enumeration scheme and chronology.
- Subfield \$\$y is repeatable in the 853 and 854 fields.

Regularity Pattern Subfield \$\$y (Cont.)

- Codes are entered in this order:
<publication pattern code>, then either
<enumeration code definition> or <chronology
code definition>
then either
<enumeration scheme> or <chronology code>

Regularity Pattern Subfield \$\$y (Cont.)

- First code indicates whether the subsequent codes refer to issues that are combined, omitted or published.
- Publication code:
 - c - Combined
 - o - Omitted
 - p – Published
- Code c is NOT currently available in Aleph, either for input or prediction. Expected in Version 17 per Ex Libris.

Regularity Pattern Subfield \$\$y (Cont.)

- Second code indicates either:
- Enumeration scheme

And/or

- The day, numeric month or month-and-day, season, or week that is omitted or published.

Regularity Pattern

Subfield \$\$y-Enumeration code

Enumeration code definition:

e1 – enumeration level 1 **e2** – enumeration level 2

- The enumeration code indicates the designation of the issues of the item for which regularity pattern information is provided.
- Multiple designations are separated by a comma.
- A slash (/) is used to designate a combined issue.
- Not currently available for input or to use in prediction in Aleph. Expected in Version 17.

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Regularity Pattern

Subfield \$\$y-Chronology code

Chronology code definition:

d - Day m - Month s - Season w - Week

- Two-character alphabetic or numeric codes are used for days, weeks, months, and/or seasons.
- A code of less than two digits is right justified and the unused position contains a zero.
- Multiple codes are separated by a comma.
- A slash (/) is used to designate combined issues.
- Values can be repeated, if multiple issues are to be received within the same defined time period.
- Chronology codes are input in the order in which they occur within the calendar year.
- Can be input and used for prediction in Aleph.

Regularity Pattern

Subfield \$\$y – Chronology codes

The third code or set of codes (*chronology code(s)*) indicates when the issues are or are not published.

■ Day: mo,tu,we,th,fr,sa,su

■ Days of the month: 01-31

■ Weeks of the year: 01-53

■ Months of the year: 01-12

■ Seasons:

21	22	23	24
(Spring)	(Summer)	(Autumn)	(Winter)

Subfield \$\$y Example- Positive Reporting

Publication is published five times a year, in June, August, October, February, and April.

853:20:\$\$8 1 \$\$a v. \$\$b no. \$\$u 5 \$\$v r \$\$i (year)
\$\$j (month) \$\$w 5 \$\$x 06 \$\$y pm06,08,10,02,04

p = published

m = following codes are for months

01, etc. = months when the serial is published.

- This is a nearly bimonthly publication, and in this example is coded with a regularity pattern.
- The reporting is positive, as it explicitly states each issue that is published in the subfield \$\$y.

Subfield \$\$y Example- Negative Reporting

Publication is published five times a year in June, August, October, February, and April.

853:20:\$\$8 1 \$\$a v. \$\$b no. \$\$u 5 \$\$v r \$\$i (year) \$\$j (month) \$\$w b
\$\$x 06 \$\$y om12

o = omitted

m = following codes are for months

01, etc. = months when the serial is published.

- Since this is a nearly bimonthly publication, the subfield \$\$w is coded as b and the subfield \$\$y is reported negatively, that is, using the o value to indicate what month is NOT published.
- Aleph has had problems with negative reporting for prediction, particularly with the values of w (week) and d (day). This has improved in Version 16.

Subfield \$\$y example

Chronology combined code

American Libraries is published 11 times per year. The months of June/July are combined. The enumeration is not combined.

853:20:\$\$81 \$\$a v. \$\$b no. \$\$u 11 \$\$v r \$\$i (year)
\$\$j (month) \$\$w m \$\$x 01 **\$\$y cm06/07**

- **\$\$y indicates that there is a combined month in June/July.**
- **Without this code, you cannot produce a correct set of predicted issues in Aleph. You must currently modify the items to reflect the June/July issue.**
- **\$\$y c value expected in Aleph in Version 17.**

Subfield \$\$y example

Combined enumeration and chronology

This title is published eleven times per year, combines in its second level enumeration (for issues seven and eight) and combines chronology (July and August).

853 \$\$8 1 \$\$a v. \$\$b no. \$\$u 12 \$\$v r \$\$i (year)
\$\$j (month) \$\$w m \$\$y ce27/8 \$\$y cm07/08

- First \$\$y indicates that there is a combined enumeration at second level (ce2)
- Second \$\$y indicates combined months.
- \$\$y c value expected in Aleph in Version 17.

Subfield \$\$y example

Complex pattern

Title is semiweekly, published every Monday and Thursday except when New Year's Day, the fourth of July, Labor Day, Thanksgiving and Christmas fall on a Monday or Thursday

\$\$8 1 \$\$a v. \$\$b no. \$\$u 101 \$\$v r \$\$w c \$\$x 07

\$\$y pw00mo,00th \$\$yow0901mo,1199th \$\$yod0101,0704,1225

- First \$\$y indicates that title is published every Monday and Thursday
- Second \$\$y that the first Monday in September (Labor Day) and the last Thursday in November (Thanksgiving Day) are always excluded.
- Third \$\$y value indicates that January 1 (New Year's Day), July 4 (Independence Day) and December 25 (Christmas Day) should be excluded if they fall on a Monday or Thursday.
- Aleph can predict this in Version 16!! Yippee!!

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Other 85X Subfields

- Subfield **\$\$t** – copy information
- Subfield **\$\$n** – pattern note
- Subfield **\$\$z** – numbering scheme
- Subfield **\$\$o** – type (used in 854/855 only)

Subfield \$\$t

Copy information

- Subfield \$\$t is used to capture copy number information.
- In the 85X fields, it is used for copy caption information, e.g. c.
- Copy number is given in the 86X fields
- Copy caption information is required if you are going to use the new Summary holdings feature in Aleph Version 16.02.

Subfield \$\$t example

- *On issue:* v.6:no.1, January 2000 (quarterly, issue numbering restarts, calendar change happens in Jan.)
- Library owns 2 copies, one shelved in reference and the other in the stacks:

Holding record 1:

853::\$\$8 1 \$\$a v. \$\$b no. \$\$u 4 \$\$v r \$\$i (year) \$\$j (month) \$\$w q
\$\$x 01 \$\$t c.

863::\$\$8 1.1 \$\$a 6 \$\$b 1 \$\$i 2000 \$\$j 01 \$\$t 1

Public Catalog Display: c.1 v.6:no.1 (2001:Jan)

Holding record 2:

853::\$\$8 1 \$\$a v. \$\$b no. \$\$u 4 \$\$v r \$\$i (year) \$\$j (month) \$\$w q
\$\$x 01 \$\$t c.

863::\$\$8 1.1 \$\$a 6 \$\$b 1 \$\$i 2000 \$\$j 01 \$\$t 2

Public Catalog Display: c.2 v.6:no.1 (2001:Jan.)

Pattern Note Subfield \$\$n

- Subfield \$\$n contains an explanatory note citing the specific year and issue used to prepare the regularity pattern (\$\$y) coding expressed in the field.
- Does not display to the public.
- Optional, informational subfield that does not affect prediction in any way.
- Probably most useful as a way of explaining a pattern to a third party as part of pattern export project.
- Generally used for noting complex patterns and is not really used at Harvard.

Subfield \$\$n example

- Title is published in three hundred and sixty-three continuously numbered issues in four volumes each year.
- Issues dated July 4th and December 25th are published as combined issues.
- The pattern is based on v.11:no.2172/2173, dated December 24/25, 2001.

\$\$8 1 \$\$a v. \$\$b no. \$\$u 92 \$\$v c \$\$i (year) \$\$j (month)
\$\$w d \$\$x 01,04,07,10 \$\$y cd0704/0705, 1224/1225
\$\$y ce2185/186,358/359 **\$\$n Based on v. 11, no.
2172/2173, December 24/December 25, 2001.**

Numbering Scheme

Subfield \$\$z

- Subfield \$\$z contains a six character code string used to designate the numbering scheme used on a publication.
- The codes allow for recording different numbering schemes at different levels of enumeration.
- There are three elements to the numbering scheme: type of designation, case and script code/ type code.
- As a policy and practical issue, this is not being used at Harvard. It does not fully work in Aleph.
- See SSSSC Enumeration and Chronology Examples, Preview document, section 1.17 for current Harvard policy.

Coding of \$\$z-First character

- The first one character code indicates whether the number is a number, letter or combined (number first or letter first).
- Designation types:
 - a Number [e.g. Roman numeral]
 - b Letter
 - c Combined, number first [e.g. 1a]
 - d Combined, letter first [e.g. a1]
 - e Symbol or special character

Coding of \$\$z-Second character

- The second one character code indicates if a numbering scheme is conveyed as alphas and applies both to those coded in the previous position as “b” or to Roman numerals.
- Designation types:
 - a No case
 - b Lower case
 - c Upper case
 - d Mixed case

Coding of \$\$z-Third-Sixth characters

- The third through sixth positions indicate with the script used in the numbering scheme or, for numerals or symbols that are not in alternate scripts, the type of numeral or symbol used.
- The script code is a four character code from the list at: <http://www.evertype.com/standards/iso15924/>.
- Designation types:
 - an^^ Arabic numeral
 - rn^^ Roman numeral
 - sy<symbol>b Symbol

Subfield \$\$z example

On issue: newser:no. 🖐 (2004:Jan.)

853:20:\$\$8 1 \$\$a newser:no. \$\$i (year) \$\$j
(month) \$\$ wq \$\$ x01 **\$\$z abrn^^**

- Value a indicates a number
- Value b indicates Upper Case
- Value rn^^ indicates roman numeral

Public Display should be:

newser:no. 🖐 (2004:Jan.)

- This pattern works in Aleph 16 for prediction only. It does NOT work for display of holdings data.

Subfield \$\$z problems in Aleph

- Only works for predicted titles that use Roman numerals, in upper case, in single-level enumeration.
- If there are two levels of enumeration, \$\$z works only with the 2nd level of enumeration, and there is no way to specify that either just the first or both the first and second levels should be in Roman numerals.
- Will not produce lower case Roman numerals, even for prediction.
- Will not create combined letter-number or number-letter combinations in either prediction or display.
- If you are not creating any items, the numbering scheme will not simply display holdings data in 85X/86X statements.
- Current Harvard policy: when you have a title that uses Roman numerals, construct your holdings statement and expect them to display as Arabic numerals-do not use \$\$z.

Indicators for 85X Fields

- **1st indicator: Compressibility and expandability [853, 854 only]** -- whether data *can* be compressed or expanded
- **2nd indicator: Caption evaluation** -- did you look at the piece?
- **Aleph does NOT currently consider indicator values for prediction nor for holdings display.**

853/854 First indicator

Compression and Expansion

- **Compress:** The content of the enumeration and chronology subfields in one or more occurrences of field 863 or 864 can be converted from a piece-by-piece report of a range of holdings to one that expresses the same holdings in terms of the enumeration or chronology of only the first and last part held, e.g.:

v.1-13

- **Expand:** The content of enumeration and chronology subfields in one or more 863 or 864 fields can be converted from a compressed first-and-last-part-held listing of a range of holdings to an explicit piece-by-piece listing of each part held, e.g.:

v. 1:no. 1, v. 1:no. 2, etc..

853/854 First Indicator: Compressibility and Expandability

■ Values:

- 0 - Cannot compress and/or expand**
- 1 - Can compress but not expand**
- 2 - Can compress and expand**
- 3 - Unknown**

853/854 First Indicator 0

Cannot compress and/or expand

Example:

853:02:\$8 1 \$a v. \$b no. \$i (year)

863:30:\$8 1.1 \$a 1-10 \$i 1943-1952 \$z

Some missing

Public display:

v.1-10(1943-1952) [Some missing]

- Holdings are already recorded in a compressed format. They have no pattern recorded and may contain gaps.

853/854 First Indicator 1

Can compress but not expand

Example:

853:10:\$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j
(month)

863:40:\$8 1.1 \$a 1 \$b 3-4 \$i 1994 \$j 07-10

863:41:\$8 1.2 \$a 2 \$b 1 \$i 1995 \$j 01

Public display

v.1:no.3-4 (1994:July-Oct.)

v.2:no.1 (1995:Jan.)

- Can compress because the pattern for “no.” will tell a computer algorithm that there are four numbers to a volume, so these parts are sequential.
- To expand, however, it would need to know the frequency and point in the year when the new volume should begin.

■ **Not predictable**

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853/854 First Indicator 2

Can compress and expand

Example:

853:20:\$8 1 \$a v. \$b no. \$u 4 \$v r \$i (year) \$j (month)
\$w q \$x 01

853X: \$8 1 \$9 1 \$a 1 \$b 1 \$i 1994 \$j 01

863:40:\$8 1.1 \$a 1-2 \$i 1994-1995

Items generated in Aleph for prediction in Serial Tab:

v.1:no.1 (1994:Jan.)

v.1:no.2 (1994:Apr.)

v.1:no.3 (1994:July)

v.1:no.4 (1994:Oct.)

v.2:no.1 (1995:Jan.)

v.2:no.2 (1995:Apr.)

v.2:no.3 (1995:July)

v.2:no.4 (1995:Oct.)

853/854 First Indicator 2

Can compress and expand (cont.)

- As each item is checked-in on the Serial Tab, a virtual, expanded display of that item appears in the holdings record [“Current Receipts”]
- However, Aleph must have an item in order to generate this expanded display. Aleph cannot simply generate a display of expanded holdings based on 85X data and indicator values, as the Format intends.
- This limits the functionality of expansion in Aleph.

853/854 First Indicator 2

Can compress and expand (cont.)

- **Compressed display in Public Catalog
v.1-2 (1994-1995)**
- **Aleph's new Summary Holdings Functionality can create a real 86X field in the holdings record and generate the above display in the public catalog.**
- **However, you must have items in order to generate the summary holdings display—the system cannot simply produce a display based on 85X indicator and subfield values.**
- **This limits the functionality of compression in Aleph.**

853/854 First Indicator 3-- Unknown whether compression or expansion possible

- It is unknown whether enumeration and chronology data in the linked 863 or 864 field can be compressed or expanded.**
- This value is often the default value for the automated creation or conversion of holdings data.**
- At Harvard, conversion of 85X and 86X data converted whatever indicator values were present in our legacy system.**

853/854 Second Indicator: Caption Evaluation

- Indicates the completeness and accuracy of the captions for the various levels of enumeration and chronology and whether they have been verified from the pieces.

Values:

- 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**

Current 16.01 Prediction Problems in Aleph

- Continuous numbering, all patterns [big problem]
- Ordinals (231st displays as 23rd!)
- Ordinals in languages other than English (none will work)
- Patterns with (year) and no. as enumeration, all patterns
- Patterns with combined chronology [first issue does not combine months/seasons, rest do!]
- If a pattern does not contain a \$\$j, Aleph will sometimes add a \$\$j to the 853X field and add a second level chronology to the set of items!
- All have been reported to Ex Libris.

86X Field Structure

- Tag [863, 864, 865]
- Indicators [2 positions]
- Field Link subfield \$\$8
- Enumeration subfields [\$\$a-\$\$h]
- Chronology caption subfields [\$\$i-n]
- Gap indicator subfield, if applicable [\$\$w]
- Title of supplement/index, piece designation, piece physical condition, copyright article-fee code, copy number, nonpublic note, public note subfields [\$\$o, \$\$p, \$\$q, \$\$s, \$\$t, \$\$x, \$\$z] [\$\$o valid in 864-865 only]

Indicators for 86X fields

1st indicator: Level of specificity (detailed, summary, etc.)

- Should match the encoding level of your holdings record

2nd indicator: Form of holdings

- Are the holdings compressed or uncompressed?
- Expresses whether holdings *are already* compressed/expanded

86X First Indicator Field encoding level

Values

- **^[blank]: No information provided**
- **3: Holdings level 3 [863/864 field only]**
- **4: Holdings level 4**
- **5: Holdings level 4 with piece designation**

- **Harvard does not use value 5**
- **Aleph does not check the LDR encoding level with the 86X indicator value.**

86X First Indicator Value 3 Example

■ First indicator value 3

853:02:\$\$8 1 \$\$a v. \$\$b no. \$\$i (year)

863:30:\$\$8 1.1 \$\$a 1-10 \$\$i 1943-1952 \$\$z

Some missing

Public display:

v.1-10(1943-1952) [Some missing]

- Holdings are already recorded in a compressed format. They have no pattern recorded and may contain gaps.

86X First Indicator Value 4 Example

■ First indicator value 4

853:20:\$8 1 \$a v. \$b no. \$u 4 \$v r

\$i (year) \$j (season) \$w q \$x 21

863:40:\$8 1.1 \$a 1-10 \$i 1943-1952 \$w g

863:41:\$8 1.2 \$a 11 \$b 2 \$i 1953 \$ j 22 \$w g

863:41:\$8 1.3 \$a 12 \$b 2-3 \$i 1954 \$j 22-23 \$w g

863:40:\$8 1.4 \$a 13-18 \$i 1955-1960

Public display:

v.1-10 (1943-1952),

v.11:no.2 (1953:Summer),

v.12:no.2-3 (1954:Summer-Autumn),

v.13-18 (1955-1960)

86X Second Indicator Form of Holdings

Values

- **^[blank]: No information provided**
 - **0: Compressed [863/864 field only]**
 - **1: Uncompressed**
 - **2: Compressed, use textual display [863/864 only]**
 - **3: Uncompressed, use textual display**
 - **4: Item (s) not published**
-
- **Harvard does not use value 4**
 - **Harvard uses 866 or 867 with values 2 and 3 and we use gap indicator \$\$w value n instead of value 4**
 - **Aleph does not check the second indicator value of the 86X field for display/nondisplay.**

86X Second Indicator Form of Holdings-example

■ Second indicator values 0 and 1

853:20:\$8 1 \$a v. \$b no. \$u 4 \$v r

\$i (year) \$j (season) \$w q \$x 21

863:40:\$8 1.1 \$a 1-10 \$i 1943-1952 \$w g

863:41:\$8 1.2 \$a 11 \$b 2 \$i 1953 \$j 22 \$w g

863:41:\$8 1.3 \$a 12 \$b 2-3 \$i 1954 \$j 22-23 \$w g

863:40:\$8 1.4 \$a 13-18 \$i 1955-1960

863 \$8 1.1 and 1.4 are expressed as compressed.
Second indicator value is 0.

863 \$8 1.2 and 1.3 are itemized. Second indicator
value is 1.

86X Second Indicator Values 2-3 example

853:30:\$\$\$8 1 \$\$a v. \$\$b no. \$\$i (year) \$\$j (month)

863:43:\$\$\$8 1.1 \$\$a 1 \$\$b1-2 \$\$i 1980-1981 \$\$w g

863:43:\$\$\$8 1.2 \$\$a 1 \$\$b 4 \$\$i 1981 \$\$j 06/07 \$\$w g

863:43:\$\$\$8 1.3 \$\$a 1 \$\$ b6 \$\$i 1981 \$\$j 10/11

\$\$w g

863:43:\$\$\$8 1.4 \$\$a 2 \$\$ b2-4 \$\$i 1982 \$\$j 03/04-07/08 \$\$

w g

863:42:\$\$\$8 1.7 \$\$a 3-22 \$\$i 1984-2002

866:31:\$\$\$8 0 \$\$a v.1-22 (1980-2002) \$\$z Some issues
missing

Public Display:

v.1-22 (1980-2002) [Some issues missing]

86X Fields: Subfield \$\$8

- The 86X field contains a \$\$8 with the **link number** from the 85X field and a **sequence number** used to order the holdings statements in the public catalog.
- The link number and sequence number are separated by a decimal (.)
- New 85X/86X fields are created when there is a pattern change. The value of the 86X \$\$8 will be the new link number. The sequence number will restart.
- Gaps in holdings require a new 86X field that will contain the same link number as the 85X but the sequence number will increment by 1.

Subfield \$\$8 Examples

853 20 **\$\$8 1** \$\$a Bd.

863 40 **\$\$8 1.1** \$\$a 1-20

Pattern Change

853 20 **\$\$8 2** \$\$a v. \$\$i (year)

863 40 **\$\$8 2.1** \$\$a 21-30 \$\$i 1990-1999 \$\$w g

863 40 **\$\$8 2.2** \$\$a 33-35 \$\$i 2001-2003

Subfield \$\$8 Examples- Aleph 85xX Field

853 20 **\$\$8 1** \$\$a v. \$\$b no. \$\$u 6 \$\$v 4 \$\$i
(year) \$\$j (month) \$\$w b \$\$x 02

863 40 **\$\$8 1.1** \$\$a 1-11 \$\$i 1993-2003

Pattern change—active pattern

853 20 **\$\$8 2** \$\$a v. \$\$b no. \$\$u 12 \$\$v r \$\$i
(year) \$\$j (month) \$\$w m \$\$x 01

853 X- **\$\$8 2 \$\$9 1** \$\$a 12 \$\$b 1 \$\$i 2004 \$\$j 01
\$\$3 20040101

863 40 **\$\$8 2.1** \$\$a 12 \$\$i 2004

86X subfields \$\$a-\$\$h

- Enumeration fields

- Code according to the pattern data in the 85X field; you can omit subfields if you have complete data, e.g.

853:20:\$\$8 1 \$\$a v. \$\$b no. \$\$u 4 \$\$v r \$\$i (year) \$\$j (month)
\$\$w q \$\$x 01

863:40:\$\$8 1.1 \$\$a 1-10 \$\$i 1994-2003

- Assumption is that all holdings are complete based on 863 first indicator value (i.e., you are reporting detailed holdings); you do not have to itemize each issue held.
- If you have gaps, then you would itemize based on your actual holdings.
- If volumes are combined, e.g. volumes 1 and 2 are bound together, they are indicated by a slash, e.g. 1/2.

86X subfields \$\$a-\$\$h--examples

Library holds v.2-8 complete; v.9:no.1

853:00:\$\$8 1 \$\$a v. \$\$b no. \$\$i (year) \$\$j (month)

863:40:\$\$8 1.1 \$\$a 2-8 \$\$i 1992-1998

863:41:\$\$8 1.2 \$\$a 9 \$\$b 1 \$\$i 1999 \$\$j 01

Library holds v.2-9 complete; every 2 volumes bound together

853:00:\$\$8 1 \$\$a v. \$\$b no. \$\$i (year) \$\$j (month)

863:40:\$\$8 1.1 \$\$a 2/3-8/9 \$\$i 1992/1993-1998/1999

86X subfields \$\$i-\$\$n

- Chronology fields
- Code according to the pattern data in the 85X field; you can omit subfields if you have complete data, e.g.

853:20:\$\$8 1 \$\$a v. \$\$b no. \$\$u 4 \$\$v r \$\$i (year)
\$\$j (month) \$\$w q \$\$x 01

863:40:\$\$8 1.1 \$\$a 1-10 \$\$i 1994-2003

- Assumption is that all holdings are complete based on 863 first indicator value (i.e., you are reporting detailed holdings); you do not have to itemize each issue held.
- If you have gaps, then you would itemize based on your actual holdings.

86X subfields \$\$i-\$\$n-examples

Library holds v.2-8, 1992-1998 complete; v.9:no.1
(1999:Jan.)

853:00:\$\$8 1 \$\$a v. \$\$b no. \$\$i (year) \$\$j (month)

863:40:\$\$8 1.1 \$\$a 2-8 \$\$i 1992-1998

863:41:\$\$8 1.2 \$\$a 9 \$\$b 1 \$\$i 1999 \$\$j 01

Library holds v.2-9 (1992-1999) complete; every 2
volumes bound together

853:00:\$\$8 1 \$\$a v. \$\$b no. \$\$i (year) \$\$j (month)

863:40:\$\$8 1.1 \$\$a 2/3-8/9 \$\$i 1992/1993-1998/1999

86X subfield \$\$n

- Contains the Gregorian-calendar conversion of a year that is recorded in a non-Gregorian scheme in a chronology-level subfield (\$\$i-\$\$m).
- Does not have an 853 pattern counterpart
- Currently there is no place for this subfield on Tab 5 of the Item Form; staff has to add this data manually to an item.
- Cannot be used in prediction (no pattern data)

86X subfield \$\$w-Gap Indicator

- **Contains a one-character code that indicates whether a break in enumeration and chronology contained in multiple 86X fields is due to either published issue(s) lacking in the collection or to unpublished parts or a lack of continuity in the enumeration and chronology of the parts.**
- **In other words, are the gaps published gaps that are not part of your collection or are the gaps due to the fact that the part(s) were not published?**

86X subfield \$\$w-Gap Indicator (cont.)

- Subfield \$\$w is applied to the enumeration and chronology field that represents the holdings that immediately precedes the break.
- Using subfield \$\$w requires a new 86X field in which the enumeration and chronology following the break is recorded.
- At Harvard, particularly with serials, we usually create two 86X fields to demonstrate a break so that the holdings information is explicit to the public.

86X subfield \$\$w example

Journal of Aleph Examples

**Pattern: Published in volumes and numbers, quarterly,
calendar change in January**

Library Holdings:

v.1-10 (1988-1997)

v.11:nos.2-3 (1998:April-July)

v.12:no.4 (1999:Oct.)

v.13-16 (2000-2003)

v.17:no.1 never published

v.17:nos.2-4 (2004:April-Oct.)

The holdings would look like this:

86X subfield \$\$w example (cont.)

853:20:\$\$8 1 \$\$a v. \$\$b no. \$\$u 4 \$\$v r \$\$i
(year) \$\$j (month) \$\$w q \$\$x 01

863:40:\$\$8 1.1 \$\$a 1-10 \$\$i 1988-1997 \$\$w g

863:41:\$\$8 1.2 \$\$a 11 \$\$b 2-3 \$\$i 1998 \$\$j 04-07
\$\$w g

863:41:\$\$8 1.3 \$\$a 12 \$\$b 4 \$\$i 1999 \$\$j 10

863:40:\$\$8 1.4 \$\$a 13-16 \$\$i 2000-2003 \$\$w n

863:41:\$\$8 1.5 \$\$a 17 \$\$b 2-4 \$\$i 2004 \$\$j 04-10

86X subfield \$\$w example – Public Display

v.1-10 (1988-1997),
v.11:no.2-3 (1998:Apr.-July),
v.12:no.4 (1999:Oct.)
v.13-16 (2000-2003);
v.17:no.2-4 (2004:Apr.-Oct.)

- Published gaps display with a **comma**
- Non-published gaps display with a **semicolon**
- No break between v.12:no.4 and v. 13-16. Separate line used to explicitly state holding for the public and avoids confusion about the holdings listed.

Other 86X Subfields

- **\$\$o** – Title of piece (used in 864-865 only)
- **\$\$p** – Piece designation (not used at Harvard-Item Record contains this information)
- **\$\$q** – Piece physical condition (not used at Harvard?)
- **\$\$s** – Copyright fee code (used with Bib LDR byte 018—not used at Harvard)
- **\$\$t** – Copy number
- **\$\$x** – Nonpublic note
- **\$\$z** – Public note

86X subfield \$\$x non-public note

- Generated for use to convey information useful for staff, i.e. \$\$x OCLC export. Free text field.
- SSSSC also recommends:
 - Use \$\$x for unnumbered issues in numbered volumes.
 - Use \$\$x to be used for volumes published out of order or which lacks a publication date. Use the public note (\$\$z) if this information is deemed useful to the public.
 - Use \$\$x to identify series and subseries designations. Use \$\$z if this information is deemed useful to the public.
- See sections 1.7 and 1.8 in Enumeration and Chronology Examples, Preview Document.

86X subfield \$\$x non-public note- example

A serial is published with volume numbering. Issue numbering appears only on some issues; each issue identified by year and season. When the issue number is not present, the 863 \$\$b is not present and the absence of numbering may be noted in \$\$x:

853:03:\$\$8 1 \$\$a v. \$\$b no. \$\$i (year) \$\$j (season)

863:41:\$\$8 1.1 \$\$a 1 \$\$b 1 \$\$i 1987 \$\$j 21

863:41:\$\$8 1.2 \$\$a 1 \$\$i 1987 \$\$j 22

\$\$x issue number missing

863:41: \$\$8 1.3 \$\$a 1 \$\$i 1987 \$\$j 23

\$\$x issue number missing

863:41:\$\$8 1.4 \$\$a 1 \$\$b 4 \$\$i 1987 \$\$j 24

86X subfield \$\$z—public note

- **Conveys information about specific holdings to the public. Free text field.**
- **SSSSC also recommends:**
 - **Use \$\$z to convey issues published out of order or that appears in separate editions or lack any publication or coverage date if this information is useful to the public**
 - **\$\$z can also be used to identify series and subseries information if this information is useful to the public.**
- **See sections 1.7 and 1.8 in Enumeration and Chronology Examples, Preview document.**
- **Most frequent example of this occur with monoseries.**

86X subfield \$\$z example

A monoseries where some volumes contain no publishing year:

853:03:\$\$8 1 \$\$a v. \$\$i (year)

863:40:\$\$8 1.1 \$\$a 128-169 \$\$z 135 published
1982, 142 published 1971, 149, published
1973.

- Again, add as \$\$z only if the information is useful to the public; otherwise, add as \$\$x.

Serial Pattern Changes

- When a publication pattern changes with a serial title, a new 853 field is created to indicate the new pattern.
- The value of subfield \$\$8 increments by 1, and this becomes the new active pattern.
- A new 863 field is created and coded with holdings of the new pattern, and the subfield \$\$8 value also increments by 1. The sequence number (followed by the decimal) restarts.
- A new 85xX field that contains the new \$\$8 value is created and populated with the appropriate data for prediction, if applicable.
- Harvard recommends deleting the old 85xX field, in order to avoid confusion.

Serial Pattern Change--example

853 20 **\$\$\$8 1** \$\$a v. \$\$b no. \$\$u 6 \$\$v 4 \$\$i
(year) \$\$j (month) \$\$w b \$\$x 02

863 40 **\$\$\$8 1.1** \$\$a 1-11 \$\$i 1993-2003

Pattern change—active pattern

853 20 **\$\$\$8 2** \$\$a v. \$\$b no. \$\$u 12 \$\$v r \$\$i
(year) \$\$j (month) \$\$w m \$\$x 01

853 X- **\$\$\$8 2 \$\$\$9 1** \$\$a 12 \$\$b 1 \$\$i 2004 \$\$j 01
\$\$\$3 20040101

863 40 **\$\$\$8 2.1** \$\$a 12 \$\$i 2004

Supplements—854/864 field

- The 854 shares the same indicator values and subfields as the 853.
- The 854 can contain subfield **\$\$o**, which indicates the type of supplement that is being described in the pattern.
- The 864 can also contain subfield **\$\$o**, which indicates the title of the supplement, if the supplement has a distinct title.
- There can also be multiple instances of the 854 in the same holdings record, differentiating different types of supplements.
- Each distinct 854 pattern can be active, which differs from the 853 field, which can only have one active pattern per holdings record.

Supplement example

Information from Supplement: Designation: year

854:20:\$8 1 \$a (year) \$o Annual bibliography \$w a

864:41:\$8 1.1 \$a 1999 \$o British and Irish archeological bibliography.

- Because this supplement has its own title, a subfield \$o is used to indicate the *type* of supplement. The 864 will also have a subfield \$o with the *actual title* of the supplement.
- Since all of the publication pattern information is present, the holdings can be compressed and expanded, and the 1st indicator has the value of 2.
- Since all publication patterns fields are present, Aleph can predict this independently of the 853 pattern (add 854 X field).

Supplements—Multiple Active Supplements example

Information from Supplement 1:

- **Captions: volume, supplement no., year, month/month**
- **Quarterly supplement, issue numbering restarts, calendar change in January/March issue**

Information from Supplement 2:

- **Designation: Year (Annual)**

Supplements—Multiple Active Supplements example

Supplement 1:

854:20:\$8 1 \$a v. \$b suppl.no. \$u 4 \$v r \$i (year) \$j (month)
\$w q \$x 03

864:41:\$8 1.1 \$a 1 \$b 1 \$i 1999 \$j 01/03 \$o OAG flight guide
supplement. Worldwide.

Supplement 2

854:20:\$8 2 \$a (year) \$o Annual guide \$w a

864:41:\$8 2.1 \$a 1999 \$o OAG desktop guide. Worldwide ed.

- Separate field linking numbers (subfield 8) is used to record publication pattern and receipt of each title.
- Aleph can predict both of these supplements independent of each other and of the 853 field (because of the subfield \$8 values).

Indexes-855/865 fields

- The 855 field contains no indicator values.
- The contents of an 865 Enumeration and Chronology field for an index may not be compressed or expanded by computer algorithm because an ambiguous holdings string could result.
- For example, v.1/5, 1936-1940 and v.6/10, 1936/1945 are not the same as v.1/10, 1936/1945.
- This means that the only second indicator value allowed for the 865 is 1.
- The 855 can contain subfield \$\$o, which indicates the type of index that is being described in the pattern.

Indexes-855/865 fields (cont.)

- The 865 can also contain subfield \$\$o, which indicates the title of the index, if the supplement has a distinct title.**
- There can also be multiple instances of the 855 in the same holdings record, differentiating different types of indexes.**
- Each distinct 855 pattern can be active, which differs from the 853 field, which can only have one active pattern per holdings record.**

Indexes-855/865 fields example

**855: ^^: \$\$8 1 \$\$a (year) \$\$o alphabetical index
\$\$w a**

865:41: \$\$8 1.1 \$\$a 2003 \$\$o Author index

855: ^^: \$\$8 2 \$\$a (year) \$\$w a

865:41: \$\$8 2.1 \$\$a 2003 \$\$o Subject index

- Each index coded separately.
- Aleph can predict each index independently based on \$\$8 values.
- To predict, and an 855 X field.

Multiple Volume Monograph Example

- 4-volume set will be added to holdings.
- LDR and 008 fields will be updated.
- 852 field added.
- Library holds v.1-2 and v.4.
- Gap will be recorded.
- A CD-ROM supplement without captions will be added.

Multiple Volume Monographs

- **The same fields used for serial holdings can also be applied to multiple volume monographs.**
- **Many of the fields that are used in serial holdings, however, are not required in multiple volume works.**
- **We will review some of the differences.**

Multiple Volume Monographs LDR field

- The value used for multiple volume monographs in the LDR byte 06, Type of Record, is v for multiple volume work.
- The value used for encoding level, LDR byte 17, should be 4 for detailed holdings.

Multiple Volume Monographs 008 field

- Bytes 8-11 (intent to cancel) are optional.
- You should leave the language field blank-- there is no expansion of caption data based on the 853 pattern fields.

Multiple Volume Monographs 852 Field

- **Second indicator, value 1 will be added to 852 field to designate that this title is being shelved according to primary enumeration.**

Multiple Volume Monographs

853 first indicator value

- Expansion and compression are concepts that are less useful in multiple volume works.
- For example, if you own a two-volume monograph that is designated v.1-2, no matter how hard a computer algorithm tries, it will always expand and compress these holdings as v.1-2.
- Therefore, you can code the first indicator value of a multiple volume work in the 853 field as 2, can compress and expand, even if you do not have all of the publication pattern subfields in the 853.

Multiple Volume Monographs

863 second indicator value

- Expansion and compression are concepts that are less useful in multiple volume works.
- For example, if you own v.1 of a multiple volume work, no matter how hard a computer algorithm tries, it will always expand and compress these holdings as v.1. The holding is “itemized” as well as “compressed”.
- Therefore, you can code the second indicator value of a single volume of a multiple volume work in the 863 field as 1, meaning that it is a single itemized piece.

Multiple Volume Monographs- example

- Library owns v.1-2 and v.4 of a multiple volume work

853:20:\$\$8 1 \$\$a v.

863:40:\$\$8 1.1 \$\$a 1-2 \$\$w g

863:41:\$\$8 1.2 \$\$a 4

Public display:

v.1-2,

v.4

Pieces without captions

- **If you have a piece that you wish to record that do not contain captions or any type of enumeration, you can create a caption subfield in the 853 field as a placeholder for the piece.**
- **The caption will be contained in a parenthesis, meaning that the caption should not display to the public.**

Pieces without captions-example

- A CD-ROM supplement has arrived with our multiple volume work.
- The CD-ROM does not contain any enumeration or chronology captions, it is simply a CD-ROM

854:03:\$8 1 \$a (unit)

864:41:\$8 1.1 \$a 1 CD-ROM

Public display:

1 CD-ROM

Note that the word “unit” is currently displaying in the public catalog-public display problem reported to Ex Libris.

866-868 fields--textual holdings

- An 866-868 field contains a textual description which may include both the captions and enumeration/chronology for the holdings of a bibliographic item in the collection of the reporting organization.
- They may be used **instead of** 853-855 and 863-865 fields, but cannot be used for prediction.
- They can also be used **in addition to** 853-855 and 863-865 fields.

866-868 fields- First Indicator Value

Field encoding level

- ^ [blank] – No information provided
- 3 – Holdings level 3
- 4 – Holdings level 4
- 5 – Holdings level 5

866-868 fields- Second Indicator Value

Type of notation

- **0 – Non-standard**
- **1 – ANSI/NISO Z39.71 or ISO 10324 (the current standard)**
- **2 – ANSI Z39.42 (the 1980, superseded standard)**

866-868 Subfield Values

- **\$\$8 – Field Link and Sequence Number**
- **\$\$a – Textual holdings**
- **\$\$x – Non-public note**
- **\$\$z – Public note**

866-868 Examples

866:31: \$\$8 0 \$\$a 1-10 (1992-2001) \$\$z some missing

868:41:\$\$8 0 \$\$a v.1/10 (1992/2001)

- **866 first indicator value 3 used for summary holdings (Level 3 encoding)**
- **866 and 868 second indicator value 1 used to express holdings display as ANSI/NISO Z39.71 standard.**

866-868 fields--textual holdings Harvard Policy

- Harvard policy discourages the use of 866-868 fields
- The only recommended use for these fields is when you have such complex holdings in the 853-855 and 863-865 fields that you wish an alternative display of holdings that is less confusing for the patron—see HRHC section 1.3.5.
- Aleph will generate the 866 display instead of the 853-863 field display when it encounters both in a holdings record. This is incorrect. Aleph should base display on the 2nd indicator values of the 863.

866-868 fields--textual holdings-- example

853:20:\$\$8 1 \$\$a v. \$\$b no. \$\$u 4 \$\$v r \$\$c pt.
\$\$u 2 \$\$v r \$\$d sect. \$\$u 2 \$\$v r \$\$i (year) \$\$j
(month) \$\$k (day) \$\$l (week)

863:40:\$\$8 1.1 \$\$a 12 \$\$b 2 \$\$c 1 \$\$d 1
\$\$i 2004 \$\$j 01 \$\$k 06 \$\$l 2 \$\$w g

863:41:\$\$8 1.2 \$\$a 12 \$\$b 4 \$\$c 2 \$\$d 1
\$\$i 2004 \$\$j 02 \$\$k 02 \$\$l 5

866:40:\$\$8 0 \$\$a Library holds v.12, no.2, pt.1,
section 1, week 2 and no.4, pt.2, section 1, week
5.

■ **Public display:**

**Library holds v.12, no.2, pt.1, section 1, week 2
and no.4, pt.2, section 1, week 5.**

■ **866 will display instead of 853/863 pairs.**

■ **See Appendix A of MFHD for more
information on how this should work.**

New Aleph Holdings Functionality in Version 16.02

- Aleph has added new holdings feature in version 16.02.**
- The system will be able to generate an 863 field or an 866 field based on the items checked in during the year.**
- In order to generate the field, you must have items; Aleph cannot generate a field simply based on the publication pattern subfields and indicator values in the 85X.**

New Aleph Holdings Functionality in Version 16.02

- **System will be able to identify gaps in holdings and create appropriate \$\$w value.**
- **The new program is expand_doc_hld_stmt.**
- **New program is documented in Aleph Version 16.02 Web Guide, Section 9.2 (part of Indexing section).**
- **Your 85X fields and item record must contain a copy ID field.**
- **Currently, this only works with predicted titles.**
- **Functionality can be applied for unbound and bound volumes.**

Where to Get More Information About the MFHD

- **MARC 21 Format for Holdings Data-contact
LC Cataloging Distribution Service**
- **Concise version at:
<http://lcweb.loc.gov/marc/holdings.html>**
- **ANSI/NISO Z39.71 Standard--download for
free at
<http://www.niso.org/standard/index.html>**
- **CONSER documentation:
<http://www.loc.gov/acq/conser/>**

Where to Get More Information About the MFHD (cont.)

CONSER Publication Pattern Initiative

- <http://www.loc.gov/acq/conser/patthold.html>
- Numerous pattern examples available here.
- Content has been revised and new examples can be found on site.
- Shameless plug: I authored the 2004 Revisions

Questions?

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