

UNIVERSITY OF MINNESOTA

Aleph Cataloging Manual

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Searching and Importing Cataloging Records

Searching Bibliographic Records

Searching in the GUI OPAC **(NOT YET AVAILABLE)**

To be written by Betsy Friesen.

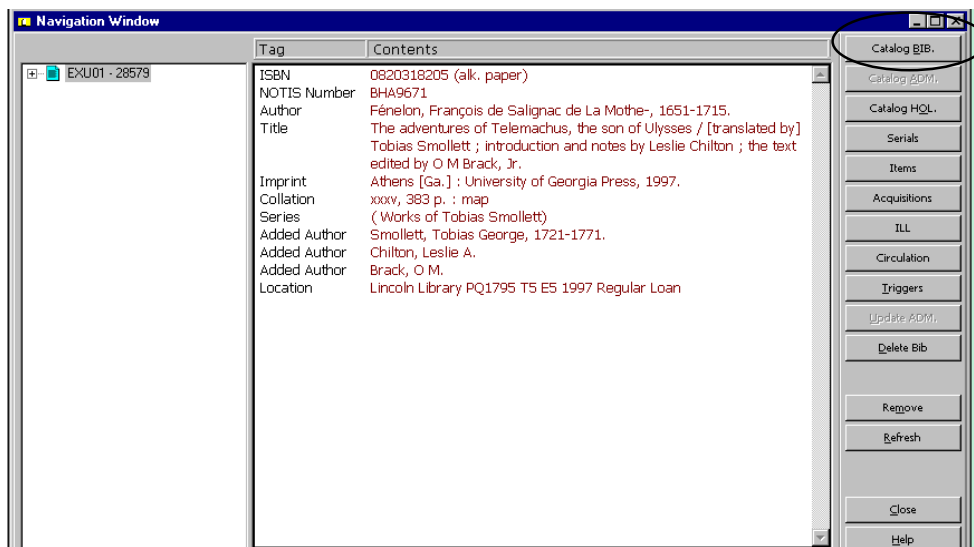
Moving the Record Into Cataloging

While viewing any of the Full formats of the record in the GUI OPAC (Staff Search), click the **Push to Catalog** icon at the top of the screen.



This will automatically open the Cataloging module, if it is not already open. Make sure you are connected to the correct database. A copy of the record will be made on your local drive and will be opened on your screen for you to edit.

Alternatively, while viewing the Full record, you may click the **Add to Nav. map** button; when the **Navigation Window** is displayed, click the **Catalog BIB** button.



Searching in the Cataloging Module

Just as in the GUI OPAC (Staff Search), you can do a **Find** (keyword) search or a **Scan** (browse) search in the Cataloging module. However, there are limitations to the searching options within the module that may make searching in the GUI a better choice in some cases. Searching bibliographic utilities (OCLC and RLIN) is only available in the GUI; this capability is not available in any other module.

In the Cataloging module, both types of searches are limited to eight indexes. (Refer to the “Cataloging Module Indexes” listing in “Aleph Codes and Lists” for the specific indexes.) If other search indexes or options are needed, go to the GUI and push the record to Cataloging.

Also, the search within the Cataloging module does not allow you to save or manipulate your search results as you can in the GUI.

Find (Keyword) Search

The screenshot shows a dialog box titled "Search for a Record". At the top, there is a "Library:" dropdown menu with "UMN01 - UM Bib (3/28/2002)" selected. To the right of this is a "Search" button. Below the library dropdown are eight text input fields, each with a label to its left: "Aleph Bib ID", "LC Control Number (010)", "ISBN (020 a,z 776 z)", "ISSN (022 a,y,z, 776 x)", "Other Sys Ctrl No (035)", "Title", "Author", and "Former System ID". To the right of these fields are "Cancel" and "Help" buttons.

Scan (Browse) Search

The screenshot shows a dialog box titled "Scan for a Record". At the top, there is a "Library:" dropdown menu with "UMN01 - UM Bib (3/28/2002)" selected. To the right of this is a "Search" button. Below the library dropdown is a "Scan Code:" dropdown menu with "AUT - Authors" selected. To the right of this is a "Scan Text:" text input field. Below the scan code dropdown is a list box containing the following items: "AUT - Authors", "TTL - Titles", "LCNLM - UM LC/NLM Call N", "ACCNO - UM Textual Call N", "SUDOC - UM SuDoc Call N", "DEWEY - UM Dewey Call N", "SHELF - UM Shelflist", and "SYS - Aleph Bib ID". To the right of the list box are "Cancel" and "Help" buttons.

Z39.50 OCLC and RLIN Searching

Z39.50 Indexes and Search Tips

Connecting to RLIN or OCLC

In the GUI OPAC, choose *File, Connect to*, then *RLIN* or *OCLC*.

Reminders

- Network traffic is lighter early in the day, so response time is better then.
- Currently, you can use only the FIND command (the binocular icon or *Search, Find* from the pulldown menu at the top of the screen) to search OCLC or RLIN. We have blanked out the BROWSE pulldown to remind you that Z39.50 browse search results cannot be used for cataloging. We are working with Ex Libris to correct this problem.
- You *can* do standard number, keyword, and left-anchored phrase searches from the FIND pulldown. The descriptions of search types distinguish keyword and left anchored phrase searches.
- Some searches work only on OCLC, and some work only on RLIN. We can define only one pulldown menu for the searches, so we have noted which searches work with which database. See also the comments in the list of available searches below.
- Phrase searches are automatically right truncated. Keyword searches are not, nor can they be.
- You can choose a search type from the pulldown menu or you can click on the CCL tab to use command line searching. Relevant index names for command line searching are listed under "[Index Names for Command Line Searching](#)" below.

Available Searches

Search	Comments
All Fields	OCLC only. Use only if you're truly desperate.
Author Keywords	
Author Phrase	Recall high and precision low in RLIN.
Personal Name Phrase	Recall high and precision low in RLIN.
Corporate Name Phrase	Includes conference names in RLIN.
Conference Name Phrase	Includes corporate names in RLIN.
Title Keywords	

Search	Comments
Title Phrase	
Series Title Phrase	
ISBN	
ISSN	
LCCN	
Music Publisher Number (028)	
OCLC Number	(OCLC only)
RLIN Number	(RLIN only)

Order of Precedence for Searches

1. If you have a standard number, i.e., ISBN, ISSN, LCCN, or Music Publisher Number, search using that number. These are always the most efficient searches.
2. If you have a reliable title citation, use a title phrase search. Or use a series title phrase search, if you suspect the title you have is for the series, rather than the individual volume in the series.

Use most or all of the title to avoid the "too many truncated words" error message on OCLC.

3. If you do not have a reliable title citation or a title phrase search yields no results, but you do have a reliable author citation, use an author phrase search.
4. If all else fails, resort to a title keyword search or an author keyword search. Use the most distinctive words you have available to search.

Index Names for Command Line Searching

WANY	All Fields (OCLC only)	SETTL	Series Phrase
WAUT	Author Keywords	ISBN	ISBN
AUT	Author Phrase	ISSN	ISSN
PERS	Personal Name Phrase	LCCN	LCCN
CORP	Corporate Name Phrase	MUS	Music Publisher Number (028)
CONF	Conference Name Phrase	OCLC	OCLC Number (OCLC only)
WTTL	Title Keywords	RLIN	RLIN Number (RLIN only)
TTL	Title Phrase		

Limiting by Format

Yes, you can limit searches by bibliographic format. You need to use command line searching to do so, and you must combine this limit with another search.

Here's how: The index name for format is *WFMT* for either RLIN or OCLC.

RLIN

The index value to use with the *WFMT* limit is the leader 06 or 06/07 value(s) for the format.

For all formats except serials, you only need to use a leader/06 value:

a	Language material
c	Notated music
d	Manuscript notated music
e	Cartographic material
f	Manuscript cartographic material
g	Projected medium
i	Nonmusical sound recording
j	Musical sound recording
k	Two-dimensional nonprojectable graphic
m	Computer file
o	Kit
p	Mixed material
r	Three-dimensional artifact or naturally occurring object
t	Manuscript language material

For serials, use one of the values above plus s, e.g., *as*, *es*.



Example

TTL=gone with the wind and WFMT=j
[for records with a title field that begins "gone with the wind" that are musical sound recordings]

WTTL=aardvark and WFMT=g
[for records with the word "aardvark" in a title field that are videos, etc.]

TTL=physics letters and WFMT=as
[for records with a title field that begins "physics letters" that are serials]

OCLC

The index value is the OCLC format code:

bks	books	ser	serials
com	computer files	sco	scores
map	maps	rec	sound recordings
mix	mixed materials	vis	visual materials



Example

TTL=gone with the wind and WFMT=rec
[for records with a title field that begins "gone with the wind" that are sound recordings]

WTTL=aardvark and WFMT=vis
[for records with the word "aardvark" in a title field that are videos, etc.]

TTL=physics letters and WFMT=ser
[for records with a title field that begins "physics letters" that are serials]

RLIN Record Clusters

The Z39.50 interface does not display records in clusters as we were accustomed to seeing when searching RLIN directly. The Z39.50 algorithm chooses a record determined to be the most complete or authoritative. For example, a full-level LC record, if available, will usually be retrieved as the "master" record. There is not an option to display records in clusters and choose according to CATCAT values.

However, the first record retrieved will list all the other RLIN records for that title in a sequence of 952 fields. These will be visible at the bottom of the record if you choose the MARC Tags tab of the full record display. Subfield a contains the RLIN record number, and subfield b indicates the institution with which that record is associated.

To view one of these alternative records, copy down the RLIN record number, and do a RLIN number search. Any subsequent record retrieved will not contain the listing of 952's for other institutions, so you may want to copy down all record numbers you wish to search before closing the full record display of the master record.

Importing and Overlaying Bibliographic Records

Importing Bibliographic Records

What Is Z39.50?

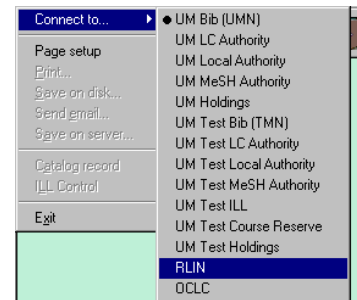
Z39.50 is a protocol that allows a client, or local computer, to search a remote computer using a single search interface. Using local search commands, through Z39.50 the search is translated so that it is understood by the remote machine. Results are sent back to the user and displayed in a way the local computer can understand. This operation is seamless for the user.

The searching of OCLC, RLIN and other bibliographic databases, and importing records from those databases in Aleph, uses the Z39.50 protocol. This means that rather than logging into another catalog, executing a search, and exporting the record into MNCAT, you will search the utilities within the GUI OPAC. The records will be brought into your client, and then pushed into the cataloging module for editing. Once the record has been edited, it is saved to the Aleph server.

Connecting to the Z39.50 Databases

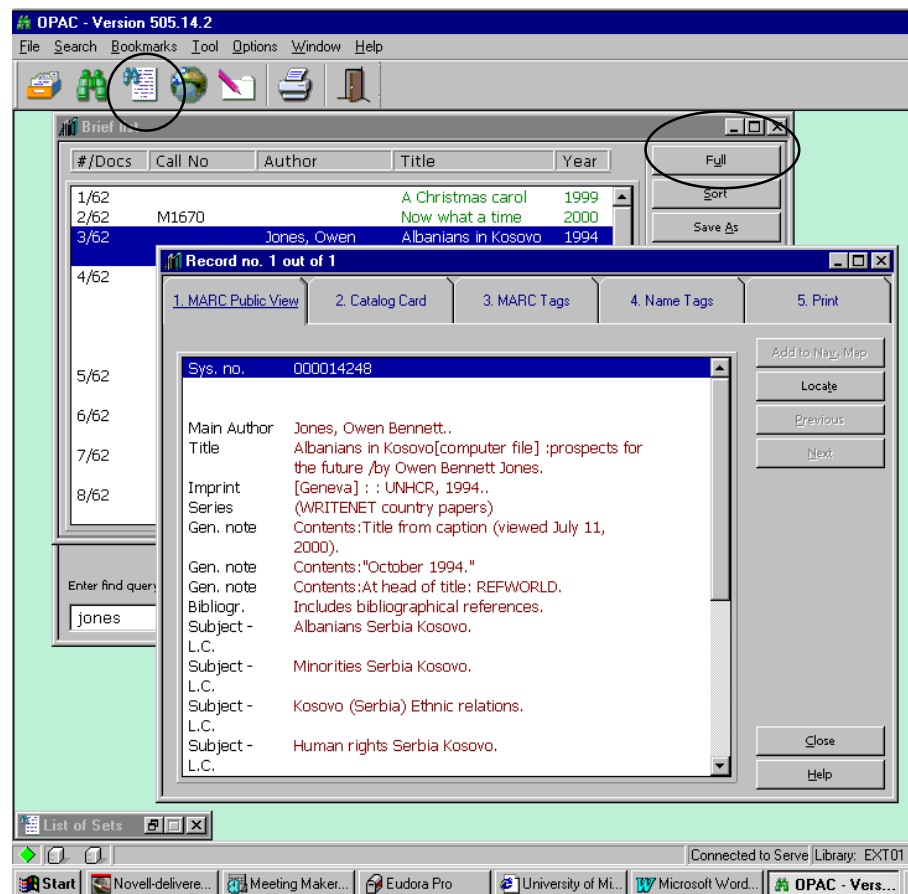
The Z39.50 connections operate as separate Aleph libraries (databases). Use the **Connect to** from the GUI OPAC status bar or File menu. Remember, these databases will only be available in the GUI OPAC, and not the individual modules such as Cataloging or Acquisitions.

Once connected, you will have search options similar to those for searching the local bib database. However, some of the searching options will be only applicable to specific databases.



Importing Records

From your results list, select the record you wish to import by bringing up a full view of the record. Push the record to cataloging by clicking the **Catalog Record** icon on the module toolbar, or selecting the option from the File menu.



This will open the cataloging module, if it is not already open. You will then be asked to select the format for the new bibliographic record that will open on your client. Highlight the appropriate format and click **OK**. This will open the imported record as a NEW* local bibliographic record on your client.

Saving Imported Records to the Server

The current importing configuration requires several steps before an imported record can be saved to the server:

1. From an imported local record, issue the **Duplicate record** command from the File menu, or press **Ctrl-N**.
2. Select the library where the record is to reside and click **OK**.
3. (Records imported from OCLC or RLIN only). From the Edit menu, select **Fix record**. From the menu, choose **Fix new RLIN records** or **Fix new OCLC records**, depending on which database the record was imported from. Click **OK**.
4. Make any other needed editorial changes.
5. Save to the server.

Overlaying Bibliographic Records

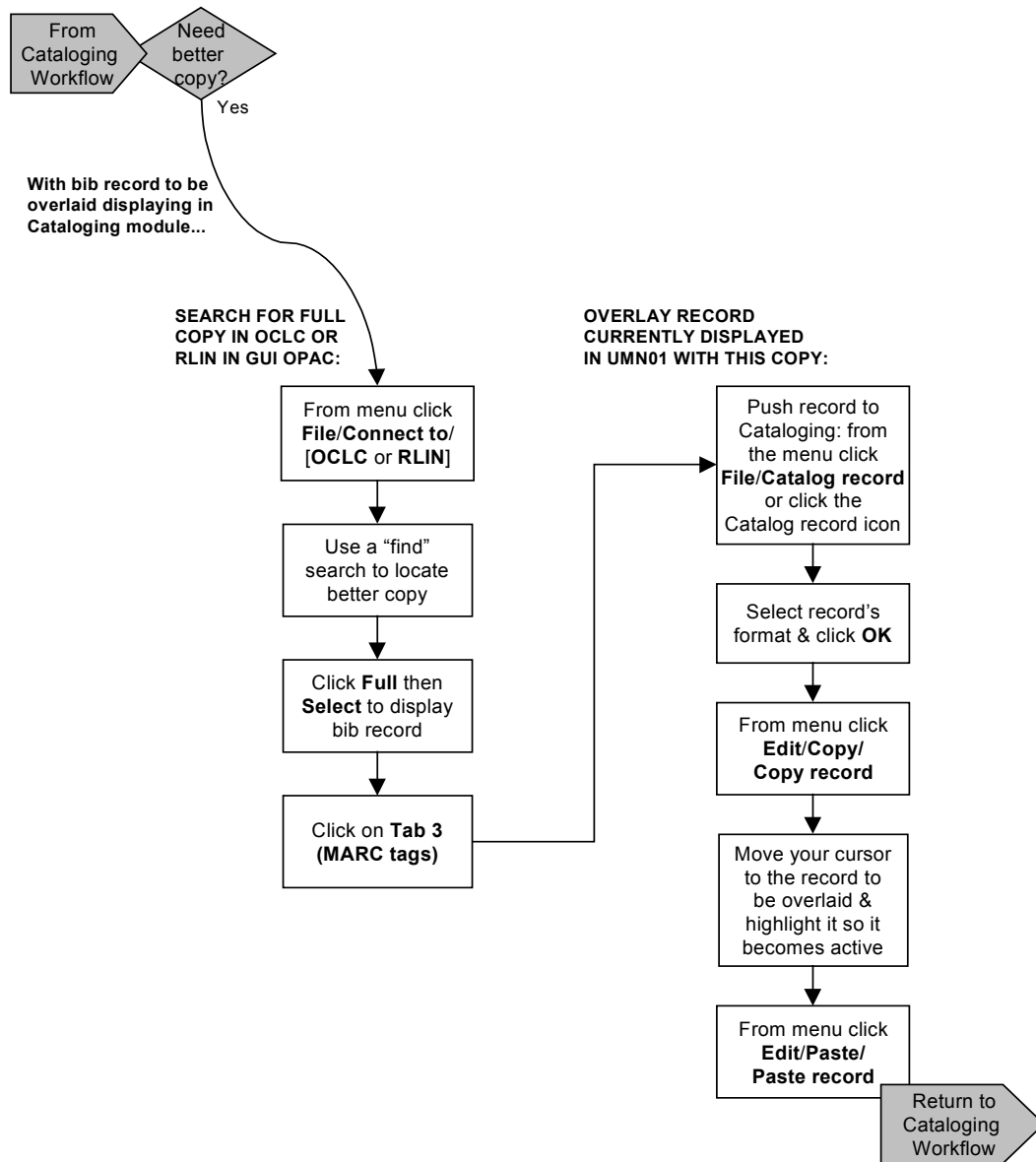
Bibliographic overlay is accomplished by using the Copy Record/Paste Record functions in the cataloging module.

To overlay a minimal record in our database with a fuller record from OCLC or RLIN:

1. Open the record to be overlaid in the cataloging module.
2. In the GUI OPAC, search for full copy in OCLC or RLIN.
 - a. ***File > Connect to > OCLC***
OR
File > Connect to > RLIN
 - b. Perform a find search.
 - c. Open a full view of the record; choose tab 3 (MARC tags) to view the MARC record.
3. To select the record for overlay, push to cataloging by clicking the Catalog record icon from the OPAC toolbar (or choose **Catalog record** from the file menu). The record will be pushed to the cataloging module.
4. Choose record's format, and click **OK**.
5. Go to the Edit menu, and choose **Copy > Copy record** (or **Ctrl-D**).
6. Move your cursor to the record to be overlaid (it should be directly behind the OCLC/RLIN record you just copied) and highlight it so it becomes active.
7. From the Edit menu, choose **Paste > Paste record** (or **Alt-D**). The entire contents of the OCLC/RLIN record will overlay the record.
8. Be sure that you have overlaid the correct record, and that there are no notes or other fields that need to be added back into the record.
9. Perform any necessary editing, and save the overlaid record to the server. The system number will remain the same, including the connections to orders, invoices, and other record types.
10. The OCLC/RLIN record, which exists as a NEW local record in the EXT01 library, can simply be closed, and deleted from your local drive if you wish.

Bibliographic Overlay Workflow

Overlay a Bibliographic Record



Last updated 1/13/03

Searching Authority Records

In Aleph, authority records exist in databases separate from the bibliographic database. They can be viewed in the bibliographic (01) databases, but you must switch to an authority library (1X) to edit them. (See the “Authority Work” section of this manual for details on [using and updating the authority file](#) and [authority work for copy cataloging](#).)

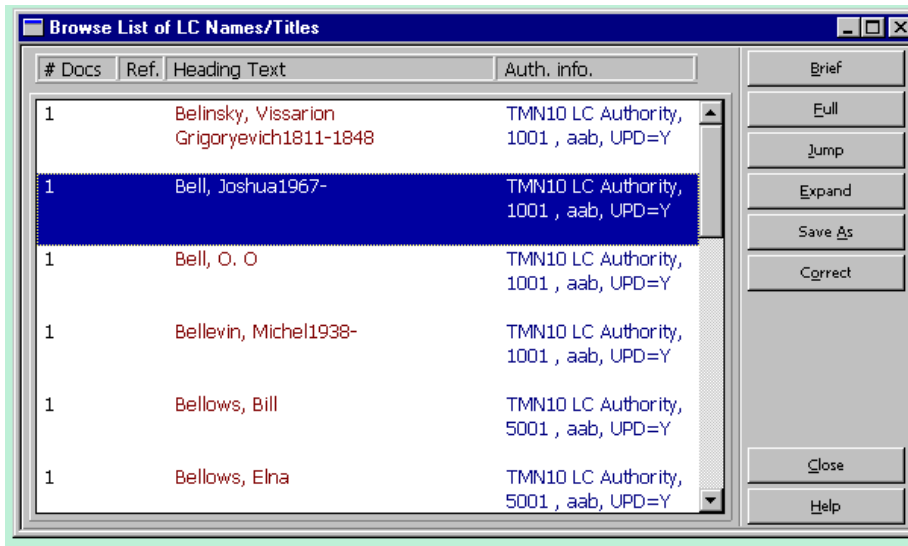
- You can search authority files directly in the [GUI OPAC](#) or [Cataloging module](#).
- To check a heading in the bib record on your screen, [search field headings from the bibliographic record](#) (indirect search) in the Cataloging module.

Authority Searching in the GUI OPAC

Searching Authority Files Directly

In GUI OPAC, from the **File** menu, choose **Connect to** and select one of the authority libraries. For authority searching, the **All Headings** browse index is the most inclusive index and usually gives efficient results. However, you can use any appropriate GUI OPAC browse or find search option. Keyword indexes of headings and references can be searched if the initial entry element of a heading is unclear.

From the authority information on the results list, you can see the authority library where the heading was found, the field tag where the search heading was found (1XX, 4XX, or 5XX), the values for Heading Use from the 008 field, and whether the authority record is set for automatic updating.



Click **Full** to get a full view of the authority record. Click to the **MARC Tags** tab for the best display. From the full view, you can push the record to cataloging for editing.

Searching Authority Files Indirectly

The GUI OPAC can also be used to search indirectly for authorities. When Aleph has matched a bib heading to an authority, it displays brief information about the authority tag in the right column of the index. The **Expand** button can be used with a highlighted line in the GUI OPAC to display a very abbreviated version of the authority record.

For a good display of the authority record, either search the authority file directly in either GUI OPAC or Cataloging module, or [search field headings from the bibliographic record](#) in the Cataloging module.

Authority Searching in the Cataloging Module

Searching Authority Files Directly

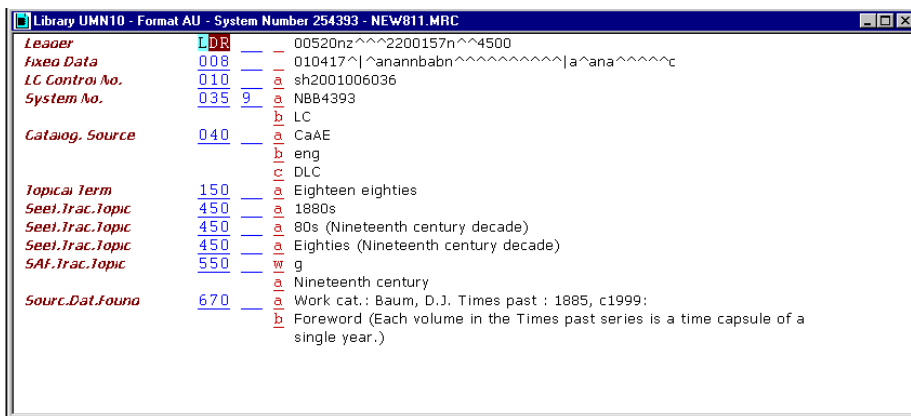
In Cataloging module, from the **File** menu, choose **Connect to** and select one of the authority libraries.

For authority searching, the **LCGEN (General)** browse index is the most inclusive index and usually gives efficient results. However, you can perform searches using other **Browse** (Scan) or **Find** options. Keyword indexes of headings and references can be searched if the initial entry element of a heading is unclear. Search options are different than what's available for searching the bibliographic database. (Refer to the list of authority indexes in the Cataloging module in "Aleph Codes and Lists.")

Perform a **scan** or **find** search:



From the results list, click **Full**, and then click **Select** to open the authority record for editing.



Authority records can be edited and saved using the same methods as for [saving bibliographic records](#).

Search Field Headings From Bib Record (Indirect Search)

When in the Cataloging module, you can check a heading in the bibliographic record currently on your screen:

1. Place the cursor on the heading.
2. From the **Search** menu, click **Search field headings of another library** (or press **CTRL F3**).
3. Select the authority file to be searched.

Aleph searches the designated heading in the selected file and reports the resulting index.

4. From the index display, you can:
 - Use the **Expand** button for a fuller view of each authority entry.
 - From the Expand display, use the **Select** button to open the authority record for editing.
 - If you find a match for the person, body, etc. you're looking for, you can use the **OK** button on the index display to have the 1XX from the highlighted record copied into the marked field on your bib record, replacing whatever is there.

Warning:

Do not use the **OK** button (or press Enter with OK highlighted) if you do not intend to change the bib heading.

Creating and Editing Cataloging Records

Editing Bibliographic Records

Basic Navigation

A number of icons, quick keys, and keystroke sequences are available to use for common tasks when working with bibliographic records. Refer to “Cataloging Module Commands” in “Aleph Codes and Lists” for a complete listing.

Loading a Record From the Server

1. Select the **Load record from server** option from the File Menu, or use the hotkey **Ctrl-L**, or click the **Load record from server** icon at the top of the screen:
2. Type the system number of the desired record.
3. Click the **OK** button.



A copy of the record will be made on your local drive and will be opened on your screen for you to edit.

Loading a Record From the Local Drive

1. On the File Menu, select the **Open record on local drive** option or click the **Open record from local drive** icon at the top of the screen. A popup dialog box listing local records will be displayed.
2. Highlight the desired record. A preview of the contents of the record will be displayed on the right side of the window.
3. Click the **Open** button.



The selected record will be displayed for you to edit.

Fixed Fields

Editing Fixed Fields

Fixed fields are edited by placing the cursor on the field tag and pressing **Ctrl +F**, which presents the fixed fields (LDR, 006, 007, and 008) in a labeled form.

Form for Field LDR - Format BK

Leader (Book)

Record status (05) l
Type of record (06) a
Bibliographic level (07) i
Type of Control (08) n
Char. coding (09) l
Encoding level (17) a
Descr. cat. form (18) i
Linked record req. (19) n

OK
Help on field
Cancel
Help

Edit the contents of the field. You may move from space to space by using the tab key or the up and down arrow keys. Note that the spaces of the form are of fixed length; you may not enter text that is longer than the space provided on the form.

Click the **OK** button.

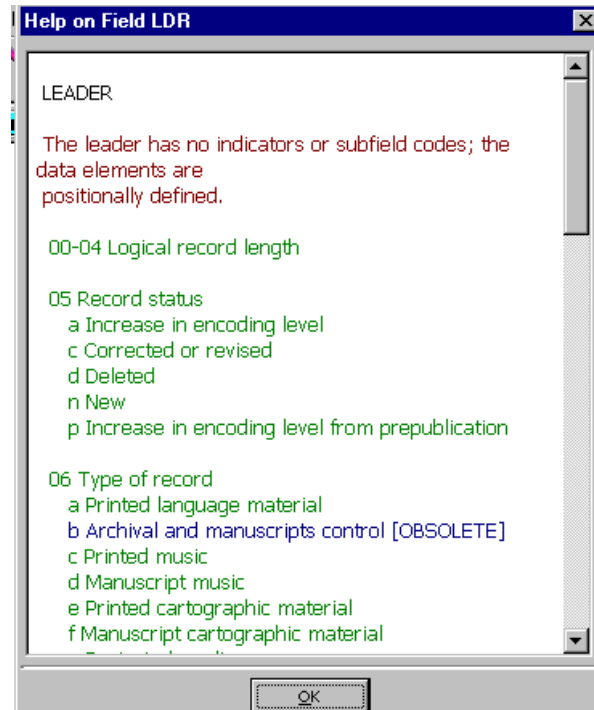
The contents of the field will be automatically inserted into the cataloging record.

Adding Fixed Fields (NOT YET AVAILABLE)

To be written by Christine DeZelar-Tiedman.

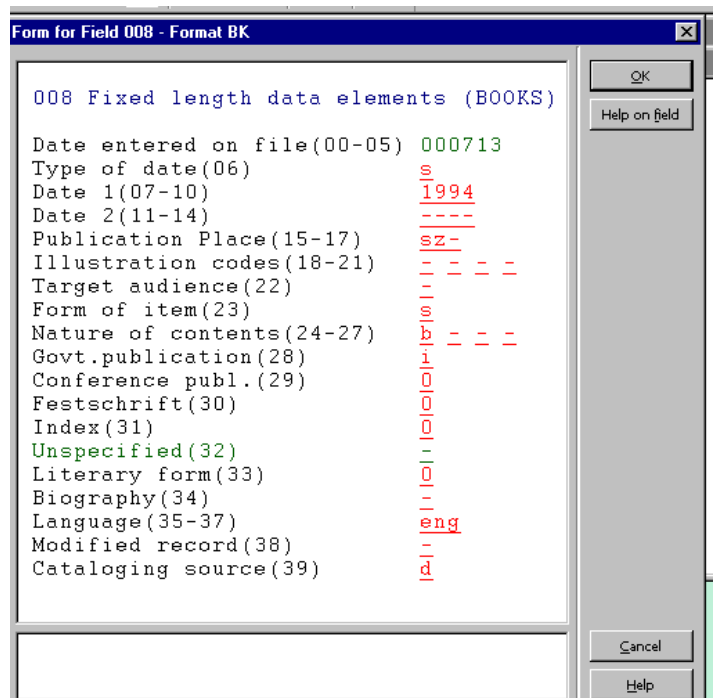
Help on Field

While in the form, click **Help on Field** to receive a display of the possible MARC values



Here's an example of the opened form for the 008 field.

While in the bibliographic record, you can also receive help on any field by moving the cursor to the field tag, and pressing **F2**. This will bring up the Tag information window, with a display similar to the one above.



Variable Fields

Moving in the Record

To move around variable fields of the record, you can use the following keys:

Up/Down arrows	Move up or down one line.
Left/Right arrows	Move left or right one space.
Tab	Moves to the next field.
Page Up	Moves up one page within the record, if there is too much data to fit on the screen at once.
Page Down	Moves down one page within the record, if there is too much data to fit on the screen at once.
Ctrl+Home	Moves to the very first line of the record.
Ctrl+End	Moves to the very last line of the record

Adding Fields and Sub-Fields

F5	Add a new field (choose from list).
F6	Add a new field (staff defined).
F7	Add a new sub-field.
F8	Select a sub-field value from a list.

Options on the Edit Menu

Right-click anywhere in the bibliographic record and the Edit menu appears.

Additional editing can be performed as follows:

Tag:	Overwrite (i.e., type over the characters) to change a tag. To erase a character, use the Spacebar and not the Delete key. To delete a field tag, press Ctrl-F5 .
Indicator:	Overwrite (i.e., type over the characters) to change an indicator. To erase a character, use the Spacebar and not the Delete key.
Sub field code:	Overwrite (i.e., type over the characters) to change a code. To erase a code, use the hotkey Ctrl-F7 or Delete sub-field from the drop-down Edit menu, not the Spacebar or the Delete key.

Data area: This works in 'insert' mode. To erase a single character, use the **Delete** key. To erase a string or group of characters, highlight the text and then use the **Spacebar** or the **Delete** key. You can highlight for deletion or copy by holding down the left mouse button and dragging the cursor over the desired text. To copy, use the hotkey **Ctrl C** or **Copy** from the drop down Edit menu, and to paste, use the hotkey **Ctrl V** or **Paste** from the drop down Edit menu.

Help on Field for Variable Fields

For help with the variable fields, place the cursor on the field tag and press **F2**. The display will look much like the Help display pictured earlier in the Help on Field LDR graphic.

Entering 010 Field

The LCCN is structured with 12 characters. Unused characters at the beginning or end of the string should be entered as spaces.

Pre-2001 Numbers

1. If there is no prefix, enter three spaces. Aleph will not allow you to enter more than one space in a row using the space bar. Instead, enter the spaces as the circumflex or "tent" character (**Shift-6**).
2. The number itself should be eight characters. Fill in zeros between the year and the number that follows it to make the total eight characters.
3. Add a space at the end.

2001 and Later

There are four spaces allocated for the prefix, and the year is four digits. There is no ending space.

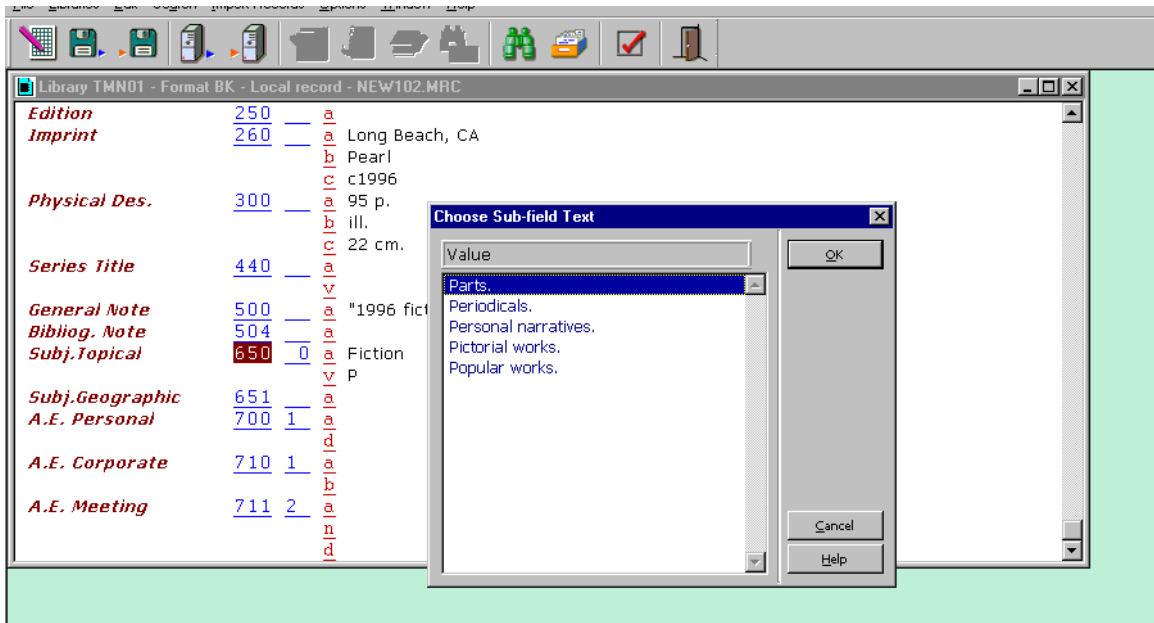


Pre-2001:	^^^89004324^ nuc76039265^
2001 and later:	^^2002112454

Search Sub-Field Options

When entering sub-field values, you may wish to use a drop-down menu to select text. Certain sub-fields have been set up with tables, which can provide commonly used values. Enter the proper sub-field delimiter and press **F8**, or begin entering text at the beginning of a sub-field, and press the tab key. The system will either fill in the remainder of the term, or show a list of terms beginning with that letter. This functionality is case sensitive, so be sure to use a capital letter if required.

Refer to “Bibliographic Record Sub-Field Menus” in “Aleph Codes and Lists” for complete instructions and available sub-field menus.



Expand From Template

Templates can also be used with existing records. Fields from a template will be added to an open record in the client.

1. Open a record in the cataloging module.
2. Choose **Expand from template** from the File menu, or issue the **Ctrl-E** command.
3. From the Template window, select the appropriate template and click **OK**.

More than one template may be used consecutively in a single record. Valid information will not be overwritten in non-repeatable fields. For repeatable fields, an additional field will be added. Blank or incomplete fields will be filled in.

For bibliographic records, some examples of when this feature may be used:

- To enhance a provisional or minimal record.
- To fill in required note fields for a special project.
- To combine templates.

Expand from template may also be used with [holdings records](#).

Expand from template is often used in the creation of publication patterns for serials. This will be covered in-depth in the class devoted to that topic.

Using Diacritics

Floating Keyboard

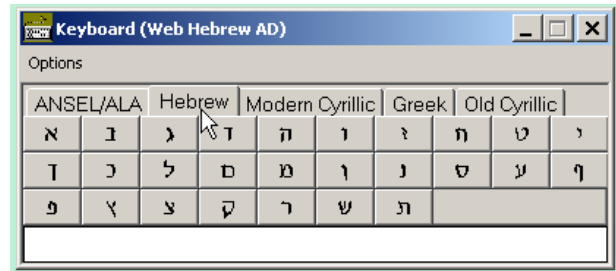
Diacritics may be entered using the ALA BT Courier Keyboard. It is often referred to as the **Floating Keyboard** because it “floats” over any application you have open and may be dragged and dropped anywhere in the module’s window. It enables you to insert characters that are not present in your workstation’s standard keyboard.

To Use the Floating Keyboard for Cataloging

Step 1:

The Floating Keyboard is activated by selecting the **Activate keyboard** option from the **Options** menu of the Cataloging module. The Floating Keyboard will then be displayed.

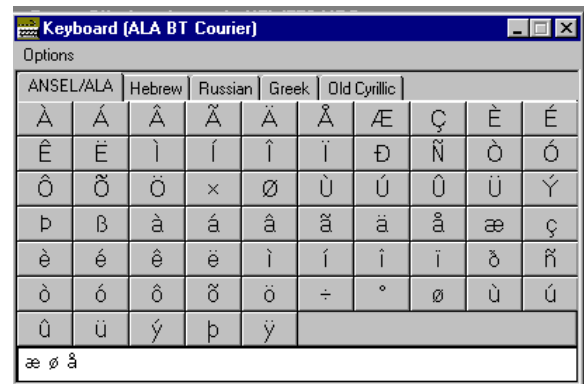
According to configuration settings, the Floating Keyboard may be divided into tabs, each one displaying a group of characters.



Step 2:

Click on the desired tab and then select a character from the Floating Keyboard. The character is then added to the lower section of the Keyboard window. Note that you may add more than one character.

The contents of the keyboard’s lower section can then be copied and pasted into the bibliographic record.



Russian Ligatures Using the Floating Keyboard

To be written by Christine DeZelarTiedman.

Entering Diacritics Using Unicode Values

Note: Refer to “Unicode Values for Diacritics” in “Aleph Codes and Lists” for the four-character values for the diacritic or special character.

1. Place your cursor at the point in the record where you want to enter a diacritic or a special character.
2. Press **F11** OR choose **Enter unicode values** from the Edit pull-down menu at the top of the screen.
3. Type the four characters from the chart that correspond to the letter plus diacritic or the special character you wish to enter. E.g., to type a lower-case e with an acute accent, type 00C9.
4. The character in question appears on the screen as soon as you are done typing the value.
5. Escape from unicode entry mode by either a) pressing **F11** or b) choosing **Enter unicode values** from the Edit pull-down menu at the top of the screen. In short, you can toggle between unicode entry mode and regular keyboard mode.

Fonts

In order for your computer to read certain unicode values, you must have the appropriate font installed. Otherwise, you will see a rectangle in the space where the character should be.

To activate the **Arial Unicode MS** font:

1. Go to the Windows Start menu.
2. Choose **Programs**, then **Accessories**, then **Character Map**.
3. The Font drop-down menu will give you an alphabetic list of available fonts. Select **Arial Unicode MS**.
4. If **Arial Unicode MS** is not listed on your workstation, you will need to contact autosys to have it installed on your workstation.

Russian Ligature Unicode Values

Unlike most other diacritics in Aleph, Unicode values for ligatures are not entered in "precomposed" form (in combination with a letter of the alphabet). Instead, they need to be entered after the letters with which they are associated.

Therefore, you should enter data in this order:

1. First alpha character
2. Left half of the ligature: Unicode FE20
3. Second alpha character
4. Right half of the ligature: Unicode FE21

Though the display does not represent the way ligatures appear in printed text, the data is correct and follows the rules for Unicode. The display is a problem with the Arial Unicode font, and therefore improving it is not within our control.

The ligature characters are on the "Combine" tab of the floating keyboard, which is the furthest tab to the right. You may need to scroll with the arrow key to make this tab visible.

Sorting Records

The **Sort Record** function sorts the fields of the current record according to a defined order. The **Sort Record** function also removes any empty fields or sub-fields.

On the Edit menu, select the **Sort Record** option, or press **Ctrl+M**.

Note that within the 5XX, 6XX and 7XX groups of fields, the order of the fields remains as the cataloger entered them.

Copy Record/Paste Record (Edit Menu)

This menu option is used for merging and overlay of records. Pastes the entire contents of one record into another, without changing the system number. You must first issue the **Copy record** command from an open record, and then open a second bibliographic record and **Paste record**. Since the system number remains the same, all associated records, such as holdings, orders, and items, will remain linked.

Change Record's Format

The **Change record's format** option on the Edit menu in the Cataloging module allows you to change a record from one format to another.

Saving Records

There are three options for saving records under the File drop down menu, two options using the menu icons:

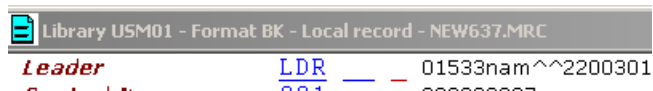
1. Save on local drive.
2. Save all on local drive.
3. Save on server and local drive.



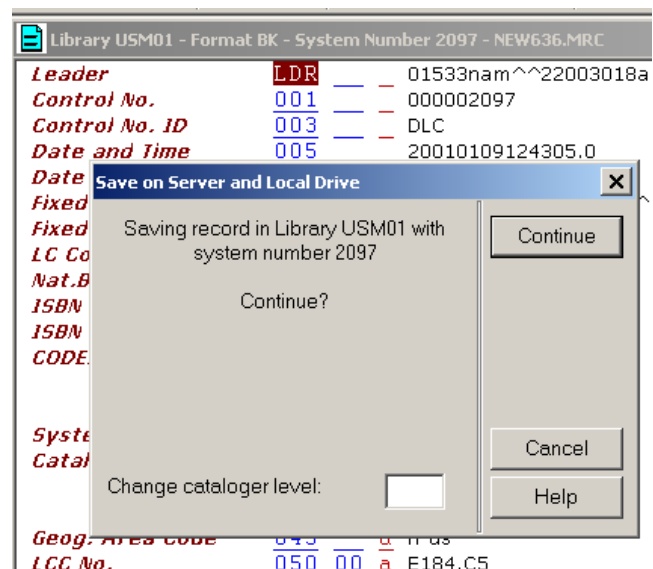
- You may wish to save records on your local drive in order to continue working on them later or because communication links with the server have dropped. The **Save on local drive** option will save your record on your PC's hard disk, but you will receive no message informing you that it has been saved and it will not be available for anyone else to find in the system. You can continue editing the record if you wish, but no updates will be registered unless it is saved to the server. Local records will automatically be deleted after seven days, unless the file is renamed.

- The **Save all on local drive** is similar to the above except that it saves every record that is open on your cataloging client.
- The **Save on server and local drive** option updates the server database and assigns a system number to the record (as opposed to the current local number).

This example shows a local number assigned to a new record that has not yet been saved on the server.



This example shows a system number and the local number assigned to the record.



When you decide to use the **Save on server and local drive** option, a prompt will ask if this is what you really want to do. The message **Change cataloger level** refers to a feature that has not been implemented locally. You may ignore it. Press **Continue** to advance the saving process.

Field and Record Validation

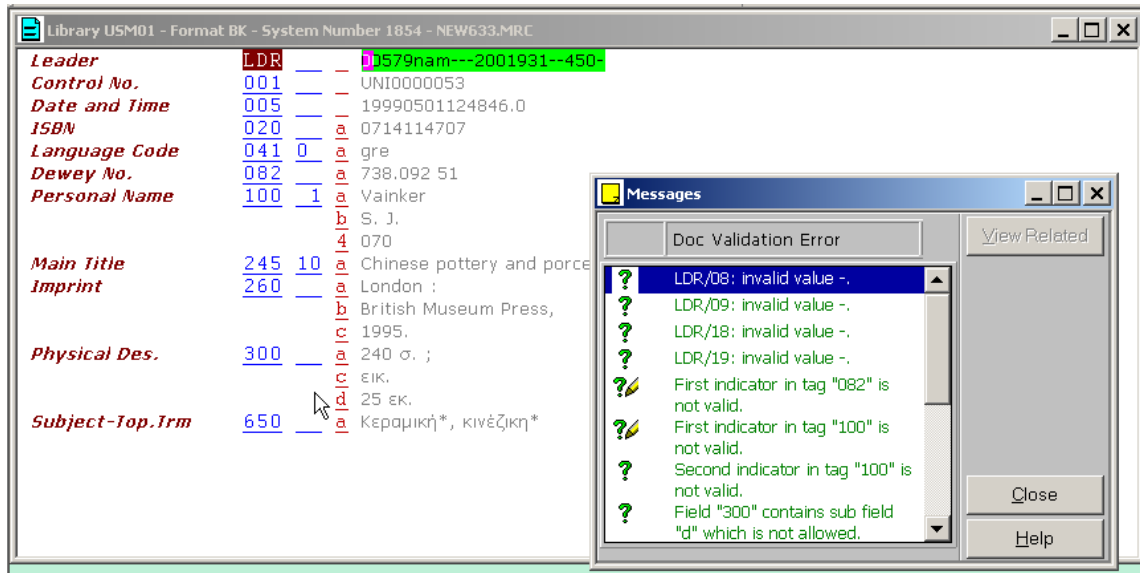
When a record is saved to the server, it is automatically checked for MARC 21 standards compliance and other errors. All the errors appear in the Messages dialog box.

For manual validation, the two options under the Edit drop down menu are:

- **Check field** Or on keyboard use **Ctrl + W**.
- **Check record** Check record also has an icon on the tool bar:



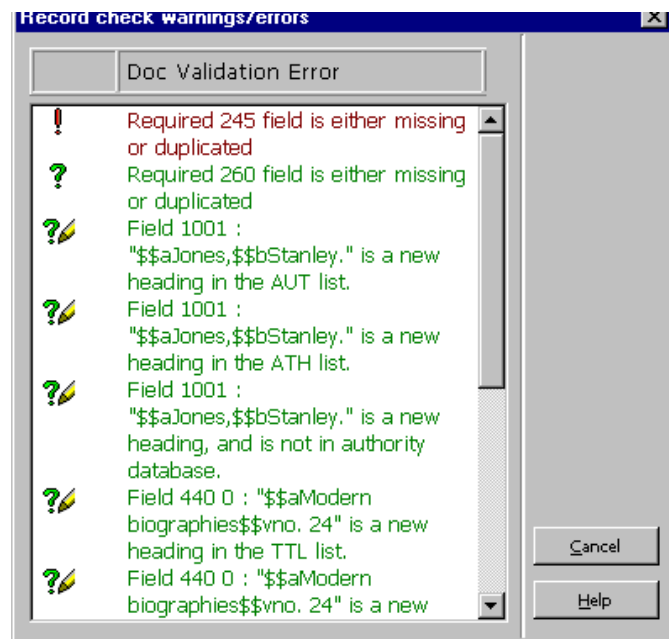
For either **Check field** or **Check record** a dialog box appears with the appropriate error messages. If no errors are found an empty dialog is displayed. Below is an example of **Check field**. Note how the system identifies the area in the bibliographic record to which you have been alerted.



There are three levels of messages:

- Message that can be overridden (question mark).
- Message that can be overridden and create a record trigger (question mark with pencil). These can be set to generate reports to be checked later for editing, or possibly authority work.
- Message that blocks update of the record (exclamation mark in red). These errors must be fixed before the record can be saved to the server.

Check the messages to see which errors need to be corrected and make the required changes. For those that refer to new headings, click **Override**.



Suppressing and Deleting Records

Deleting From the Local Drive

Deleting records from your client only deletes your local working copy of the bibliographic record. It does not delete any associated server records.

Delete a Single Record

1. On the File menu, select the **Open record on local drive** option or click the **Open record from local drive** icon at the top of the screen.



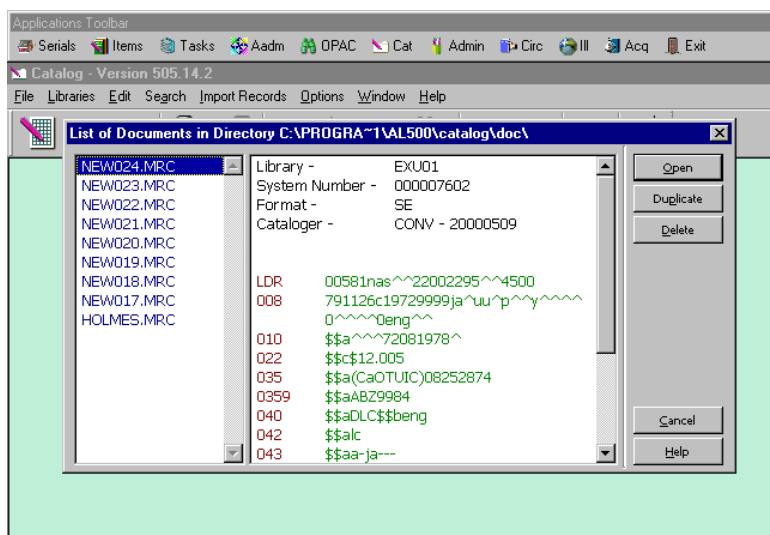
A popup dialog box listing local records will be displayed.

2. Highlight the desired record.
3. Click the **Delete** button.

A prompt will be displayed asking you if you are sure you want to delete the record.

4. Click the **Yes** button

The record will be deleted from your local drive.



Delete All Local Records

This function deletes all records whose filenames begin with the prefix *NEW**. If there is a *NEW** file that you do not want to delete, you should rename it by selecting **Rename on local drive** from the File drop-down menu.

1. Choose the **Delete *NEW** records** option from the File Menu. A prompt will be displayed asking if you are sure you want to delete.
2. Click the **Yes** button. All *NEW** records will be deleted.

Warning:

All *NEW* records will be automatically deleted from your client after seven days. Be sure to rename any local records you wish to retain beyond that point.

Deleting From the Server

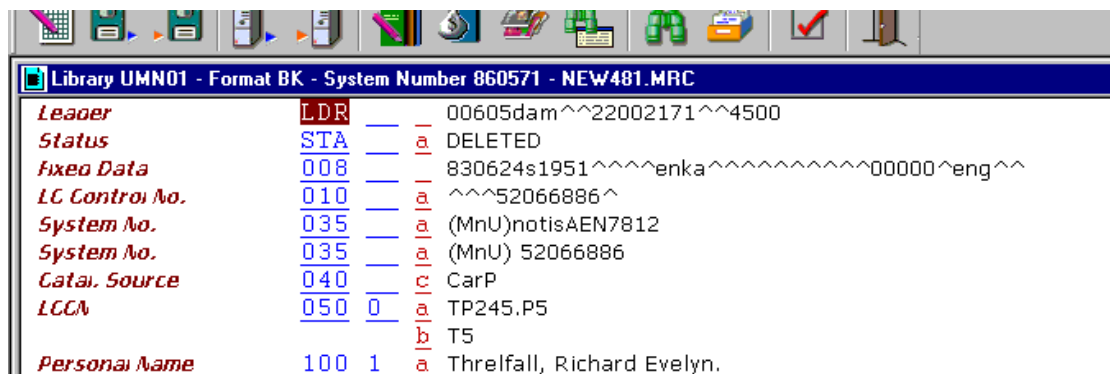
There are several ways to delete different types of records from the system, or to prevent records from displaying to the public and/or to staff. It is important to use the appropriate method according to the situation.

Using the STA Field (Logical Delete)

Records can be deleted or suppressed using the STA field in the bibliographic or holdings record. The records are not actually removed from the server, but will be removed from public and/or staff view.

1. Add a field to the record (**F6**).
2. Enter STA and sub-field a.
 - Enter SUPPRESSED (all caps) to suppress the record from displaying in the public (Web) OPAC. The record will still be indexed and searchable by staff. Use this for records that are for staff use only, such as membership records or cat sep orders, or materials that have been withdrawn, cancelled, or never received.
 - Enter DELETED (all caps) when a record has been created or imported in error, and saved to the server. The record will be suppressed from public and staff view. In the staff mode, it can still be retrieved by system number.
3. For DELETED records only, change the Record Status (05) in the LDR to **d**.
4. Save to the server.

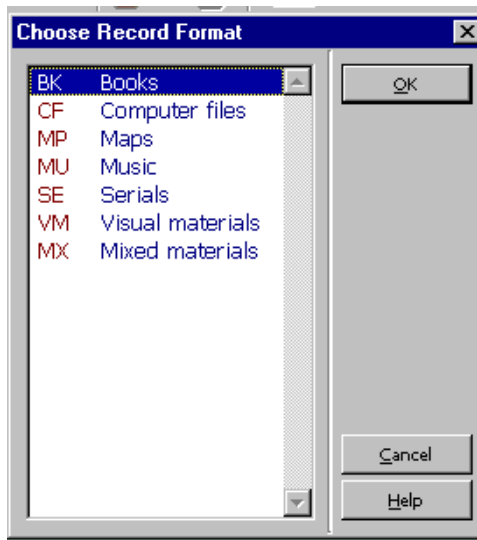
The **F8** function also works with the STA field. Enter the **a** subfield, and press **Tab** or **F8** to retrieve the list of values from which to select. (Refer to “Bibliographic Record Sub-Field Menus” in “Aleph Codes and Lists” for more details and a list of available sub-field menus.) Or, type a capital **S** or **D** and press **Tab** to fill in the rest of the word.



Creating Bibliographic Records

Create Using Manual Input

1. From the file menu, select **New record**. The **Choose record format** window will be displayed.
2. Highlight the correct format and click **OK**.



3. The form for the leader will open, containing default values for the chosen format. Edit the fields if needed, and click **OK**.
4. The 008 form will be displayed next. Fill in the required information and click **OK**.
5. The system will prompt you with forms to complete the 260 and 300 field information.
6. You now have a NEW bibliographic record displayed, which contains a leader and fixed fields, a blank 245, and the 260 and 300 values you filled in. You may add and edit fields as instructed in Cataloging 1. Save the record to the server when cataloging is completed.

Create Using Templates

Templates have been created for a number of formats and record types, and these can be used by anyone cataloging using the University of Minnesota server.

Use Server Template as a Workflow

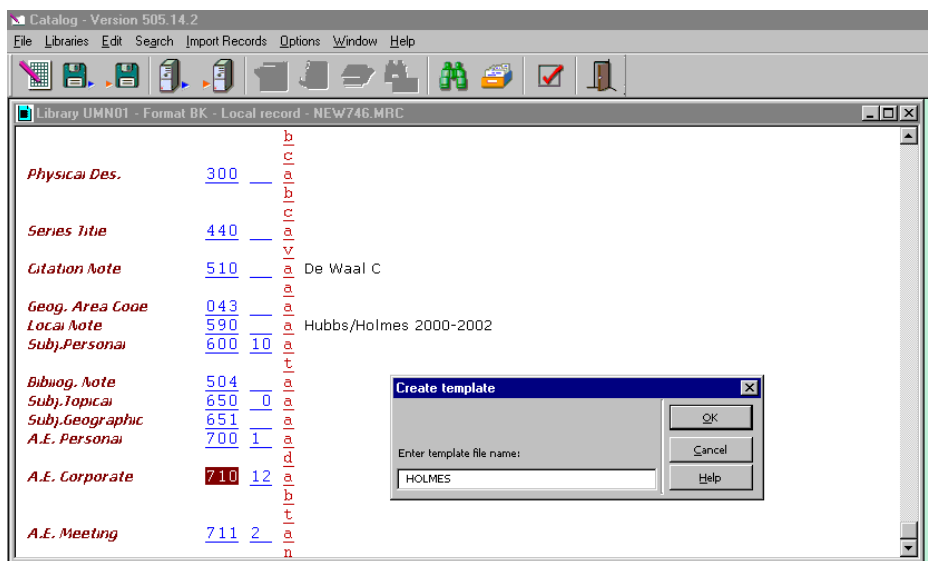
1. Click the **Open template** icon, or choose the option from the File menu.
2. Highlight the appropriate template, and click **OK**.
3. Fill in the leader and fixed field information.
4. Edit the record and save to the server.



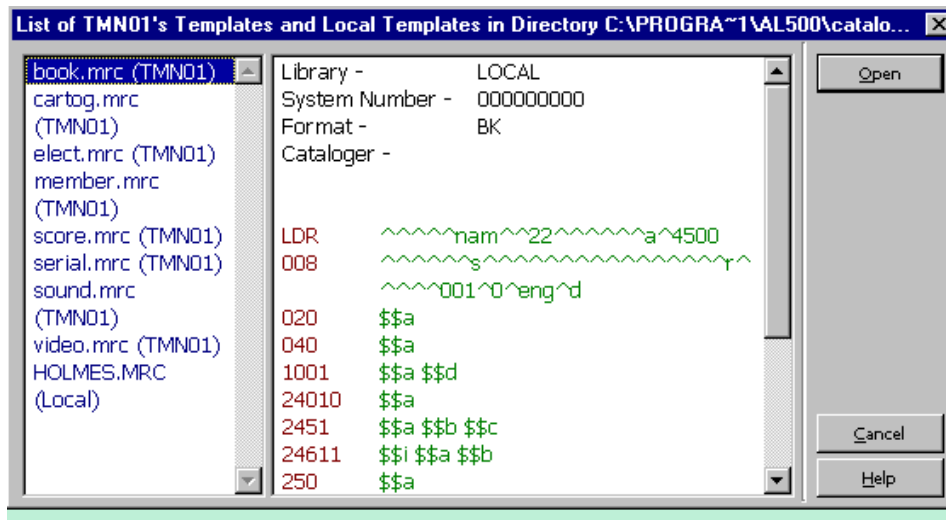
Create Local Templates

You may wish to create templates for your own use on your *local* client. To do this, you need to create a NEW bibliographic record with the fields and text you wish to include in your template, and then save it as a template on your local drive.

1. Create a NEW record on your local drive by opening a server template, starting a new record manually, or modifying an existing bibliographic record.
2. Fill in the fields you wish to include in the template, or modify an existing record to include the desired fields.
3. Select **Create template on local drive** from the File menu.



4. Name the file and click **OK**.
5. The template will now be shown in the menu when you **Open template**.



Server templates appear in lower case letters, and identify the server library where they are stored. Your local templates will be in ALL CAPS, and say (Local) after them. Local templates are only available on your client—no one else will be able to access them.

Edit Local Templates

You can **edit a local template** by opening it, editing it, and saving it again using the **Create template on local drive** option. If you wish to over-write the previous version, simply give the template the same name.

You cannot edit server templates. You may create your own version of a server template by following the steps above and giving it a local name. The server template will still be available on the menu along with your local version.

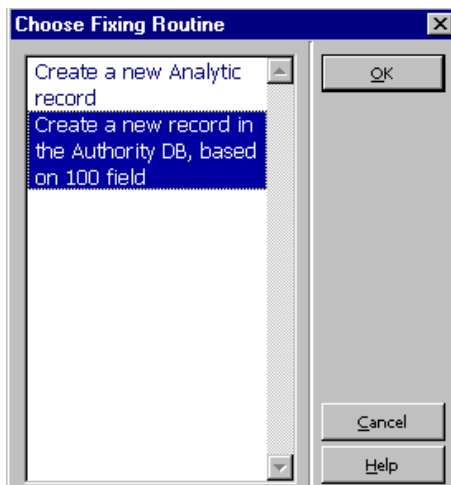
To **delete a local template** from your client, you need to go outside the Aleph program. From Windows Explorer, find the folder **C:\Program Files\AL500\Catalog\Template**. Find the template by its file name, highlight it, and delete.

Creating Authority Records

Deriving a Name Heading from a Bibliographic Record

A name authority record can be created from a bibliographic record that has a new name heading in the 100 field. The record must be saved to the server in order to perform this function.

Select **Derive new record** from the Edit menu.

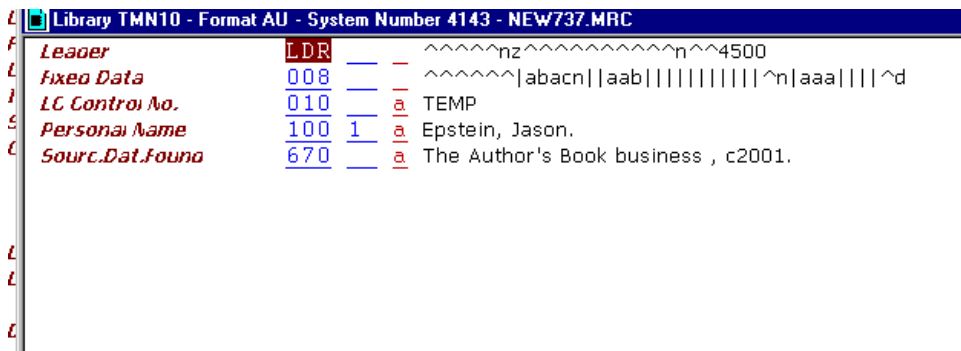


Select **Create a new record in the Authority DB, based on 100 field**, and click **OK**.

A new name authority record is created in the LC Authority library, with leader and fixed field information, the heading in the 100 field, and the source information in a 670 field.

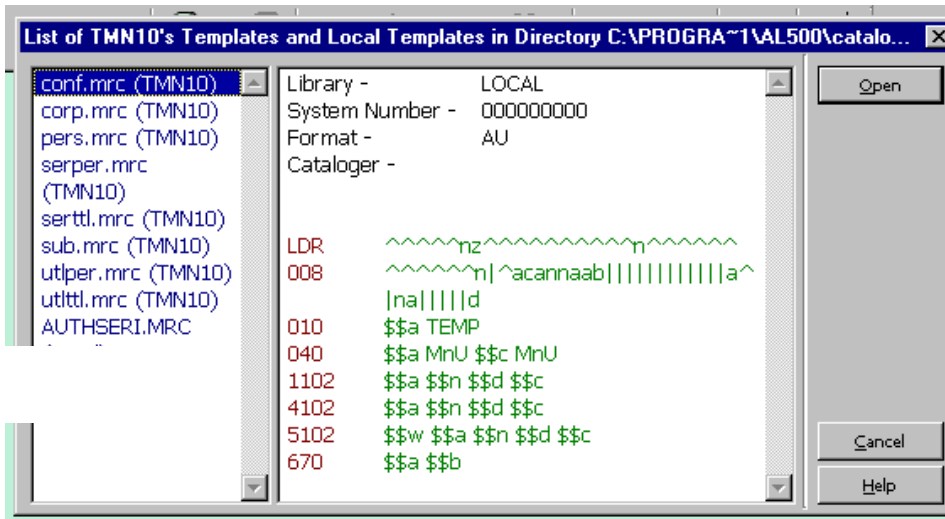
Add a 010 field with TEMP in subfield a. If a new LC Authority record is received which matches the locally created authority, it will overwrite the local record, and update all associated bibliographic records if the heading has changed.

The record may now be completed and saved to the server.



Creating Authority Records From Templates

A template may be used to create an authority record. Connect to an authority library. Select **Open template** from the file menu. Fill in or edit the required fields and save to the server.



Server templates are only accessible in the library with which they are associated. For example, when in TMN01, only templates for bibliographic records are available when you open the template menu. In TMN10, you see only the server templates for authority records.

Because locally created templates are not associated with any specific server, but are saved as a file on your client, all local templates will appear when the template menu is opened in any Aleph library. You can always recognize local templates because they appear in ALLCAPS. However, if you are going to be creating a large number of templates for your own use, you may want to develop a naming convention to distinguish between different template types. For example, all bib templates could begin with a B, holdings templates with an H and authority templates with an A. They will file alphabetically and you should be able to quickly determine which group of templates to choose from.

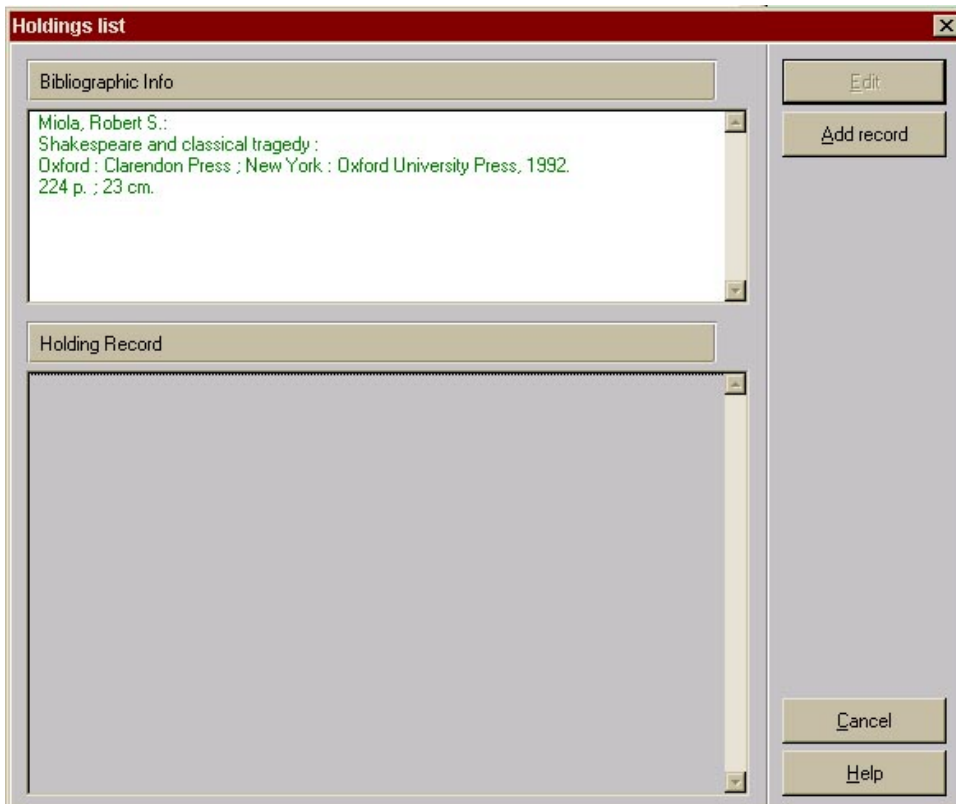
Manual Authority Record Creation

From an authority library, select **New record** from the file menu. In the Choose record format window, highlight **AU-Authority record** and click **OK**. Fill in the leader and fixed field information, and then enter the necessary fields. Save to the server.

Creating Holdings Records

Before a holdings record can be created, a Bibliographic record must be saved to the server. To create a Holdings record, choose the **Load HOL record from server** command (On File menu – also **Alt-F, H** or **Ctrl-O**) while the bibliographic record is active. (Alternatively, you may click the **Catalog HOL** button in the Navigation window.)

You will then see the Holdings List:



Click the **Add record** button. This will create a minimal Holdings record with at least a Leader, 008 and LKR field. *Currently*, the system is set to create the call number in the Holdings record, if there is one in the Bibliographic record. However, fields chosen to populate the 852 are hard coded in this order: 099, 098, 090, 090, 092, 096, 050, 055, 050, 060, 070, 082, 086i. In the end, this may not prove very efficient for us and may be switched off. (We'd welcome opinions on this following your practice.)

Note: At this point, you may choose to [use one of the available holdings templates](#) to aid in creating your Holdings record.

The **LKR field** will automatically be filled in with the system ID (subfield b) of the bib record in the library specified in subfield l.

Holdings records list the format “HO” in the title bar of the window for the record. This can help you find the correct window if several are open at once.

Note: When you click **Add record** the Holdings record is automatically created on the server. It already has a system number. There is no such thing as a purely local holdings record. If you make a holdings record in error, you will need to logically delete the record (See section on Deleting and Suppressing records).

Adding Additional Holdings Records

To add a holdings record when there are existing holdings, click **Add record** in the holdings list as shown above, or, from an open holdings record, choose **Duplicate record (Ctrl-N)** from the File menu, and change the appropriate fields before saving.

Editing Holdings Records

Select a holding record from the Holdings list by clicking it once. The **Edit** button is activated. Click **Edit**, and the record will open for editing. Save changes to the server.

The Holdings records are identified in the Holdings list by their owner (sub-library and collection) and by HOL system number. Be careful if there are multiple holdings for a single collection, and be sure you are editing the correct copy.

Expand From Template

Templates are available for editing holdings records. To use a holdings template:

1. Create a holdings record by issuing the **Load HOL record from server** command from the file menu (or **Ctrl-O**), and choosing **Add record**.

You will be provided with a LDR, 008, LKR, and possibly a partial 852 field if there is call number information in the bibliographic record.

2. Go to the Edit menu and choose **Expand from template (Ctrl-E)** to open the menu of template options.

Four holdings templates have been established, one each for institution codes MnSU, MnU, MnU-B and MnU-L.

3. Select an option by highlighting it with your mouse and click the **Open** button.

This will add required fields and default values for the 852 and 940, including the properly formatted institution code, to the holdings record you've started.

Note: Do not use the holdings template under the **Open templates** option to create a new holdings record. It will lack a LKR field, and therefore will not be linked to any bibliographic record.

Modify Template for Your Use

If you wish, you may modify one of the templates for your personal use. For example, you may want your template to include default values for the Sub-library and Collection you work with most frequently.

To do this:

1. Select **Open template** from the File menu (or use the templates icon or **Ctrl-A**).
2. Make the needed modifications.
3. Select **Create template on local drive** from the File menu.
4. Give the template a distinctive name.

Note: Remember, fixed field values in a template will not overwrite the fields already in holdings record when you use the **Expand from template** option.

Holdings Record Fields Summary

The HOLDings record is edited in the Cataloging Module using the standard Cataloging menus and function keys. (Refer to “Cataloging Module Commands” in “Aleph Codes and Lists” for a complete listing.)

The required fields you will need to complete are the Leader (LDR), 008 (Fixed Field Data), 852 (Location), and 940 (Export Control).

Note: Refer to “HOLDings Record Field Values” in “Aleph Codes and Lists” for more detailed information on all HOLDings record fields.

Library UMN60 - Format HO - System Number 2897128 - NEW738.MRC			
Leader	<u>LDR</u>	---	^^^^^nx^^^22^^^^^1n^4500
Bib. Control N.	<u>004</u>	---	003068567
Date and Time	<u>005</u>	---	20021104090833.0
Fixed Data	<u>008</u>	---	9403012u^^^^8^^^4001uueng0020531
Export Control	<u>940</u>	---	a MNU b UPD c 2002-11-4
Link	<u>LKR</u>	---	a HOL l UMN01 b 003068567
Not in table	<u>PRC</u>	---	a UL
Location	<u>852</u>	<u>5</u>	a MnU b TAND c CBI g 1

Sample monograph holdings record

Library TMN60 - Format HO - System Number 1693 - NEW718.MRC			
Leader	<u>LDR</u>	---	^^^^^cy^^^22^^^^^4n^4500
Bib. Control N.	<u>004</u>	---	AAB8587
Fixed Data	<u>008</u>	---	9212055 ^^^^8^^^2001 eng0020110
Link	<u>LKR</u>	---	a HOL l TMN01 b 000004504
Location	<u>852</u>	<u>00</u>	a MnU b TSCI c PER h QD431.A1 i J68x g 1
Ext. Hold Bibli	<u>866</u>	<u>41</u>	8 0 a v.1-5 (1982-1986),

Sample serials holdings record

The LKR (linker) field is automatically generated by the system when you create a Holdings record. Subfield 1 indicates the database of the linked BIB record, and subfield b gives the system ID number for that BIB record. This field maintains the link to the bibliographic record. Changing the number will break the link so, unless you are deliberately moving an entire holdings record to another bibliographic record, you shouldn't change this field.

As with bibliographic records, the Leader and 008 fields are entered using a form. The 852 (location information) may be entered directly in the holdings record, or with the help of a form.

Leader

Only four values are required in the leader: record status, type of record, encoding level, and item information in record. Default values for serial versus monographic materials depend on where the Holdings record is initiated. Holdings records created in cataloging will default to values appropriate for monographs. For serial items, the Holdings record will be initiated as part of the serials receipting process, and therefore will default to serial-type values.

Item information (character position 18) should always be given the value **n**, since Aleph uses a separate item record.

Note: More detailed information on the Leader fields is available in the "HOLDings Record Field Values" section of "Aleph Codes and Lists."

Here is an explanation of the encoding level definitions. In most cases, we would use **1** (for monographs) or **4** (for multi-part titles).

Encoding Level

- 1** Holdings level 1 (Normally used for single-part items.) Minimally must have LKR for Bibliographic record and Location (852 subfields b and c)
- 2** Holdings level 2 Requirements for level 1, plus codes in 008 positions 06,12,16, and 26-31 and when appropriate 007 positions 00-01 (Physical Description Fixed Field)
- 3** Holdings level 3 Requirements for level 2, plus **summary** holdings information, that is, holdings at the first level of enumeration and chronology in the applicable 866/867/868 Textual Holdings fields
- 4** Holdings level 4 Requirements for level 2, plus **detailed** holdings information, that is, the first and all subsequent levels of enumeration and chronology in either itemized or compressed form or a combination of the two, in one or more 866/867/868 Textual Holdings fields

- 5** Holdings level 5 Requirements for level 4, plus information that identifies a single physical part in an 852 subfield p or 866-868 subfield a. (Seldom used in ALEPH)
- m** Mixed level, i.e. Some statements at level 3, others at level 4.
- u** Level unknown
- z** Other level Does not meet any of the levels of specificity defined by the other codes.

008 Fixed Fields (Required)

Fill in character positions (06) Receipt or acquisition status, (12) General retention policy, and (16) Completeness, according to current policies. Other fields may be left with their default values.

Note: More detailed information on the 008 fixed fields is available in the “HOLDings Record Field Values” section of “Aleph Codes and Lists.”

852 Location (Required)

This field gives the location and shelving information. It can be entered directly in the Holdings record, or using a Form (**Open Form** from Edit menu, or **Ctrl-F**). Using either method, Help is available to fill in the appropriate values for each field.

Note: More detailed information on the 852 field is available in the “HOLDings Record Field Values” section of “Aleph Codes and Lists.”

- 1st Indicator:** Shelving scheme (Required)
- 2nd Indicator:** Second shelving order—Use only if a second call number will be recorded on the record, e.g. for MLAC materials which are shelved under a special number but for which we may want to retain the LC call number.

Subfields

- a** NUC code (Required)
- b** Sub-library (Required)
- c** Collection (Required)
- k** Call number prefix (e.g. Quarto)
- h** Classification
- i** Item part (i.e. Cutter number)

- j** Shelving call number or accession number
- t** Copy number (enter for copy 2 or higher)
- l** Shelving title
- x** Nonpublic note
- z** Public note

For items shelved by a sequential control number or accession number (1st indicator 4), the number should go in subfield **j**. All other types of classification numbers (1st indicator 0, 1, 2, 3, 7, or 8) should use **h** for the basic classification and **i** for the terminal Cutter number and year.

```

Leader      LDR      --  ^^^^cy^^^22^^^3n^4500
Bib. Control N. 004      --  ACR3812
Fixed Data  008      --  9802041|^^^8^^^2001||||0011116
Link        LKR      --  a  HOL
              |  TMN01
              b  000013231
Location    852 51  a  MnU
              b  TINTE
              c  GEN
              x  jstor=1ARE3124;3ARL3854
              g  15
Elec. Loc. Acc. 856 41  u  hppt://ej.lib.umn.ed/?url=http://www.sciencemag.org
              z  Access for the University of Minnesota, Twin Cities only
Txt. Hold BibUn 866 31  o  0
              z  Check Internet address for current coverage.
Not in table  PRC      --  a  UL
    
```

Sample of an electronic journal holdings record.

856 (Electronic Location and Access)

In Aleph, 856 fields, which provide a live link to electronic resources accessible over the Internet, can be placed in either the bibliographic record or the holdings record.

URLs for freely-accessible Internet resources will remain on the bibliographic record. For licensed resources for which there is restricted access, the Holdings record will be used. When the resource is licensed to be available campus-wide, the Internet version of the resource will have its own Holdings record, using the Sub-library **TINTE**. If it is licensed to a particular sub-library or collection, the 856 will need to go on that sub-library's Holdings record.

Note: More detailed information on the 856 field is available in the "HOLDings Record Field Values" section of "Aleph Codes and Lists."

866, 867, 868 (Textual Holdings Fields)

These fields are primarily used for retrospective holdings of Serials. They can also be used to record copy specific notes, such as numbering, inscriptions, or donor information.

Note: More detailed information on the 866, 867, and 868 fields is available in the "HOLDings Record Field Values" section of "Aleph Codes and Lists."

866	Basic Bibliographic Unit
867	Supplementary Material
868	Indexes

940 Export Control (Required)

This locally defined field will be used to control record export functions to OCLC and RLIN, as well as allow for specific types of reporting.

Note: More detailed information on the 940 field is available in the "HOLDings Record Field Values" section of "Aleph Codes and Lists."

Subfield a – NUC Code

Input the appropriate institution (NUC) code here without hyphens and in all caps, e.g. MNU, MNUB, MNUL, MNSU.

Subfield b - Status

CAT	Fully cataloged (Most records will receive this code.)
ORD	Ordered, but not received (For the most part, we will not be creating holdings records until the piece is received, so this will be seldom used.)

- INP** In process (i.e. has a minimal bib record and is going into long-term arrears to wait for full-level cataloging)
- UPD** Updated (Use when updating a holdings record converted from NOTIS. Also use when updating a holdings record that already has a 940 field with \$\$b CAT; retain the existing 940 field and create a second 940 field with \$\$b UPD.)
- DEL** Holdings have been deleted (Use for materials that have been permanently withdrawn.)
- GMN** MLAC processors only: Use when any copy that does not belong to the University of Minnesota—Twin Cities libraries is accessioned.

Subfield c – Status Date

Record the date on which the status in |a was set, using the format yyyy-mm-dd, e.g. 2002-11-23.

If you change the status in subfield b, remember to change the status date in subfield c.

Saving Holdings Records

Save the holdings record to the server in the same manner as [saving a bibliographic record](#).

There will be the same type of checks done on the record notifying you of corrections that must or should be made.

Opening Multiple Holdings Records

You may select multiple Holdings records from the Holdings list by holding down the **Ctrl** key as you click each selected item. Click **Edit record** and all the selected records will open at once. This will help if there are multiple copies in the same location and you wish to consult the 852 **t** subfield to choose the correct copy number.

ADM Records: Creating Publication Patterns

853/853 X Fields

Introduction

The ADM record, a MARC-like record, is managed in the Cataloging module. For creating captions and patterns from the Serials module, two methods are available. Search for your title and display it:

- From the Navigation window of the Serials module or the GUI OPAC, click the button labeled **Catalog ADM** (the title for the record you wish to work on should be in the window). This will push the record into the Cataloging module and open the ADM record for editing.
- From the Navigation Window of the Serial module or the GUI OPAC, click the button labeled **Update ADM**. (The title for the record you wish to work on should be in the window.) Use only for editing existing fields, not entering new fields.

Enter 853 and 853 X fields, save the record to the server and go back to the record in the Serials module. (Since you started in the Serials module, you should just be able to click the **Serials** button on the bottom of your screen or click the **Serials** icon on the Application tool bar.) Go to the Publication Schedule window in the Serials client and click the **Sched.Form** button. If the system detects the presence of 853 and 853 X fields in the ADM record, the Preview Publication Schedule window will open automatically (bypassing the Publication Schedule Form) showing you the publication cycle for the title.

If you are happy with the contents of the preview, you may click **Continue** to accept the caption and pattern the cycle, otherwise, click **Cancel** and return to the ADM record to revise the pattern.

Overview of the 853 Field

In Aleph, the 853 field is used to record captions, publication pattern, and punctuation. To promote consistency in the communication and exchange of holdings information, we recommend following the ANSI/NISO Z39.71-1999 standard. For captions the standard states:

Abbreviate captions in accordance with the appropriate portions of Abbreviations in Appendix B of the *Anglo-American Cataloguing Rules* (current edition and revision) ...other standards lists or ISO 832 rules. ... When two forms of an abbreviation are provided in a list, use the shorter one (for example, v. not vol). For example: v.127:no.1 (2000:Jan.)

Captions Identifying Enumeration Levels

1. **Captions** (abbreviations or words) that identify the enumeration levels of the serial:
Sub-fields a, b, c, d, e, f are used to specify the captions that identify up to six levels of enumeration. Typically, only a, b, and c are used, which may, for example, correspond to volume, issue number and part. In addition to these levels of enumeration, you may also have an alternative numbering scheme used to identify issues. The caption for this scheme may be entered in sub-fields g and h.
 - A caption such as "v." that identifies the 1st level of enumeration - in sub-field a
 - A caption such as "no." that identifies the 2nd level of enumeration - in sub-field b
 - A caption that identifies the 3rd level of enumeration - in sub-field c
 - A caption that identifies the 4th level of enumeration (rarely used) - in sub-field d
 - A caption that identifies the 5th level of enumeration (rarely used) - in sub-field e
 - A caption that identifies the 6th level of enumeration (rarely used) - in sub-field f
 - A caption such as "no." that is used as alternative enumeration - in sub-field g

Captions Identifying Chronological Levels

Sub-fields i, j, k, and l are used to specify the captions that identify up to four levels of chronology. Sub-field i must contain year.

2. **Captions** (words) that identify the chronological levels of the serial:
 - A caption such as "year" that identifies the 1st level of chronology - in sub-field i
 - A caption such as "month" that identifies the 2nd level of chronology - in sub-field j
 - A caption such as "day" that identifies the 3rd level of chronology - in sub-field k
 - A caption that identifies the 4th level of chronology (rarely used) - in sub-field l

Publication Pattern

3. **Codes** (both alphabetic and numeric) that define the publication pattern:
Other sub-fields in field 853 are used to specify how many issues per volume, whether issue numbering restarts for each volume or continues ad-indefinitum, the intervals between each issue, and the regularity of the pattern.
 - How many numbers to each volume? - in sub-field u (numeric)
 - Numbering continuous or restarts? - in sub-field v (alphabetic c or r)
 - Frequency - in sub-field w (usually alphabetic; can also be numeric if sub-field y also used)
 - Regularity of the pattern - in sub-field y (alphabetic and/or numeric)

4. **Punctuation** such as comma, colon, semicolon, equal sign, forward slash, hyphen, parentheses, and spaces (^).

For every 853 enumeration and chronology sub-field that you use, you *must* have a corresponding 853 X sub-field. Therefore, if you use sub fields a, b, i, and j of field 853, you must use sub-fields a, b, i, and j of field 853 X. These sub-fields, however, may have a caret (^) to indicate no relevant data.

Overview of the 853 X Field

The 853X field is used to record the numerical starting point (volume no., issue no., etc.) of the first issue, the chronological starting point (year, month, day, season etc.) of the first issue, and the publication (expected receipt) date of the first issue.

- The **numerical** starting point of the first issue, e.g.:

853 X \$a (the volume number of the first issue)

 \$b (the issue number of the first issue)

- The **chronological** starting point of the first issue, e.g.:

853 X \$i (the year of the first issue)

 \$j (the month of the first issue)

- The **publication date** (expected receipt) of the first issue -- in special Aleph sub-field 3.

853 X \$3 19980115 (to indicate the 15th January 1998)

853 and 853 X Sub-Fields in Detail

Sub-Field a

Sub-field a is used for the first level of enumeration. Enter the appropriate caption in sub-field a of the 853 field and the corresponding number in sub-field a of the 853X field.



Example

A publication that has volume numbering beginning with v.1 will have the caption "v." recorded in sub-field a of the 853 field and the number 1 recorded in sub-field a of the 853X field.

Sub-Field b

Sub-field b is used for the second level of enumeration. Enter the appropriate caption in sub-field b of the 853 field and the corresponding number in sub-field b of the 853X field.



Example

A publication beginning with v.4:no.7 will have the caption "no." recorded in sub-field b of the 853 field and the number 7 recorded in sub-field b of the 853X field.

If there is only one level of enumeration and the caption suggests a secondary level of enumeration (e.g., "no."), enter a carat in sub-field a of the 853 field and enter the caption in sub-field b of the 853 field.



Example

853	\$\$a ^ \$\$b no. \$\$u 8 \$\$v r \$\$c :pt. \$\$u 2 \$\$v r
	<i>(spaces for readability only)</i>
853X	\$\$a ^ \$\$b 7 \$\$c 1

Whenever sub-field b is used, sub-field u must also be used to indicate the number of second level units there are to every first-level unit (i.e., how many bs to every a). In addition, sub-field v must be used to indicate the numbering continuity, where "c" defines numbering that is continuous over volumes and "r" defines numbering that restarts at the completion of the unit.



Example

A quarterly publication that begins each volume with issue 1 should have the number 4 recorded in sub-field u and the letter "r" recorded in sub-field v.

Sub-Field c

Sub-field c is used for the third level of enumeration. Enter the appropriate caption in sub-field c of the 853 field and the corresponding number in sub-field c of the 853X field.



Example

A publication beginning with v.12:no.1:pt.1 will have the caption "pt" recorded in sub-field c of the 853 field and the number 1 recorded in sub-field c of the 853X field.

Whenever sub-field c is used, sub-field u must also be used to indicate the number of third-level units there are to every second-level unit (i.e., how many cs to every b). In addition, sub-field v must be used to indicate the numbering continuity, where "c" defines numbering that is continuous over volumes and "r" defines numbering that restarts at the completion of the unit.

**Example**

For a publication that has two parts to each number and 8 numbers to each volume, you would set up the 853/853X fields as follows:

853 \$\$a v. \$\$b :no. \$\$u 8 \$\$v r \$\$c :pt. \$\$u 2 \$\$v r
(spaces for readability only)

853X \$\$a 12 \$\$b 1 \$\$c 1

To read: v.12:no.1:pt.1

Sub-Field d

Sub-field d is used for the fourth level of enumeration. Enter the appropriate caption in sub-field d of the 853 field and the corresponding number in sub-field d of the 853X field.

Whenever sub-field d is used, sub-field u must also be used to indicate the number of fourth-level units there are to every third-level unit (i.e., how many ds to every c). In addition, sub-field v must be used to indicate the numbering continuity, where "c" defines numbering that is continuous over volumes and "r" defines numbering that restarts at the completion of the unit.

Sub-Field e

Sub-field e is used for the fifth level of enumeration. Enter the appropriate caption in sub-field e of the 853 field and the corresponding number in sub-field e of the 853X field.

Whenever sub-field e is used, sub-field u must also be used to indicate the number of fifth-level units there are to every fourth-level unit (i.e., how many es to every d). In addition, sub-field v must be used to indicate the numbering continuity, where "c" defines numbering that is continuous over volumes and "r" defines numbering that restarts at the completion of the unit.

Sub-Field f

Sub-field f is used for the sixth level of enumeration. Enter the appropriate caption in sub-field f of the 853 field and the corresponding number in sub-field f of the 853X field.

Whenever sub-field f is used, sub-field u must also be used to indicate the number of sixth-level units there are to every fifth-level unit (i.e., how many fs to every e). In addition, sub-field v must be used to indicate the numbering continuity, where "c" defines numbering that is continuous over volumes and "r" defines numbering that restarts at the completion of the unit.

Sub-Field g

Sub-field g contains alternative enumeration information. In Aleph, sub-field g is used for continuous numbering only and does not need a corresponding sub-field u or sub-field v. Enter the appropriate caption in sub-field g of the 853 field and the corresponding number in sub-field g of the 853X field.



Example

A quarterly has both numbering that restarts and numbering that is continuous over volumes. The pattern begins with v.1:no.1=no.1; the next volume begins with v.2:no.1=no.5. The number "1" in v.2:no.1 illustrates numbering that restarts; the "5" in "no.5" illustrates numbering that is continuous.

In order for the serial to be displayed in the Publication Schedule window as follows:

Description	Expected Receipt
v.1:no.1=no.1	01/01/1998
v.1:no.2=no.2	04/01/1998
v.1:no.3=no.3	07/01/1998
v.1:no.4=no.4	10/01/1998
v.2:no.1=no.5	01/01/1999
v.2:no.2=no.6	04/01/1999
v.2:no.3=no.7	07/01/1999
v.2:no.4=no.8	10/01/1999

You would set up the 853/853X fields as follows:

```
853      $$a v. $$b :no. $$u 4 $$v r $$g =no. $$w q  
        (spaces for readability only)  
853X    $$a 1 $$b 1 $$g 1 $$3 19980101
```

Sub-Field i

Sub-field i is used for the first level of chronology. Enter the appropriate caption in sub-field i of the 853 field and the corresponding number(s) in sub-field i of the 853X field.



Example

A publication that begins with v.1 (1998) will have the caption "year" recorded in sub-field i of the 853 field and the numbers 1998 recorded in sub-field i of the 853X field and would be recorded:

```
853      $$a v. $$b :no. $$u 2 $$v r $$i ^((year))  
        (spaces added for readability)  
853X    $$a 1 $$b 1 $$i 1998
```

Note that for readability in the OPAC, we are entering a space between the enumeration and the chronology, i.e. \$\$i ^(())

Sub-Field j

Sub-field j is used for the second level of chronology. Enter the appropriate caption in sub-field j of the 853 field and the corresponding number(s) in sub-field j of the 853X field.



Example

A publication that begins with v.3:no.1(1998:June) will have the caption "month" recorded in sub-field j of the 853 field and the numbers 06 (for the month June) recorded in sub-field j of the 853X field.

```
853      $$a v. $$b :no. $$u 2 $$v r $$i ^((year): $$j (month))  
          (spaces added for readability)  
853X    $$a 1 $$b 1 $$i 1998 $$ 06
```

Sub-Field k

Sub-field k is used for the third level of chronology. Enter the appropriate caption in sub-field k of the 853 field and the corresponding number(s) in sub-field k of the 853X field.



Example

A publication that begins with v.1:no.1(1998:Jan.15) will have the caption "day" recorded in sub-field k of the 853 field and the numbers 15 recorded in sub-field k of the 853X field.

Sub-Field l

Sub-field l is used for the fourth level of chronology. Enter the appropriate caption in sub-field l of the 853 field and the corresponding number(s) in sub-field l of the 853X field.

Sub-Field u

Sub-field u is used only in the 853 field and specifies the number of units per next higher unit. Sub-field u is numeric and must be repeated for each additional level of enumeration; only sub-fields a and g do not have corresponding sub-field u. The product of all sub-field u should equal the value of the sub-field w (frequency) less whatever is omitted in sub-field y. In the case of combined issues, the number in sub-field u should match the higher issue number.



Example

If nos. 3 and 4 of a quarterly publication are combined into one issue, sub-field u will be 4.

Sub-Field v

Sub-field v is used only in the 853 field and contains numbering continuity information. Like subfield u, sub-field v should be repeated for each instance of sub-fields b through f. Valid codes are "c" and "r," where "c" defines numbering that is continuous over volumes and "r" defines numbering that restarts at the completion of the unit.

Note: Sub-fields u and v must be used for each occurrence of enumeration levels 2, 3, 4, 5, and 6 (corresponding to sub-fields b, c, d, e, and f).

Sub-Field w

Sub-field w is used only in the 853 field. It defines the frequency of issues (i.e., the intervals between issues) and must be present. The frequency will determine the publication date of all the issues that will be opened from the 853 and 853X fields (unless they are specified in sub-field y). The publication date of the first issue specified in sub-field 3 is the starting point for the calculation of issue dates.

The following frequency codes in MARC 21 are valid in Aleph:

Code	Description	Interval
a	Annual	1 year
b	Bimonthly	2 months
c	Semiweekly	Twice a week
d	Daily	1 day
e	Biweekly	2 weeks (14 days)
f	Semiannual	Twice a year (6 months)
g	Biennial	2 years
h	Triennial	3 years
i	Three times a week	Three times a week
j	Three times a month	Three times a month
m	Monthly	1 month
q	Quarterly	3 months
s	Semimonthly	Twice a month (the 1 st day is the day specified in 853X sub-field 3 and the 2 nd day is that + fourteen)
t	Three times a year	4 months
w	Weekly	1 week

The frequency should equal or exceed the number of issues actually printed. In other words, if the serial is published eight times a year, bimonthly plus January and July, assign the frequency monthly to sub-field w and in sub-field y specify that four issues should be omitted. The frequency may also be recorded as a number, provided that sub-field is also used.

Sub-Field y

Sub-field y is used only in the 853 field and is used to qualify or modify the regularity of the publishing pattern as recorded in sub-field w (frequency). Note that sub-field y is mandatory for frequency codes c, i, and j, or if the frequency recorded in sub-field w is a number.

Sub-field y has three elements:

- **Publication code**

Use o (publication omitted) or p (published).

- **Chronology code definition**

To indicate a day:

- Use lowercase d if you will be specifying a particular date.
- Use uppercase D if you will be specifying a particular day of the week (such as Friday).
- Other values are m (month) and s (season).

- **Chronology code(s)**

If you use lowercase d to represent date, then to record the date, enter the number of the month (01-12) and the number of the day (01-31). For example, March 15 is recorded as 0315.

If you used uppercase D to represent day, then indicate the specific day of the week by its number (0=Sunday, 6=Saturday). This will enable you, for example, to omit every Friday from the publication schedule.

To record the month, enter the number of the month: 01-12.

To record the season, enter one of the standard two-character codes:

- 21 (spring)
- 22 (summer)
- 23 (autumn)
- 24 (winter)

Note: Multiple chronology codes should be separated by a comma, and combined issues are designated by a slash (/).



Examples

Subfield y	Explanation
pm04,08,12	Published in the months Apr., Aug. and Dec.
ps21,23	Published in the seasons spring and autumn
pd0101,0115,0201,	Published on the days Jan. 1, Jan. 15, Feb. 1, [etc.]
om06,12	Publication omitted in the months June and Dec. [etc.]
os24	Publication omitted in the winter season
od0615,1215	Publication omitted on the days June 15 and Dec. 15
oD0,6	Publication omitted every Saturday and Sunday
pm03,06,09/12	Published in the months Mar., June and Sept./Dec. (combined issue)

Sub-Field 3

Sub-field 3 is used only in the 853X field and indicates the publication (expected receipt) date of the first issue of the pattern. The date should be expressed as an eight-character, numeric code, where the first four characters indicate the year, the next two characters indicate the month (01-12), and the final two characters indicate the day (01-31).



Example

If you want the following to be displayed in the Publication Schedule window:

Description	Expected Receipt Date
v.1:no.1(1998:Spring)	03/15/1998
v.1:no.2(1998:Summer)	06/15/1998
v.1:no.3(1998:Autumn)	09/15/1998
v.1:no.4(1998:Winter)	12/15/1998

You should enter the data in the fields as follows:

```
853      $$a v. $$b :no. $$u 4 $$v r $$i ((year): $$j (season)) $$w q  
          (spaces for readability only)  
853X     $$a 1 $$b 1 $$i 1998 $$j 21 $$3 19980315
```

Note that the date entered in sub-field 3 of the 853X field (19980315) generated an Issue (expected receipt) date of the fifteenth of the month for each issue.

Sub-Field 8

Sub-field 8 is used only in the 853 field and is used to indicate the numeric starting point for a new publication pattern.



Example

If a semiannual publication that begins with v.1:no.1(2000:Jan.) becomes a quarterly beginning with v.3:no.1(2002:Jan.), the 853/853X fields should be set up as follows:

```
853      $$a v. $$b :no. $$u 2 $$v r $$i ((year): $$j (month)) $$w f  
853X     $$a 1 $$b 1 $$i 2000 $$j 01 $$3 20000101  
853      $$a v. $$b :no. $$u 4 $$v r $$i ((year): $$j (month)) $$w q $$8 3
```

Note that the number "3" in the sub-field 8 of the second 853 field instructs the system to create publication schedule issues on a quarterly basis beginning with v.3. 853 and 853X fields may be paired, if for example the enumeration changed from monthly to season.

Using Sub-Fields Together

There are three main fields that are used to identify the item as being a particular issue. These fields are year (sub-field i), volume (sub-field a) and issue (sub-field b). Note that "part" sub-field c is not used. (However, if you enter "part," it will be included in the description field of the issue.)

In the OPAC, the list of issues are sorted according to the year, volume and issue. If there is additional information, such as part, this is not taken into account in the sort.

Sub-Field Notes

Enumeration Sub-Fields (a-h)

In order to display an enumeration level with no caption, use a ^ sign in the enumeration sub-field of the 853 field.

For example, \$\$a ^ will display the volume number with no caption.

To display ordinal numbers, a + sign followed by a ^ sign should be inserted in the enumeration sub-field of the 853 field preceding the enumeration text.

For example, \$\$a +^series will be displayed as 1st series, 2nd series, etc.

Chronology Sub-Fields (i-l)

Sub-fields i-l of both the 853 and the 853X contain chronology information.

To suppress the display of the chronology captions, enclose them in parentheses.

Season and month display texts are generated in conjunction with the language code in position 35-37 of the 008 field of the ADM record. Based on the language code, the season and month names appropriate to that language will appear in issues description fields, including diacritics. These fields are not mandatory.

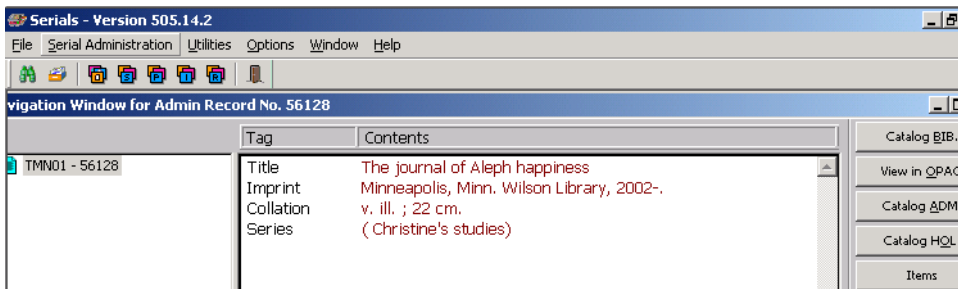
Establishing the Pattern

In order to correctly predict the publication dates of a serial's issue, you have to predict the publication pattern of the serial, based on previous experience or on published information.

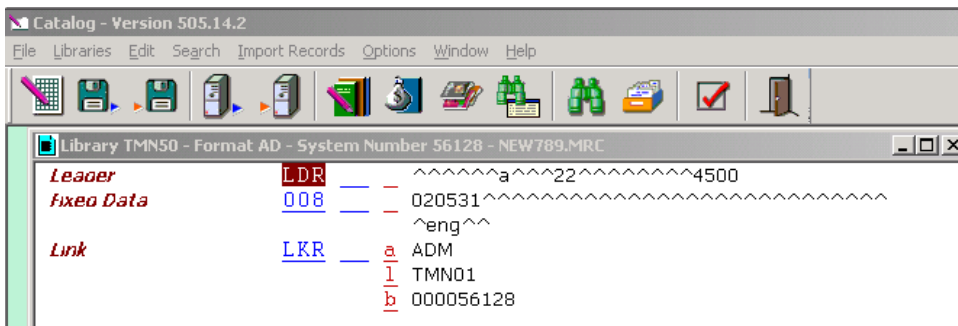
Although the Publication Schedule Form can be used to set up a pattern for a serial, we will not be using this method. Instead we will be using the Aleph 853/853X fields. (Refer to "[853 and 853X Sub-Fields in Detail](#)" in this manual.)

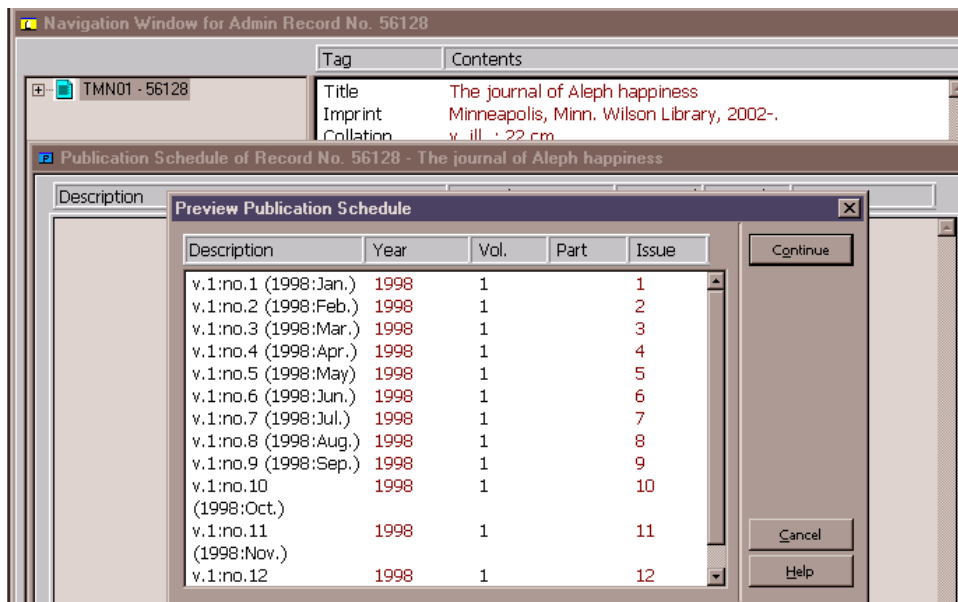
The definition of the pattern should describe the entire volume, even if the library begins to receive issues in the middle of the year (or, as in our case, we start establishing patterns in the middle of the year). If an incomplete definition is given, the system will not be able to open the pattern for the next year. If issues come in before the start of a complete volume, you will have to create item records manually (as we may have to do on converted records). If the frequency of a publication changes, in the middle of the year, after a pattern is established, you may have to alter the existing pattern until you are at the beginning of a volume.

To enter the 853 and 853X fields, first retrieve a serial record. Then go to the Navigation Window and click **Catalog ADM**.



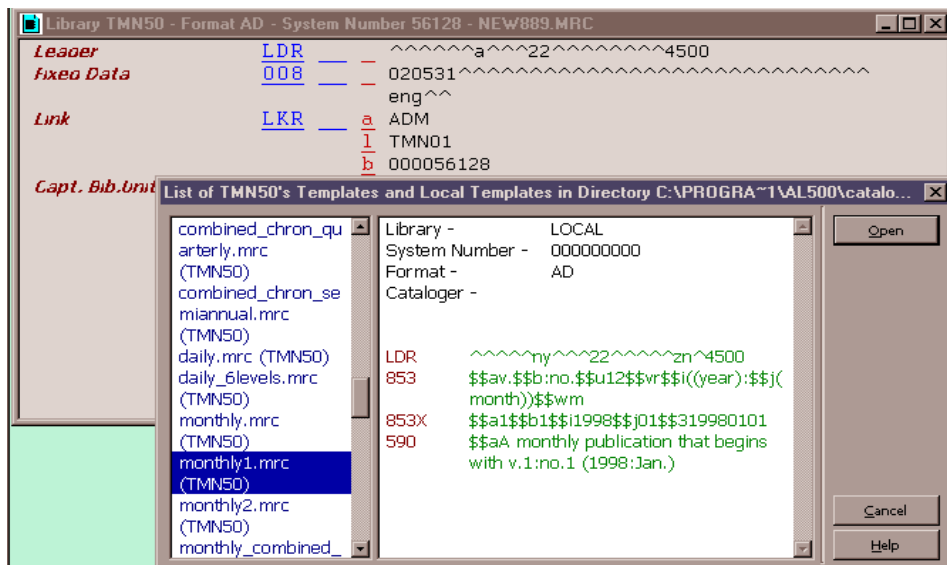
Doing so will transfer you to the Catalog module with the ADM record open for you to edit.





You may call up **Help on Field**, which provides information about special codes that may be entered in each sub-field.

Once in the Catalog module, you may use any templates your library has prepared for common publication patterns. To merge the fields of a template with the open ADM record, go to the Edit menu and choose **Expand from template**.

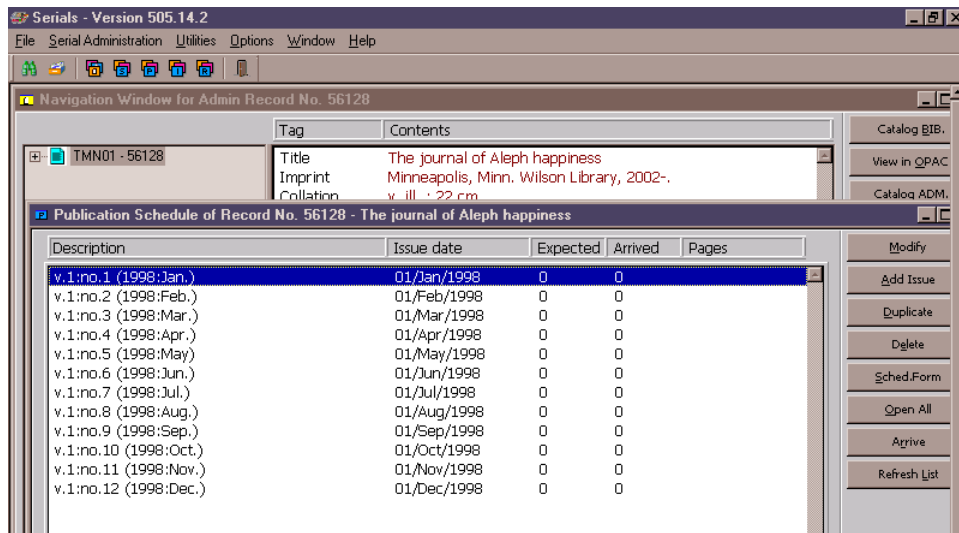


Select a template from the template list and click **Open**. The template will then be merged with the ADM record. Continue editing the ADM record. Save your record to the server when you are finished.

After you have entered data in the 853 and 853X fields, return to the Serials module and open the Publication Schedule window by clicking on the **Publication Schedule**

Window icon (P on the module toolbar) and click the **Sched.Form** button. The Preview Publication Schedule window will open, allowing you to view the schedule information before it is saved in the Publication Schedule.

If the information displayed is correct, you may accept it by clicking the **Continue** button, which will create the list of issues in the Publication Schedule window.



If the information displayed is incorrect, you may click the **Cancel** button, return to the Navigation Window, and click the **Update ADM** or **Catalog ADM** button to revise the fields.

Creating Patterns

There may not be a pattern template in the system for the journal you are working on. For these occasions, you may have to create a publication pattern. Patterns can be manually keyed into the 853/853X fields of the ADM record. Follow the procedure as outlined above to the point of being on the ADM record. Instead of selecting **Expand** from template from the Edit menu, simply press **F7** to create a new field. Type in 853. While the 853 is highlighted, select **Open form** from the Edit menu and fill in the appropriate fields. Repeat the process for the 853X field. Save your record by clicking on the **Server** icon (red arrow). Go back to the Serials module and check your pattern as described above.

Arriving Supplements/Special Issues or Combined Numbers on a Publication Schedule

Supplement/Special Issue

The publication information about one issue can be edited in the Publication Schedule window of the Serials module in order to record supplements, special issues or combined numbers.

1. In the Publication Schedule arrive the issue the supplement came with or highlight the previous issue. Click **Duplicate**. This will duplicate the Issue form of the previous issue.

The screenshot shows the 'Issue Form' dialog box with two tabs: '1. Information' (selected) and '2. Enumeration & Chronological'. The '1. Information' tab contains the following fields and controls:

- SICI Code: An empty text input field.
- Issue date: A date picker showing '07/01/2002'.
- Description: A text input field containing 'v.1:no.7:supplement (2002:July)'. This field is highlighted in the image.
- Pages: An empty text input field.
- Note: An empty text input field.

On the right side of the dialog, there are three buttons: 'Update', 'Cancel', and 'Help'.

2. In Tab 1 of the Issue Form:
Fill in the date of arrival in the Issue date field and give a description of the piece.
3. In Tab 2 of the Issue Form:
In order for the supplement to display after the issue it is supplement to, a decimal is placed after the issue number in the Issue Number field.

The screenshot shows a software window titled "Issue Form" with two tabs: "1. Information" and "2. Enumeration & Chronological". The "2. Enumeration & Chronological" tab is active. The form contains the following fields and values:

Volume:	1
Issue Number:	7.2
Part:	
Enumeration D:	
Enumeration E:	
Enumeration F:	
Enumeration G:	
Enumeration H:	
Year:	2002
Chronological J:	07
Chronological K:	
Chronological L:	

On the right side of the form, there are three buttons: "Update", "Cancel", and "Help".

4. After the Supplement has been added to the Publication Schedule, arrive the item by clicking **Arrive**. The system will automatically open the item during the arrival process.

Combined Issues

In order to arrive an issue that combines two or more expected numbers, the publication schedule for the title needs to be altered.

Example: v. 6, no. 1-2

1. Delete the earlier of the numbers from the schedule. In this example, delete the line containing v.6:no. 1.
2. Modify the line containing the last number so that it includes the previous numbers. In this example, modify the line containing v.6:no. 2 so that it reads v. 6:no. 1/2 and correct the issue date, if necessary.
3. By arranging the combined issues in this manner, claims are not sent out for the earlier number and the issue date and next expected issue stays on track in the schedule.

Irregular Serials

The problem with irregular serials is that the behavioral pattern cannot be predicted accurately. In this case, you have a choice about how to use the Publication Schedule window:

- Option 1:** You can create a "rough-cut" Publication Schedule based on an estimate of the serial's publication pattern. Then, when each issue arrives, you can modify the Issue Form to reflect the correct issue information. The first volume's data can be the basis for defining the next volume's Publication Schedule.
- Option 2:** For very irregular serials, no publication pattern may be possible. You can do manual check in by creating an item record for each issue. In this scenario, there is no Publication Schedule defined at all and fast check in will not be possible. Refer to your Holdings and Items Manual for specific instructions on how to create an item record.

Item Records

Navigating the Items Module

Refer to “Items Module Menus and Icons” in “Aleph Codes and Lists” for menu commands, icons, and keystroke sequences used for Items Module navigation.

Items Module Windows

Every distinct physical part of a title will have an item record created for it. Monograph items will be most often created at time of order. Serial item records will be created automatically, if a title has a publication pattern. If an item record is not created automatically, you must create one manually. All item records will probably have to be touched to provide the piece with a local barcode and to check for accuracy.

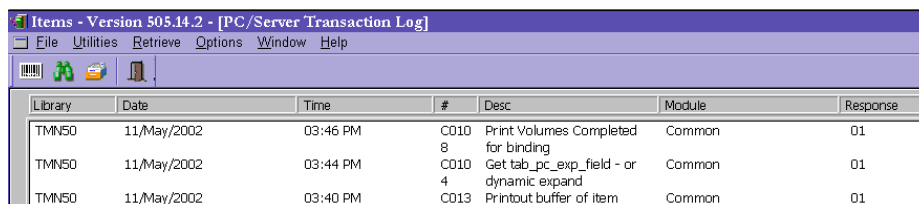
Navigation Window

When you push from a module to the items module, two windows automatically appear. The Navigation window is similar to what you see in the GUI OPAC, except that you can only have one record in the Nav. Map (left side of screen) at a time.

From the menu bar (between the blue bar and the icons), you can **Delete item defaults** set through the item form (under File). **Print a label** or **Change item process status** (under Utilities). Under Retrieve, you can search for an item by barcode or search for a title through scan or find. You may also **Quick Catalog**, that is create a brief bibliographic record in the items module. Under Options, you can **Show PC/Server Transactions** and **Retrieve Triggers**.

The **Quick Catalog** function allows you to create a short bibliographic record through the items module. This function will probably be used mostly by Circulation and, so, will not be covered here.

By clicking **Show PC/Server Transactions** off the Options menu, you can get a list of all the transactions that have occurred on a given item record:

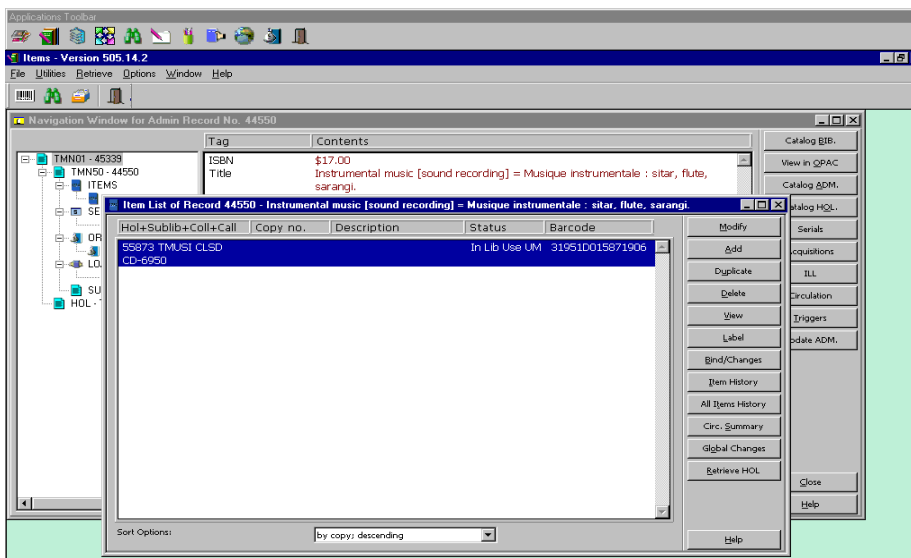


Library	Date	Time	#	Desc	Module	Response
TMN50	11/May/2002	03:46 PM	C010 8	Print Volumes Completed for binding	Common	01
TMN50	11/May/2002	03:44 PM	C010 4	Get tab_pc_exp_field - or dynamic expand	Common	01
TMN50	11/May/2002	03:40 PM	C013	Printout buffer of item	Common	01

Deleting item defaults, printing labels, and deleting item defaults will be covered later in the manual.

Item List

You will also see the Item list. This will list all items for the associated bibliographic record and allow you to manage them. The buttons on the right side of the item list will allow you to add an item (using **Add** or **Duplicate**), change an item form (**Modify**), remove an item if it has never been loaned (**Delete**), look at, but not change an item (**View**), look at the item(s) history (**Item History**, **All Item History**), see circulation summaries (**Circ. Summary**), and performing binding (**Bind/Changes**) and labeling (**Label**) functions. It also allows you to link and unlink items to Holdings records (**Retrieve HOL**) and to make broad changes (**Global Changes**). More about each of these functions will be discussed later.



The information displayed for each item includes:

**Hol+Sublib
+Coll+Call**

This column displays the Holdings record number (if the item is linked to a holdings record), the sub-library & collection, and the call number (if the item is linked to a holdings record).

This line will not be repeated for multiple items with the same information (except on long item lists, when it is occasionally repeated so that the information is easier to find).

Copy no.

The copy number will display in this column.

Description

The description (enum/chron) information will display in this column.

Status

The loan status will display in this column.

Barcode

The barcode number will display in this column.

The items may be sorted in various ways (through the sort options box).

If the material type in an Item Form is **Issue** (used for unbound serials), the items will sort differently than if the material type is anything else.

When you have an Item List displayed, other people may view the Item List, but they cannot modify any of the item forms. The first person to call up the item list locks other people out.

Item Form

The screenshot shows the 'Item Form' window with four tabs: '1. General Information [1]', '2. General Information [2]', '3. Serial Information', and '4. Serial Levels'. The '1. General Information [1]' tab is active. The form contains the following fields and controls:

- Barcode: 31951D015871906
- Sub-library: TMUSI
- Collection: CLSD
- Call Number Type: 4, with a checkbox for 'Temporary Location'.
- Call Number: \$\$jCD-6950
- 2nd Call Number Type: (empty)
- 2nd Call Number: (empty)
- Copy number: 0
- Enum.level.1 (a)(vol): (empty)
- Enum.level.2 (b): (empty)
- Description: (empty)
- Material type: SC
- Item status: 04
- Item process status: (empty)
- Hol Link: 55873

Buttons on the right side include 'Update', 'Save defaults', 'Circ History', 'Refresh', 'Cancel', and 'Help'.

If you click **Modify** on the Item list, you will see the item form for the currently highlighted item. The item form is also accessible from other modules.

Clicking on **Refresh** will populate fields, once you have linked to a Holdings record and show any other changes you have made.

Note: All changes you make in the items module are made to the server by clicking **Update**. This is different than the cataloging module where you need to specify that your changes are saved to the server.

When you click **Save defaults**, the information entered in certain fields of the current form will be automatically entered in *every* form you open from then on (or until you save another set of defaults). All the fields that were filled in on the record are saved and

copied to all records. If you want to delete the defaults, simply click on the File menu and click again on **Delete item defaults**.

If you wish to see an item's circulation history, click on **Circ. History** and the number of holds, number of photocopies, and total number of loans will appear. Alternatively, you may view an item's circulation history from the Item List, by highlighting the item you desire to view and click on **Circ. History**.

The item form will be locked for 100 seconds for you to fill out the information. During this time, other users may read but not edit any information on the same item record. Once that time has expired, you must save the record to the server and open it again in order to re-lock it.

Creating Item Records

Automatic Creation in Acquisitions

If a checkmark was placed in the **Create items** field of the **Order Form** window in acquisitions, the system will automatically create the proper number of item records for the number of units indicated. The system defaults to a checked value.

The screenshot shows the 'Order Form' window with three tabs: '1. Order Information', '2. Vendor', and '3. Quantity and Price'. The '3. Quantity and Price' tab is active. The form contains the following fields and controls:

- Order quantity: (label)
- Number of units:
- Unit price: Total price:
- Quantity note:
- Create Item Records
- Item collection:
- Estimated price: (label)
- Currency:
- List Price:
- Terms sign (+/-): Terms percent:
- Final Price: Local price:
- Price note:
- Encumber budget:

Buttons on the right side include: OK, Save Def, Refresh, Cancel, and Help.

You can view items that were created from an order by bringing up the **Order List window** for the title, highlighting the appropriate order and then clicking on the **Copies** button for monographic and standing orders.

With automatically created item records, some information, such as sub-library, collection, and material type, will be filled into the Item form. Double-check this information for accuracy.

Manual Item Record Creation

To create a new Item record, click **Add** on the item list window. This will bring up a blank Item form. You can also highlight an existing item and click **Duplicate**. Be sure to change all the appropriate values.

If there is a holdings record for the item, information from the holdings will override any information entered in the item form once the holding and item records have been linked, unless the box for '**Temporary Location**' is checked. (This will be discussed more later).

Item Form Tabs and Fields

Whether you are creating a new item, modifying an item or duplicating an item, you will use the **Item Form**, which has four tabs:

- General Information (1)
- General Information (2)
- Serial Information (3)
- Serial Level (4)

General Information (1) Tab

The screenshot shows the 'Item Form' window with the 'General Information (1)' tab selected. The form contains the following fields and values:

Barcode:	31951P00524180K	Update
Sub-library:	TMAGR	Save defaults
Collection:	PER	Circ History
Call Number Type:	5	Refresh
Call Number:		
2nd Call Number Type:		
2nd Call Number:		
Copy number:	0	
Enum.level.1 (a)(vol)	17	
Enum.level.2 (b)	5-8	
Description:	v.17:no.5-8 (1998)	
Material type:	ISSBD	
Item status:	11	
Item process status:		
Hol Link:	1694	Cancel
		Help

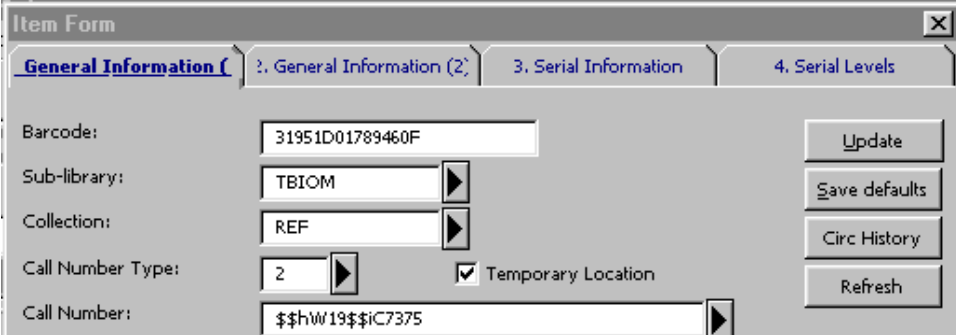
Barcode: This number is supplied by the system when the item is created automatically. It can be changed, but must be unique. If you leave this area blank, the system will insert a barcode when you click **Refresh** or **Update**.

Refer to "[Smart Barcode Slips](#)" in this manual for procedures on using macros for smart barcode slips.

Sub-library: The sub-library will be automatically entered from the appropriate holdings/order, but it can be changed, if the item is to have a temporary location. Clicking the **right arrow** button will give you a list of sub-libraries. The sub-library code may also be keyed manually.

Refer to the Sub-Library Codes listing in "Aleph Codes and Lists" for valid values.

- Collection:** The collection will be automatically entered from the appropriate holdings/order, but it can be changed, if the item is to have a temporary location. Enter the code for the appropriate collection or click the **right arrow** button to choose from a list. Only the collections valid for the sub-library selected above will appear.
- Refer to the Collection Codes listing in “Aleph Codes and Lists” for valid values.
- Call Number Type:** Enter the code for the Call Number type or click the **right arrow** button to choose from a list of call number types.
- Temporary Location:** If you need to change an item’s location temporarily, e.g. reserve, change the sub-library and/or collection, and other fields as appropriate (note the item status especially), and click the **Temporary Location** box. Clicking this box holds the location change until the box is clicked again. When the check is ‘clicked out’ of the box, the original location will automatically return to the Sub-library/Collection areas when **Update** is clicked. You will have to manually change the item status back to its original value.



Sample temporary location, where the latest ed. is on reference

- Call Number:** Enter the Call Number manually, if needed, or click the **right arrow** button to choose from a list of previously used call numbers.
- 2nd Call Number Type:** Use this field to define the Second Call Number type (used only for MLAC numbers here).
- 2nd Call Number:** Enter the Second Call Number (used only for MLAC numbers here).
- Copy number:** Enter copy number, if it is copy 2 or higher. (**0** indicates a single copy.) Copy numbers (0 is the system default) do **NOT** carry over from the Holdings record, so it must be entered manually.
- Enum.level.1 (a)(vol)** Enter first enumeration. Type only the number. The caption is not necessary, e.g. v.1, bd.1, t.1.
- Enum.level.2 (b)** Enter second enumeration. Type only the number. The caption is not necessary, e.g. no.2, hft.2

- Description:** The description field is used for the full enumeration of serials. Input the enumeration as it should appear in the Web OPAC, e.g. v.1:no.1 (2002 Jan.). To make it easier for you to consistently enter the same text (which is necessary to ensure that this function works properly), a list of previously used descriptions is available by clicking the **right arrow** button to the right side of the field. Make sure to carefully edit this information to reflect the item in hand. In addition, it is worth noting that the description text is displayed in the OPAC in alphanumeric order.
Note: For standing orders and serials, the initial item record description field will include a volume number and a note concerning future volumes (e.g. Vol.2 and future volumes). Make sure to correct this to reflect the item in hand.
- Material type:** Carefully check this area. The system will default to the most common material type for the sub-library. Make sure the correct code for the material type is keyed in or click the **right arrow** button to choose from a list.
Refer to the Item Material Type Codes listing in "Aleph Codes and Lists" for valid values.
- Item status:** Carefully check this area. The system will default to the most common item status for the sub-library. Make sure the correct item status is keyed in or click the **right arrow** button to choose from a list. (This status will help determine the circulation period and will become active whenever there is no **Item Process status** filled in.)
Refer to the Item Status Codes listing in "Aleph Codes and Lists" for valid values.
- Item process status:** Enter the code for the **Item Process status** or click the **right arrow** button to choose from a list. Although some process statuses are created / modified automatically, you may change the **Item Process status** here and you **MUST** remove this status when it is no longer needed.
Refer to the Item Process Status Codes listing in "Aleph Codes and Lists" for valid values.
- Hol Link:** If a holdings record is created prior to the item record, the holding number will be entered by the system. If a Holdings record is created after the item record, link the item record to a holdings record, click the arrow and select the correct holding and holdings record number will be entered in the field. If a new holdings record is needed, leave this field empty. Click the **Refresh** button and information from the Holdings will populate the Item record.
"Hol link: If the sub-library that the order is for already has a holdings record, the item can be linked to it from this field. If a new holdings record is needed, leave this field empty."

General Information (2) Tab

The screenshot shows the 'Item Form' window with the 'General Information' tab selected. The form contains the following fields and values:

Field	Value
OPAC note:	CD ROM in back (Note seen in Web OPAC)
Circ. note:	Return to cataloging (Note seen through circ)
Internal note:	replaced 5/2/02
Order number:	5920-23
Invoice Key:	000
Invoice Note:	
Inventory number:	AAB8587 002 00024
Inventory date:	00 00 0000
Last Inv. Report date:	00 00 0000
Price:	
Statistic:	
Open date:	23/Mar/1999
Update date:	06/Apr/2000

Buttons on the right side of the form include: Update, Save defaults, Circ History, Refresh, Cancel, and Help.

- OPAC note:** Use for notes that should display to the public. (The Web OPAC team has found no examples for this and may NOT include the column in the Web display.)
- Circ. Note:** These are notes for the use of circulation staff or to alert circulation to some feature of the piece, e.g. a CD in the back pocket.
- Internal note:** The text entered here is item specific and will appear only on this form and is intended for library staff only. (Note can be up to 200 characters.)
- Order number:** The order number will be entered by the system from the order. However, you may change the order number by entering the correct order number in this field or you may select the order number from the **Order Index List** by clicking the **right arrow**. If, for some reason, there is no number, find the appropriate order number and type it in.
- Invoice Key:** If an invoice has been created for this order, you can add the **Invoice** information by clicking the right arrow. The **Invoice List** will be displayed. By clicking the **Select** button, the invoice information will be inserted into the **Invoice Key** field of the **Item Form**.
- Invoice Note:** This is a read-only field. This note comes from the **Note** in the **Line Item** of the **Invoice**.

Inventory number:	Do not use.
Inventory date:	Do not use.
Last Invent. Report date:	Do not use.
Price:	<i>Read only:</i> This is filled in by the system. To compute the price, the system uses information that was entered in the Order Form and divides the local price by the number of units.
Statistic:	Do not use at this time.
Open date:	<i>Read only:</i> This is filled in by the system. This is the date that the Item was created.
Update date:	<i>Read only:</i> This is filled in by the system. This is the date that the Item was last updated.

Serial Information Tab

The screenshot shows the 'Item Form' dialog box with the 'Serial Information' tab selected. The dialog has four tabs: 'General Information (1)', 'General Information (2)', 'Serial Information', and 'Serial Levels'. The 'Serial Information' tab contains the following fields and buttons:

- Schedule:
- Subscription no.:
- Pages:
- Description:
- Issue Date:
- Exp. Arrival Date:
- Arrival Date:
- Buttons: Update, Save defaults, Circ History, Refresh, Cancel, Help

Schedule:	This is the line number in the Publishing Schedule in the Serials module. It is filled in automatically by the system if the item has been opened in the Serials module.
------------------	--

- Subscription no:** This is the sequence number on the Subscription List in the Serials module. It is filled in automatically by the system if an item was opened in the Serials module.
- Pages:** *Optional:* Enter the pages included in the issue.
- Description:** The description field is used for the full enumeration of serials. Information in this field should move automatically from the **General Information 1** tab. In the event it doesn't, input the enumeration as it should appear in the Web OPAC, e.g. v.1:no.1 (2002 Jan.). To make it easier for you to consistently enter the same text (which is necessary to ensure that this function works properly), a list of previously used descriptions is available by clicking the **right arrow** button to the right side of the field. Make sure to carefully edit this information to reflect the item in hand. In addition, it is worth noting that the description text is displayed in the OPAC in alphanumeric order.
- Issue Date:** This is the publication date of this issue. If publication patterns are in force, this area will populate via predictive check-in. However, if there is no predictive check-in for the title, or one library is using predictive check-in and the other is not (e.g. for annuals), the non-predictive check-in library must fill this field in manually.
- Exp. Arrival Date:** This is the expected date of arrival of the issue, taking into account the delay between the issue date and the date of receipt. This area should populate via predictive check-in, if there is a publication pattern for the title. However, if there is no predictive check-in for the title, or one library is using predictive check-in and the other is not (e.g. for annuals), the non-predictive check-in library must fill this field in manually.
- Arrival Date:** This is the actual date on which the item was received. This area should populate via predictive check-in, if there is a publication pattern for the title. However, if there is no predictive check-in for the title, or one library is using predictive check-in and the other is not (e.g. for annuals), the non-predictive check-in library must fill this field in manually.

Serials Levels Tab

The **Serials Levels** tab is shown in the illustration below. The fields relate to the various numerical and chronological designations of the serial. If predictive check-in is being used, much of the information in tabs 3 and 4 will be filled in automatically. For manual serial item creation, use a previous item record for the same location, if one exists, and duplicate. For new serial titles, item records will have to be created from scratch. Fill in the appropriate fields on all tabs.

The screenshot shows the 'Item Form' window with the '4. Serial Levels' tab selected. The form contains the following fields and buttons:

Field Label	Value
Enum.level.1 (a)(vol)	17
Enum.level.2 (b)	5-8
Enum.level.3 (c)	
Enum.level.4 (d)	
Enum.level.5 (e)	
Enum.level.5 (f)	
Alt.enum.1 (g)	
Alt.enum.2 (h)	
Chron.level.1 (i)(year)	1998
Chron.level.2 (j)	
Chron.level.3 (k)	
Chron.level.4 (l)	

Buttons on the right side of the form: Update, Save defaults, Circ History, Refresh, Cancel, Help.

The Enum levels will populate from the General information tab. However, **Chron.level.1** must be filled in with only the year of the issue.

After filling in the Item Form, click the **Update** button to activate changes/creation.

Duplicating an Item

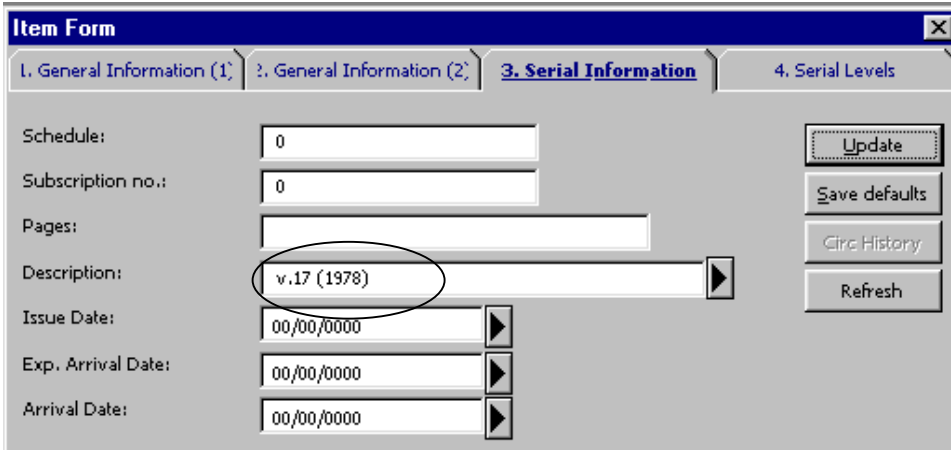
To duplicate an item, open the item list for the title. Highlight the item you wish to duplicate (the most current item would be the most likely candidate) and click on the **Duplicate** button. This action will fill in a new item form exactly like the one you just duplicated. Edit the record according to the information available on the item in hand. Modify the following data on the **first General Information** tab, as needed: barcode, enum levels, description, and item status, if necessary. Add other information, such as circulation and OPAC notes to the **second General Information** tab.

The screenshot shows the 'Item Form' dialog box with the 'General Information' tab selected. The form contains the following fields and values:

Field	Value
Barcode:	
Sub-library:	TBPER
Collection:	GEN
Call Number Type:	4
Call Number:	
2nd Call Number Type:	
2nd Call Number:	
Copy number:	0
Enum.level.1 (a)(vol):	17
Enum.level.2 (b):	
Description:	v.17 (1978)
Material type:	ISSUE
Item status:	66
Item process status:	
Hol Link:	715580

Buttons on the right side of the form include: Update, Save defaults, Circ History, Refresh, Cancel, and Help.

Modify the description field of the **Serial Information** tab, as shown.



The **Serials Levels** is shown below. Modify and/or add information to this tab as needed, such as the Enum.level.1 and Chron.level.1 fields. Clicking on the **Refresh** button will allow you to see the information you have modified. When you are satisfied with the information, click **Update**, to save the changes.

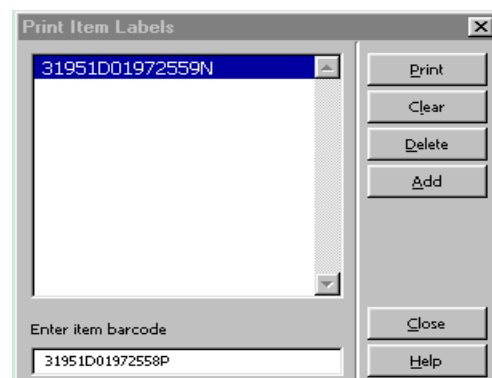
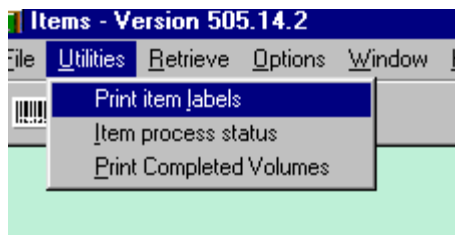
Creating Spine Labels

Labels are printed in the Items module. There are two methods:

- Method #1:** Clicking on **Utilities** (in the bar at the very top) and selecting **Print Item Labels**. The system will display a window into which several barcodes can be read.
- Method #2:** Highlighting the item in the Items List and clicking on the **Label** button.

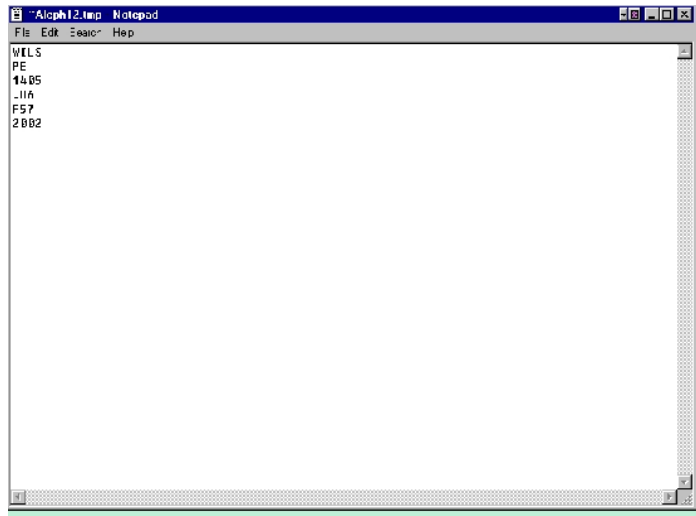
Method #1

From the Utilities drop down in the Items module, choose **Print Item Labels**.



Barcodes may be scanned or typed in (press **Add** after each barcode, if your scanner does not 'enter' automatically). You may scan in as many barcodes as you like (the limit is greater than 50). Click on **Print**. The print function should bring up your Notepad session, with the call numbers listed.

Edit the call numbers, as necessary, per unit policy. Select and click **Print**, from the File pull-down menu and then click **OK** on the print dialog box. This action causes the labels to print.

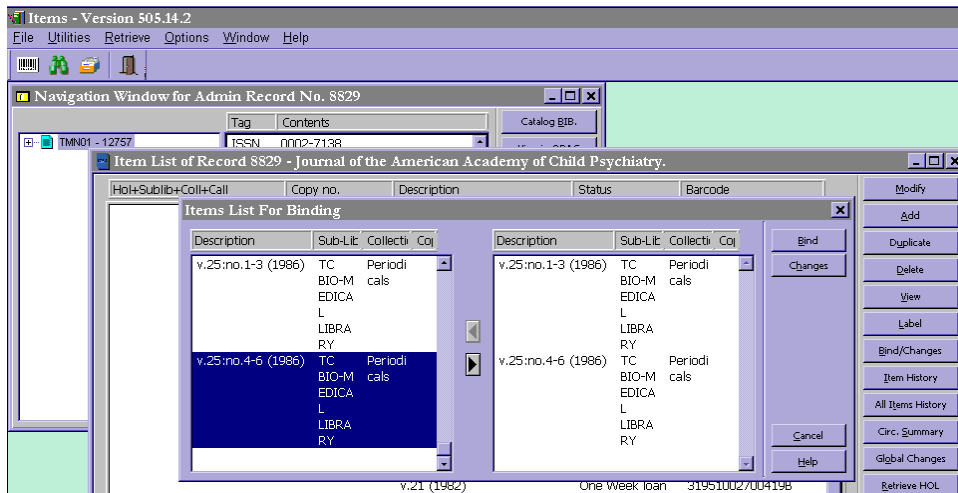


Method #2

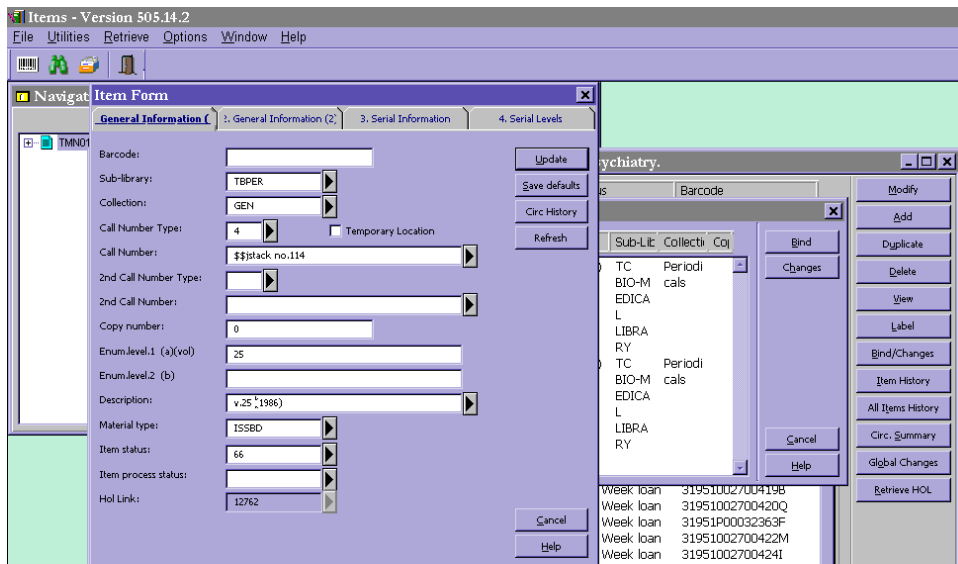
To print one label at a time, highlight the item on the item list and click on **Label**. The call number will come up in Notepad Print as directed above.

Binding

The binding process for Aleph is also managed in the Items module. On the Items List screen click on the **Bind/Changes** button and the **Items List for Binding** pops up. This is the binding screen. It is divided into two parts. On the left side select the issues, for binding, and move them to the right side of the binding screen via the **right arrow**.

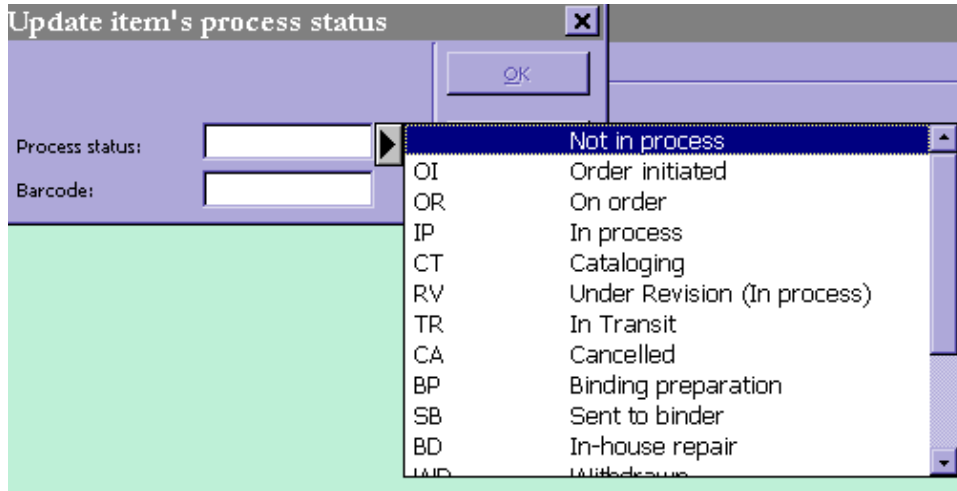


Click on **Bind** and a new item form will be displayed. Edit this new record as needed, especially note the Enum.level.1 and the Description. Click **Update**. The individual item records are preserved in the Item History and will not display in the OPAC. A new Material Type of **ISSBD** is system defined for Bound volumes.



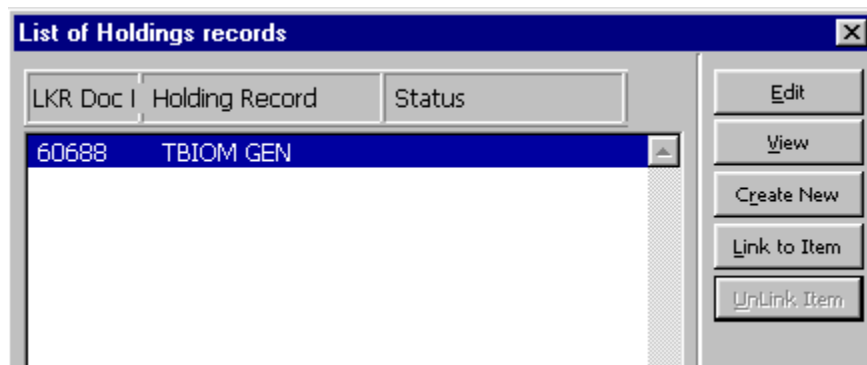
Updating Item Process Status

To update an item's item process status quickly, click on **Change item process status** in the Utilities menu of the Items module. Choose an item process status from the drop down menu that appears when you click the **right arrow**. Alternatively, the process status code may be keyed in manually.

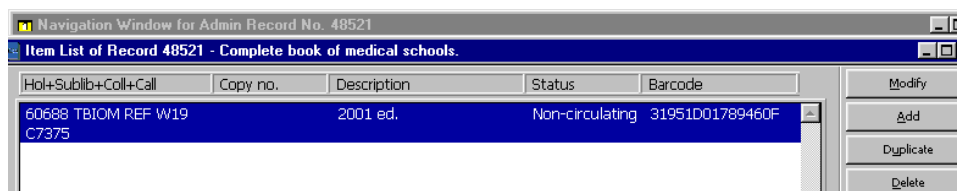


Linking Holdings

If the item(s) is not linked to a holdings record, you will need to link them to a Holdings record. Click **Retrieve Hol** from the Item list. You will see a list like this:



All of the Holdings records will appear in the list of Holdings. Pay attention to the Holding record number when cataloging so that you can distinguish it in the list. Select the appropriate Holding record. Click **Link to Item**. The item list will now look like this:

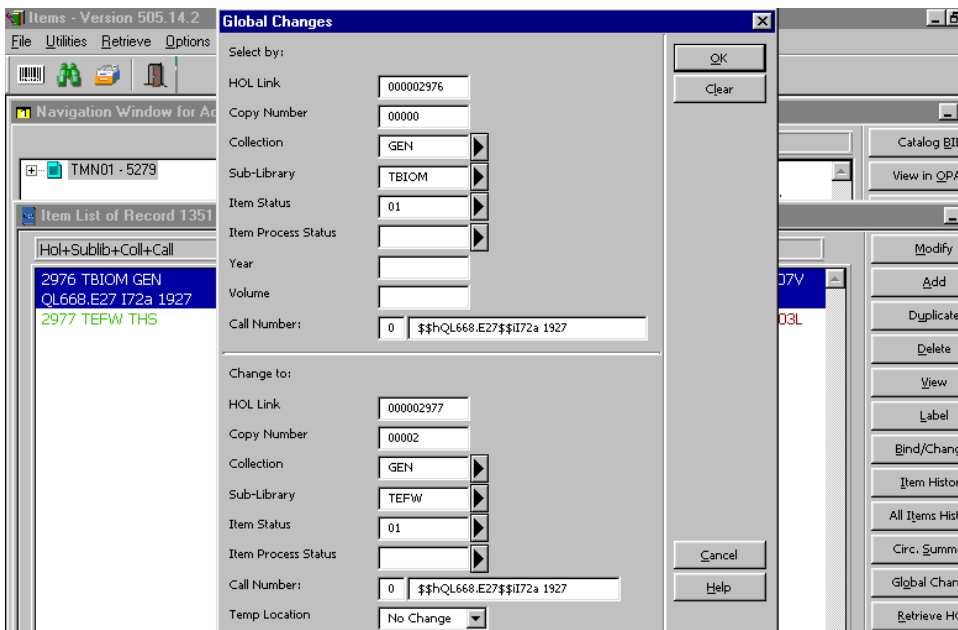


To unlink an item from Holdings, you can reverse the process by clicking **Unlink Item**.



Global Changes

Click **Global Changes** from the Item List to make changes on a selected set of items. The **Global Changes** will appear. Changes can be made on all items in the list or on a group of items selected according to defined criteria. While the following example shows a change from TBIOM to TEFW for a single volume, this process may be most efficient for moving multiple volume sets from one sub-library/collection to another.



Smart Barcode Slips

Smart barcodes on slips of paper are needed for certain types of materials. Macros are used to generate these smart barcodes. Contact Michael Johnson (m-john1@tc.umn.edu) for your initial setup to work with these macros. Once you are set up, follow these procedures.

Have the following files opened:

- scargbarcode.xls

Note: This file contains macros, and a warning message will pop up when you open it. You can click either **Disable Macros** or **Enable Macros**.

- scarg.mdb

The Excel sheet should have the first unused item ID with the *focus*, that is, the box selected.

In Access:

- Click to close the popup intro screen.
- Click on the **Tables** tab.
- Double-click **ItemInfo** to open the table.
- The cursor in Access should be at the start of the first field of the new record.

Procedure

1. Store information.
 - Run the macro “Copy to Access” from the Cataloging module, with the particular record to be retained having the focus.
 - You will be prompted to enter the Bibliographic ID. It can be found as part of the title bar for the record.
 - You will then be prompted for a sub-library and collection. Enter this information without a comma and in lower-case. (The macro will automatically change it to upper case.)

Note: For speed, each user can be set up with a default location code that will be used if they just press [**Enter**] without entering information.
 - The macro copies the record and analyzes it internally, extracting the information it needs. The macro will switch to Excel, save the current item ID, delete it from the spreadsheet, and move the focus down to the next item ID. It then moves to

the Access database, and stores the record ID, location code, call number, title, author and item ID. Upon completion, the cursor will be at the starting field of a “new” record.

2. Transfer item ID to Item Record.

- In Access, make sure that the cursor is in the first field of the new record.
- Complete all work on the item record *before* running this macro. Specifically, any copy number or description that is to be extracted for the smart barcode should already be on the item record, the record updated and then closed.
- In the Items module, highlight (but do *not* open) the specific item record that needs updating.
- Activate the macro “Update Item Record.”

The macro will open the item, pull the item ID from Access, return and put the item ID in the record, and then extract copy number and description and return those back into the Access database.

3. Print barcodes.

- Switch to the Access database.
- If the table “ItemInfo” is displayed, click on the box with an “x” to close it.
- Click the **Reports** tab.
- Highlight the report named “PrintMe.”
- Select **Print** under file, or click the **Print** button on the toolbar to send the print job to the printer.
- Return to “Tables” and “ItemInfo,” putting the cursor in the first field of the new record.
- If barcodes printed without error, you can delete all previous records by selecting (clicking the row headers in front of each record), and pressing the [**Delete**] key.

Warning:

This cannot be undone, so you should be confident that you no longer need the given records.

- Click through the confirmation screens.
- After deletion, or anytime you are finished working in Access, the cursor should be returned to the first field in the new record.

4. Close spreadsheet.

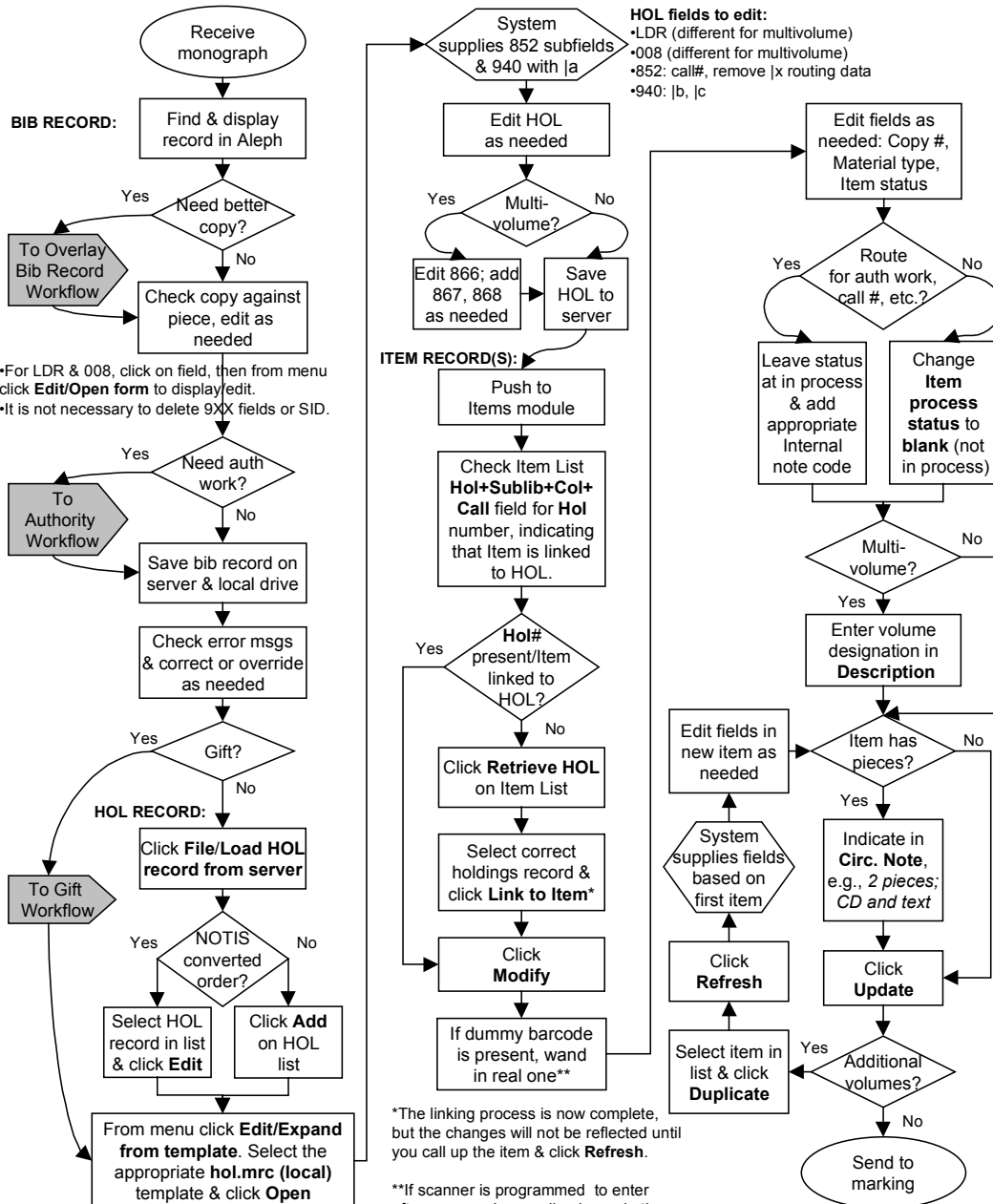
- Each time the Excel spreadsheet is closed, you will be asked whether you wish to save the changes. Always click **Yes**.

Cataloging Procedures

Monographs

Monograph Copy Cataloging Workflow

Monograph Copy Cataloging Workflow



Last updated 12/4/02

Streamliners Policy: Guidelines for Editing Copy Cataloging

The following recommendations are meant to apply to the copy cataloging of most books. In a few instances, some special editing may be done for certain categories of material. They may also be applied to copy cataloging for other formats, according to the appendix noting special circumstances. (Appendix under construction.)

General Principles

Because we assume that the copy we use from other libraries has been cataloged according to national standards, we do only a minimal amount of editing of bibliographic records.

We are concerned primarily with user access, not descriptive details, except to the extent that they affect access.

We are not responsible for the entire content of the bibliographic record when accepting another library's copy. The presence of 040 |d MnU (MnSU, MnU-B, MnU-L) merely means that we have changed something on a record, not that it has been brought up to AACR2 standards or that everything on it is perfect. Thus, we do not upgrade pre-AACR2 cataloging except forms of names and series headings or other discrepancies that would inhibit access. If a record is missing information, we enter it according to current guidelines, but we do not go back and verify or correct the format of information entered by other catalogers.

We are, however, responsible for doing authority work according to our established guidelines. Our guidelines are designed to ensure that needed references will be added to the database either by catalogers or by Database Management, with a minimum of duplicate effort between the two. (Refer to "[Authority Work for Copy Cataloging](#)" in this manual.)

We are also responsible for holdings information on records.

Access Points and Description

[Where treatment of CIP copy differs, it is noted in brackets following that for completed copy]

Access points should agree with what is suggested in the descriptive portion of the cataloging copy and the item. When checking for access points, look at only the descriptive portion of the record and item t.p., t.p. verso, cover, and series t.p. It is not necessary to examine preface or introduction.

Do not delete existing access points, even if they seem extraneous. Add access points only if they are "glaring" omissions, e.g., a joint author on title page was omitted, a series was omitted (if in your judgment item is still the same edition), a differing spine or cover title was omitted.

[CIP: Information of "bibliographic significance" on the t.p. must be covered somewhere in the record's descriptive fields. If cataloger is not changing the description, access points can usually be accepted as they are. But if names or titles are added to or deleted from the description, corresponding access points must be added or deleted.]

Streamliners Cheat Sheet: Guidelines for Editing Copy Cataloging

Editing Bib Screen

1. To check LDR, click on the field and press [**Ctrl-F**] to bring up form. Check only the following five fields:

Tag	Field Name	Most Common Values
05	Record status	n new c corrected p increase in encoding level from pre-publication
06	Type of record	a printed language
07	Bibl level	m monograph/item
17	Encoding level	^ full 4 core 8 pre-publication
18	Descriptive cataloging	a AACR2 i isbd

Click on **Help** for other values.

2. To check 008, click on the field and press [**Ctrl-F**] to bring up form. Check only the following four fields:

06	Type of date
07-10	Date
15-17	Publication place
35-37	Language

Click on **Help** for field values.

3. Variable fields:

040 Add \$\$dMnU (MnSU, MnU-B,MnU-L) when making substantial change to record.

[CIP: always add \$\$d]

- 1XX/
7XX** Do authority work as required.
- Access points required by the statement of responsibility on the item and in accord with the “[rule of 3](#)” should be present.
 - Do not be concerned whether an access point is tagged 1XX or 7XX as both are searchable.
- 245**
- Verify accuracy of second indicator (non-filing characters).
 - Verify that title proper (\$\$a) and subtitle (\$\$b) are correct and complete.
- [CIP: same as completed copy, but also verify that statement of responsibility (\$\$c) matches t.p. except where the following cataloging principles apply: “[rule of 3](#),” “[bibliographic significance](#)” of responsible parties named, and bracketed information taken from source other than t.p.]
- 246** Use for most added title access points, unless the title is of an analytical nature, in which case the 740:X2 coding is appropriate.
- 250** Should be present if item contains a [true edition statement](#).
- 260**
- If you are confident that copy corresponds with the item in hand, accept 260 as is.
 - As long as the form or division of publisher’s name in the 260 field of copy is somewhere in the item, accept it.
 - If distributor is on copy, accept; if not, do not add.
 - If publication and copyright dates differ, do not add copyright date; it is not necessary to add “c” to copyright date.
- 263** Not applicable to completed copy.
- [CIP: Always delete.]
- 300**
- Completed copy needs subfields \$\$a, \$\$c, and \$\$b if applicable.
 - Do not count pages except for obvious errors, e.g. 160 vs. 610 p.
 - If item contains any illustrations, add \$\$b ill. with no further elaboration.
 - Do not measure item unless size is borderline [octavo/quarto/folio](#).
 - Accept 300 as is on pre-AACR2 copy.
- [CIP: Complete subfields \$\$a, \$\$c and \$\$b if applicable. Ignore numbered or unnumbered plates unless they represent a substantial portion of the item.]

- 4XX/8XX** Do authority work as required.
We trace all series, so there should be either a 440 or a 490 with a subfield 1 and accompanying 8XX field, whenever a series is present.
[CIP: Check for series information that may not have appeared on item prior to publication]
- 5XX** Accept as is. Make sure that access points suggested by 5XX notes are present in the record.
[CIP: It is important to look for new information, e.g., bibliographies, indexes, earlier editions with different title requiring an additional access point.]
- 6XX** Do authority work as required for 600, 610, 611.
At least one 6XX with second indicator 0 required, unless item is a work of literature by a single author. (If subject missing, pass on to original cataloger.)
- 9XX** Accept as is.

4. Save to server.

Creating Holdings Record

1. From File menu, click **Load HOL record from server [Ctrl-O]**.
2. Select **HOL** record in list & click **Edit**; or if no record in list, click **Add**.
3. From **Edit** menu, click **Expand from template [Ctrl-E]**.
4. Choose **appropriate template, e.g. holMnU.mrc (Local)** and click **Open**.
5. Open **LDR**--click on the field and press **[Ctrl-F]** to bring up form.

Correct values for single-part item:

05 **n**
06 **x**
17 **1** (encoding level)
18 **n**

6. Open **008** form—click on field and press **[Ctrl-F]** to bring up form.

Correct values for single-part item:

06 **2** complete
12 **8** permanently retained
16 **4** not applicable, single-part item

7. Complete **940** field.

\$\$b **CAT**

\$\$c **YYYY-MM-DD** (e.g. 2003-01-15)

8. Complete **852** field.

Most common values:

First indicator (**0**=LC, **1**=Dewey, **3**=SuDoc, **4**=local, **5**=title)

\$\$a **MnU** (MNSU for St. Paul)

\$\$b **TWILS** (TSCI, TMAGR, etc.)

\$\$c **GEN**, etc. **N.B.** *Verify that subloc matches subloc in book.*

\$\$k Type in **Quarto** or **Folio** for oversize items.

\$\$I Insert **x** after Cutter if member copy.

9. Save to server.

Creating Item Record

1. From Holdings Record Push to **Items**.
2. Click **Modify** if Item is linked, then skip to step #6. (Refer to "[Linked and Unlinked Items](#)" in this document for more information.)
3. For unlinked Items*, click **Retrieve HOL** on Item List. (Refer to "[Linked and Unlinked Items](#)" in this document for more information.)
4. Select correct holdings record and click **Link to Item**.
5. Click **Modify** and then **Refresh**.
6. Click **General info tab 2** to clear previous tracking notes or add required notes.

Circ. note: **Enter pieces here.**

Internal note: **Enter tracking information here.**

Order number: **Enter order number for cat seps here if not present.**

7. Click **General info tab 1**.
8. Edit fields as needed.

Most common values:

Item process status **blank**=not in process (if not routed for aut or cls)

Item status **01**=[Regular loan](#)

Material type **BP**=Book (Print)

Copy number **0**=1

Call number type **0**=LC

Note: If **Call number type** is blank, go back to Holdings record and make sure you have coded 852, first indicator.

9. Wand in barcode if dummy barcode appears. If your scanner is not programmed to enter after a scan, you will need to update.
If item has not been barcoded (Wilson procedure)...
 - For paperbacks--place **red** barcode at the top of the page on last page of the book.
 - For hard covers—place **white** barcode at top of back cover.

Finishing Up: Handing Off Classification, Special Shelisting Questions or Authority Work

1. Deliver books with classification or authority questions to your team's designated shelves.
2. Tracking location of items is noted on Item record in an Internal note (found on General Information tab 2). Refer to "Tracking Codes (MAC Wilson)" in "Aleph Codes and Lists" for more information.
3. These items will have **item record status** changed to **blank** (not in process) by those doing classification and authority work. They will also **delete tracking code information** and click **Update**.

Record Statistics

Supplementary Information

Rule of Three (AACR2r 1.1F5)

If a single statement of responsibility names more than three persons or corporate bodies performing the same function, or with the same degree of responsibility, omit all but the first of each group of such persons or bodies. Indicate the omission by the mark of omission (...) and add et al. (or its equivalent in a nonroman script) in square brackets.

Bibliographic Significance (LCRI 1.1F1)

Guidelines for Recording Statements of Responsibility

To achieve the objective stated above, observe the following guidelines:

1) Include in statements of responsibility the names of those whose contributions are judged to be of bibliographic significance if such names appear prominently.

Judge bibliographic significance as follows:

- a) Editors. Bibliographic significance in this context encompasses that portion of the definition of the term "editor" in the glossary stating that the editorial labor includes "... revision (restitution) or elucidation of the text, and the addition of an introduction, notes, and other critical matter."

Excluded from this category and, therefore, not candidates for transcription are credits for "in-house" editors, editorial supervisors, publications editors, managing editors, photo-editors, sponsoring editors, and the like.

- b) Others. Bibliographic significance in this context equates to the definition of statement of responsibility in the glossary, namely "... persons responsible for the intellectual or artistic content of the item ... or performance of the content of the item." Excluded from this category and, therefore, not candidates for transcription are statements of technical credits, often performed by in-house staff members of publishing firms. Note that statements of technical credits are often elsewhere than the chief source.

2) If there is doubt whether a statement is of bibliographic significance, proceed as follows:

- a) If the statement is in the chief source, transcribe it.
- b) If the statement is not in the chief source, do not transcribe it.

True Edition Statement

In foreign imprints, an edition statement is often a printing.

Foreign publishers of belles lettres, listing a long publication history of the title, and using edition and printing interchangeably, pose a particular problem. Suspect that the "edition" statements are really only printing statements, and therefore they should be disregarded. As a general practice consider this principle: Use what information is known, however the knowledge comes to you in the course of your work.

Quarto/Folio

Folio	Over 31 cm.
Quarto	Over 27-31 cm.
Quarto	Over 26-31 cm. (MAC Wilson only)

Note: These are actual measurements. 31 cm. would still be a quarto. 31.1 centimeters would be transcribed as 32 centimeters (always rounding up.)—and would be a folio.

Linked and Unlinked Item Records

In the Item List display, the first column on the left is **Hol+Sublib+Coll+Call**. The first element in Item display should be the holdings number. If it doesn't start with a number, but starts with the sublibrary (TWILS or whatever), then the item is *not* linked to a holdings.

Item Status

Item status is not always Regular loan. TWILS,REF; TWILS,BUS; TAND and its sublocs are all 02 (non-circulating). Be aware of exceptions in areas for which you catalog. Refer to “Collection Codes” in “Aleph Codes and Lists” for default Item statuses.

CJK Addendum to Streamliners

Additional items to consider on CJK records:

- **Add parallel character fields for access points, if missing from record.**

Parallel character fields, whenever appropriate, are a requisite for access points in a full standard RLIN CJK records.

- **Add aggregation of Roman fields and spacing between groups of characters, if missing. Spaces between groups of characters need to be non-Roman spaces, rather than Roman spaces.**

The spaces are necessary for keyword searching.

- **Remove a centered dot in the record and replace it by a space or a comma plus a space as appropriate.**

The centered dots do not count as spaces between words and the RLIN system does not deal well with long strings of characters without spacing.

- **Change any 490 field with a first indicator set to zero by LC, to a 440 field with second indicator set to zero, so they will index in LUMINA™.**

This is especially important on the analytic entries for the big Chinese sets, so that users can call up all the analytics in the set by series title for browsing.

- **Recognize problems with older series entries and update when "fix" is clear cut - otherwise pass to original cataloger**
 - Index under title if it had been previously indexed under compiler
 - Standardize series form if multiple forms have been used on the various analytic records of large sets

Call Number Guide for Copy Catalogers

Approved Call Numbers

Use these call numbers “as is”:

- Call number from 050 field
 - *Except* when second indicator is 4.
 - *Except* when call number is one of types listed below.
 - PZ1-PZ4 call numbers from any source, unless cataloging children’s literature.
 - Z call numbers over Z1200 from any source, for those [locations that use alternate class numbers for bibliographies](#).
 - Set call numbers for works we are classing separately.

Use these call numbers by changing or adding date:

- *LC-assigned* call number for another edition.
- LC CIP call number when date does not match date of publication in the 260 field.

Use these call numbers adding *x* to final cutter, and a date (if not already present):

- National Library of Canada call numbers (*except FC, K and PS80001-8599*).
 - Found in 055 field (St. Paul Campus does not accept these).
 - Found in NLC CIP data in book (St. Paul Campus does not accept these).
- RLIN and OCLC member library call numbers (*except those mentioned below under DO NOT USE*).
 - Found in 050: 4.
 - Found in 090 or 950 fields.
 - Found in RLIN CALL and LCAL fields.

Do Not Use the Following Call Numbers

- RLIN/OCLC member call numbers containing a **.X1 Cutter**.
- Member library numbers containing a **triple Cutter** (except in class G where they are valid in certain cases).
- Call numbers in **K classes** (law) unless assigned by LC, GPO, Harvard Law, Cornell Law or MnU-L; send to Monographs Cataloging Coordinator.

- National Library of Canada (NLC) call numbers **FC, K, and PS8001-8599**. (These may be followed by alternate call numbers which are usable.) N.B. Frequently an online record may have an incomplete 055 (class number only) or lack an alternate 055, but the complete or alternate number will be found in Canadian CIP copy in the book.
- Call numbers from **CIP copy other than LC or Canadian** (British, Russian, etc.) British CIP call numbers are found in 050: 4: when 040 |a is Uk (RLIN) or UKM (OCLC).
- **PZ call numbers** from any source unless cataloging children's literature.
- **Z call numbers over Z1200** from any source, for those locations that use alternate class numbers for bibliographies.
- **Set call numbers** for works we are classing separately.
- Other **strange-looking call numbers** such as those lacking valid LC class letters or having an abnormal pattern of class number and Cutter numbers.

Example: 950: : |a FA .7 |b .64

Locations Using Alternate Bibliography Numbers

- TAND and its sublocs, excepting TAND,CLRC and TAND, IHRC
- IT Libraries (TARCH, TMATH, and TSCI)
- St. Paul Campus (TMAGR, AHL, TEFW, TFOR, TLAKE, TPP, TVET)
- TMUSI
- TWILS and its sublocs, excepting TWILS,EAS

Bibliographies with numbers **under Z1201** will be classed in Z.

Bibliographies with numbers **Z1201 and up** will normally be classed with the subject and not in Z.

Locations Using Z Schedule for Bibliographies

- TAND,CLR
- TAND,IHRC
- TJOUR
- TWILS,EAS

Note: Beginning October 2002, Don Johnson requested that Ames (TWILS,AME) bibliographies be classed in the alternate scheme, i.e., with the subject.

Call Number Dates

- Dates will be *added* to all locally assigned call numbers (with x) and to call numbers we "derive" from Library of Congress assigned call numbers for a different edition or translation.
- Call numbers taken *directly* from Library of Congress for the same edition (050 field with appropriate indicators) will generally be used as is.
 - No date will be added if none exists in the 050.
 - If there is an incorrect date in the 050 because it was assigned pre-publication (CIP), the date will be corrected in our local call number.

Which Date to Use

Editions

- **Facsimile or photocopy editions of original:** use imprint date of original followed by *a*, i.e. *1859a*. Additional facsimile or photocopy editions are assigned *aa*, *ab*, *ac*, etc.
- **Successive editions** (2nd, 3rd, 1st American ed.) and reprints: use imprint date of successive edition or reprint. If two or more editions are published in the same year, add letter to date, starting with *b*.
- **Facsimile or photocopy edition of a successive edition:** use imprint date of original successive edition followed by *a*. For example, a photocopy of a 1981 1st American edition might be *1981ba*. (*b* for 1st American ed., *a* for photocopy).

Imprint Date Unclear

- **If the imprint date is uncertain and is bracketed**, use the date provided, i.e. for [1892?] and [ca. 1892 use 1892.
- **If the imprint date is uncertain and two dates are bracketed**, use the earlier date, i.e. for [1892 or 1893], use 1892, and for [between 1906 and 1912] use 1906.
- **If the imprint date cannot be determined beyond the decade or century**, use the earliest date of the decade or century plus the letter "z", i.e. for [196] and [196?] use 1960z, and for [19] and [19?] use 1900z.
- **If the imprint date contains a date of publication and a copyright date**, use the date of publication, i.e. for 1966, c1964, use 1966. However, if the date of the first impression of the edition cannot be ascertained and the imprint date contains the copyright date and the date of a later impression, use the copyright date, i.e. for c1971, 1977 printing, use 1971.

- **If the imprint date contains a date of publication and a printing date**, use the date of publication, i.e. for 1969, 1971 printing use 1969, and for 1970, t.p. 1973 use 1970.
- **If the imprint date contains a date of publication that has been corrected**, use the corrected date of publication, i.e. for 1966 [i.e. 1965] use 1965; for 1966 [i.e. 1965, c1962] use 1965; and for 1975, cover 1976, use 1976.
- **If the imprint date of a multi-volume work covers more than one year**, i.e. 1826-1828, use the earlier date.
- **If the imprint date is an open entry**, i.e. 1826- , use the date provided.

Main Entry Under Name of Conference, Congress, etc.

- **Add date for year in which the congress met.** If the congress met for more than one year, assign only the latest year.
- **In order to formulate unique call numbers, consecutive work letters, i.e. a, b, c, etc. are added to date** (z is not used). If all single work letters have been used, double letters are assigned, i.e. aa, ab, ac, etc. Thus facsimiles, reprints, translations, etc. will not stand next to the original or related publication. The same procedure applies to a congress which was held two or more times within one year.

LC Call Number With Incorrect Date Assigned at Time of CIP Cataloging

- Do not alter the 050 on the bib record.
- Use the correct date in the call number you assign to the book on the holdings record. Correct date will usually be actual date of publication, unless rules in 1-3 above apply.

Date as Part of Class Number

Occasionally, a date is used as part of the class number and precedes the Cutter number. This most frequently happens in classes G and J, but can occur in other class numbers as well. Thus in some cases, the call number will contain two dates, one as part of the class number and another as the edition mark.



Example

Did monetary forces cause the Great Depression? / P. Temin. 1976.
HB
3717
1929 (refers to date of Great Depression)
.t45
1976 (date of publication)

Note: Information in this document was taken from *Immroth's Guide to the Library of Congress Classification*, 4th ed., by Lois Mai Chan. See Chan for further information: editions, p. 68-70; imprint date unclear, p. 67-68; conferences, p. 323-326; date as part of class number, p. 66-67.

Call Numbers for Translations

When a call number is not available for a translated work and the title of the original is known, *try to obtain a call number for the original and use it to construct a call number for the translation*, following these guidelines:

Translations of a work normally follow the original text in an alphabetical arrangement by language. This is achieved by using successive Cutter numbers. (The numeral *1* is inserted in order to avoid interference with other titles by the same author.) The following table provides a general guide for arranging translations. A translation in a language not listed here may be assigned a Cutter number which will place it in the proper alphabetic place in the sequence.

Table for Translations

.x	Cutter number of work in original language
.x13	English translation
.x14	French translation
.x15	German translation
.x16	Italian translation
.x17	Russian translation
.x18	Spanish translation

If a Bulgarian, Chinese, or Czech translation is to be inserted, the Cutter number .x12 may be used; if a Hebrew translation, .x15 or .x16; a Portuguese translation, .x16 or .x17, *depending upon what has already been used*.

Reverse the method when the book in hand is an original work and a call number for a translation is available, by deleting the last two digits from the translation Cutter number to obtain a Cutter number for the original.

When to Add *x* and/or Date

1. When working from a Library of Congress assigned call number:

- If LC has assigned a call number for the original work, *when constructing a number for a translation* (by extending the Cutter), *add a lower case x to the new number*.
- If LC has assigned a call number for a translation, *when constructing a number for the original* (by deleting 2 digits from the Cutter), it is *not* necessary to add the *x* to the new number.

2. **When working from RLIN or OCLC member assigned call numbers**, always add the *x* to the newly constructed number, whether translation or original.
3. **Always add a date to the newly constructed call number**, whether the original number is obtained from LC or a member library.

Note: These guidelines were taken from *Immroth's Guide to the Library of Congress Classification*, by Lois Mai Chan. See Chan, p. 100-101 and p. 320 for further information.

East Asian Copy Cataloging for Monographs

Refer also to these procedures:

[Monograph Copy Cataloging: Editing Copy \(Streamliners\)](#)

[CJK Addendum to Streamliners](#)

Searching and Copy Cataloging in RLIN

Searching

Title Searches

- Start with a roman *title phrase* search (fin tp).
- Truncate *tp* searches unless title too short and non-distinctive for truncated searching (e.g. title search on “mon#” will get you thrown out of the RLIN system).
- Search short and non-distinctive periodical titles in *serials file* (sel fil ser).
- Search by *character title phrase* (fin ctp) when uncertain of the readings.

Author Searches

- Start with *personal name exact* search (fin pe).
- Prefer *pe* (personal name exact) to *pn* (personal name) search for Chinese and Korean authors (to prevent hundreds of false hits).
- Try a *pn* search if *pe* search is unsuccessful (pe search will not retrieve names with a subfield c, such as “[c Emperor of China”, or “[c pseud.” or “[c Sir”).
- Search by *character personal name* (fin cpn) when uncertain of the readings.
- Do not truncate name searches.

Format of Name

- East Asian Library does no authority work when creating their order records.
- Name on order record and t.p. may differ from established heading for author.
- Names that were never in Wade-Giles romanization were not affected by the conversion to pinyin (e.g., Chiang Kai-shek and Sun Yat-sen).
 - They appear in their Westernized forms IN ACCESS POINTS.
 - They appear in pinyin in transcribed fields.
- Check the RLIN authority file if you are uncertain if the name you are searching is an exception to the pinyin rule.

ISBN Searches

- Search by isbn when both author and title are ambiguous.
- Since all records do not include the isbn number, you may want to continue with an author or title search—to be certain you have found everything.

Atlases, Scores, Serials

Note: Copy catalogers need not catalog sets, serials, scores, maps, or atlases, but may be asked to search for copy. If copy is found, fold printout and insert in book.

- Atlases, scores and serials which have been ordered in the books file may have copy in the maps, scores and serials files respectively.



Example

sel fil ser/fin tp zhongguo jin dai shi#.

sel fil map/fin pe wanf,dasan.

sel fil sco/fin sp operas, chinese#.

- Resuming the search in another file:

After searching the books file with a search like “fin tp zhongguo di tu ji#”, resume search in another file (e.g., maps) by typing “sel fil map/res”

Selecting Copy

Identifying Copy

- The LC RLIN LI (library identifier) for CJK records is **DCLP**, not DCLC, as it is for Roman alphabet materials.
- Only a few incomplete or Roman-only LC East Asian records from the early 1980’s will have the DCLC LI.
- Many CJK materials cataloged by LC before 1984 or so will have LC copy in RLIN which has been input by member libraries under their own LI’s. *As far as I know, most of this copy has been transcribed from LC’s old CJK catalog cards, either the cards themselves, or the cards as reproduced in the NUC or the LC shelflist fiche.*
- To identify this LC-based member copy, look at the FULL display to see if there is an 010 field, which shows the LC card number, and an 050 field with the first (and recently also the second) indicator set to zero. *You have to be a little careful about the 050 fields with first indicator zero, because apparently a few libraries mis-tag and put their own local call numbers there, but in general an 050 field with a zero as the first indicator means an LC assigned call number.*

Navigating

- To see the FULL display for each record in a cluster, use a command such as “FUL 5” to display the first record in cluster 5.
- Press **F7** to display each succeeding record in the cluster in turn.
- To go back to the preceding record, press **Shift + F7**.
- To go back from the display of one record in a cluster to look at the display of all the LI’s in the cluster, type **PRI**, for primary display.
- To choose one record from within the primary display, type **ful [LI]** (e.g., ful njpx or ful ctyo).

Selecting Best Copy

- If there are many LC-based member records for the same item, try to find and derive from the most complete one. Derive only from complete full level or core level records.
 - Incomplete records will usually be DCLC records with cat cat values of 9110 or 9650 or DCLP records with the cat cat values 9554.
 - LC apparently sometimes upgrades 9554 records to full level but forgets to change the cat cat values. Accept a 9554 record with subject headings and an 050 field with a bona fide call number as full standard LC copy. Change the cat cat values to 9114 when deriving.
- Some will have the 010 field but not the 050; some will have the 050 but not the 010; some will have both.
- They may have no aggregation, partial, or complete aggregation.
- Some may be missing parallel character fields for access points.
- Some may have the contents note in Roman-only, others in characters only; some may have dropped the contents all together.
- Some may have both romanization and characters.
- Serials records may or may not have 780 and 785 fields for earlier and later titles, etc.
- An original cataloger will frequently put together the best features from three or four records when deriving. In serials, it may be necessary to put together six or eight. Copy catalogers are not expected to go that far, but should try to do a bit of comparison shopping and derive from the best record they can find.

Selecting a Call Number

- There are a number of things that appear in LC 050 fields that are *not* LC call numbers. “ACQUISITION IN PROCESS” is obviously not an LC call number; neither are:
 - LAW
 - LAW<CHINA DICT 018 1989>
 - MLCSC 92/01274 (P)
- Some records have only partial call numbers.
 - A call no. ending with a “+”
 - A call no. lacking a Cutter number and a date (for recent monographs)
 - A call no. occurring in a second |a after a complete LC call number
- Bibliographies and indexes class in Z rather than with the subject.
- If there is first a complete call number which classes a book as, say, volume 103 of a set, and then a second incomplete call number for that volume as an individual work, and if we have only volume 103 and none of the other 102 or more volumes, ignore the first call number for the set, complete the second call number for the individual volume, and use that.

Updating and Overlaying Acquisitions Records With Copy Found

Bibliographic Screen

- To update to cataloged status a post-1988 acq record with RTYP=0, call up the record and then give the command: **set fun cat mai/upd**.

Note: There are a few pre pre-1998 acq records with RTYP=a; to update these, **set fun cat** (*not* cat mai).
- After you **SEND** this command, the record will redisplay in update mode.
 1. If the acq record is based on a complete LC record with a complete call number in the 050 field, this **UPD** command is all that is necessary.
 2. If the acq record is not a full standard LC record and you find a suitable LC record elsewhere in RLIN, overlay the MNUO acq record with the LC record.
 - If the LC record is **in the same cluster** as our acq record, **set fun cat mai**, display the DCLP record and give the command “**ful mnuo/cop id [RLIN id no. for the DCLP record which you have displayed]**”. The easy way to do this is to copy it onto the cursor and paste it in; then you don’t have to worry about keying errors.

- If the DCLP record you want to use is **not in the same cluster**, use a tp or pe search to call up both clusters together. Note the number of the cluster which has the MNUO acq record. Display the DCLP record. Make sure the function is set to catalog maintenance (set fun cat mai). Give the command: **ful [no. of cluster with MNUO acq record]/cop id [DCLP record no. from the top of the screen]**.

Note: After you send this command, the MNUO acq record will display in update mode, with the bib screen now overlaid by the DCLP record. If you find that you have made a mistake and overlaid the wrong acq record, or used the wrong DCLP record, you can undo the whole thing by sending the cursor home and typing “can” for cancel.

Once you have the MNUO record displayed in update mode, by any of the methods listed above:

- **Tab to RTYP** in the fixed fields and change “o” to “c.”

Note: For records with RTYP=**a** do not change. System will change it to **b** (for both--acq and cat) when **upd** is entered.

- **Add an 035 field with the LUMINA ID from the order record**, using the format: (MnU)ABC1234.

Note: To insert the line for the 035 field, you position the cursor anywhere in the line below where you want the 035 inserted and hit SHIFT + INSERT. If you insert too many lines, there is no way to delete them, but the system will automatically delete them when you enter your update.

- **Save the call number in the 050 field** on the cursor or on one of the keys of the RLIN keyboard, so that you can copy it onto the holdings screen.
- Go to the end of the bib record and **delete the PVT field** with the acq information.
- **Copy Catalogers may now edit best available copy** according to guidelines of the [Streamliners document](#) and the [CJK Addendum to Streamliners](#).

Holdings Screen

- Accept the **HOL** prompt to go to the holdings screen.
- **Tab to CIN** (Cataloger’s initials) and enter your initials.
- **Tab to CALL** and enter the call number you saved from the 050 field.
 - Decimal point must appear before first Cutter number.
 - Subfield must appear before the last Cutter number.
 - Locations in angle brackets (e.g., <Orien China>) should not be transferred to RLIN holdings screen.

- **Tab to INS** (Instructions) and enter: n (for no instructions).
- **Tab to LOC**. LOC should already be filled in as EA. If not, fill in: EA.
- **Tab to LCAL**.
 - If book was ordered as Ref, enter: |d\Ref\a[call no.].
 - If *hard cover* book is **26-31 cm.**, enter: |d\Quarto\a[call no.]
 - If *paperback* book is to be bound and is **25 ½--30 ½ cm.**, enter: |d\Quarto\a[call no.]
 - If *hard cover* book is **more than 31 cm.** Enter: |d\Folio\a[call no.].
 - If book is both Ref and oversize, enter: |d\Ref\Folio\[call no.]
- **Tab down to COP** and enter **1**, for copy 1 in most cases.
- If the item is a paperback, **tab down to SHNT** and enter |upbd, (this helps locate book in process).
- If the work is in more than one volume, **tab to the MDES** field and record our holdings. Below are some examples of possible formats:
 - v. 1 thru 12
 - v. 2
 - v. 6; v. 9 thru 12; v. 17
 - no. 12 thru 23
 - yr. 1937, no. 1-7; yr. 1937, no. 9-12; yr. 1939 thru 1944
 - v. 3, pt. 2 thru 3; v. 6, pt. 1
- When everything on the holdings screen has been filled in, accept the **ENTER** prompt on the command line by pressing **SEND**.

Finishing up in RLIN

- After you get the “Transaction successful” message, **make a printout of the whole record**, including the holdings screen. Fold it and put it in the book.

Note: **To print the whole RLIN record on one page**, while in RLIN, click on **SETTINGS**, and under **SETTINGS** on **TERMINAL**, and under **TERMINAL** you uncheck **AUTOEJECT**. Then you display the first bib screen and press **CONTROL + p**. Display the second bib screen, if there is one and press **CONTROL + p**; display the holdings screen and press **CONTROL + p**. Then press **Shift + F4** and all three screens should print out on the same page.
- **Write the RLIN ID next to the Aleph ID** on the page following the title page.

- Complete the books you intend to catalog that day. (RLIN records cannot be passed on the same day they are input or updated—because they index in RLIN overnight)
- **Pass your records the following day.**

When There Is No Acquisitions Record in RLIN

Derive a MNUO record in RLIN when there is an acq record in Aleph, but none in RLIN, or when there is no acq record in Aleph or in RLIN—as for analytics, cat seps or gift books.

- Derive from a matching LC record in RLIN.
- Give command: **set fun cat** (if you are not already in cataloging function) then give command **der**. You can chain the commands: **set fun cat/der**. Once you send the **der** command, you can go into the record and make any necessary changes:
 - **Add the 035 field** only if acq record was already created in Aleph (by mistake?) with no RLIN acq record. For gifts, anals, and cat seps, there will be no record in Aleph to put in the 035 field.
 - **SHNT field** on holdings screen—when appropriate.
 - For cat seps enter **subfield u cats; ordn=**
 - For analytics enter **subfield u anal; set=**
 - **Fill in the holdings screen** and **Enter** (When you enter a derived record, you create a new record in RLIN with a new record ID.)
 - **Write this ID number on the page following the title page**; new RLIN records index overnight and can be retrieved only by ID number on the first day they are entered.
 - **Make a printout of the record** and insert it in the book for use when updating the record in Aleph.
 - **Pass your records the following day.**

Passing MnU Records From RLIN and Updating Them in Aleph

Books With Order Record in ALEPH

1. Open GUI OPAC.
2. Connect to RLIN.
3. Use **FIND** search to retrieve RLIN #.

4. **Activate first Macro *rlin*** [preceded by activation code *xx*] to:
 - Push record through to cataloging.
 - Duplicate the record.
 - Format 035 field(s), and fill in some of the fixed fields.
 - Edit 008 field (38) for romanized record **r**.
5. When macro stops, delete second date (11-14) in **008** if it has come up as an error.
6. **Activate second macro *r2*** [preceded by activation code *xx*] to:
 - Delete 066 field, 090 field.
 - Delete all subfield 6's at the beginning of variable fields.
 - Delete all 880 fields.
 - Delete SID field.
 - Add 965 field with subfield **a** NOEXP and subfield **b** CJK.
7. When macro stops:
 - Do **not** save record to server.
 - **Copy** record.
 - Call up acq record in Aleph, usually by **035** field.
 - **Paste** catalog record (that you have just imported from RLIN and updated) over acq record you just called up.
 - **Delete** duplicate 035 field.
 - **Save** newly overlaid record to server.
 - **Delete** the record you just imported from RLIN.
8. **Activate third macro *ctrl + h*** [preceded by activation code *xx*] to:
 - Load HOL record from server.
 - Check fixed fields in **LDR** and **008** and correct any that have not filled in properly.
 - Fill in **940** field with subfield **a** MNU, subfield **b** CAT and subfield **c** today's date.
 - Fill in **852** field:
 - Change indicators to **0** and **blank**.
 - Fill in **subfield k** with Quarto or Folio if appropriate.
9. When macro stops:
 - Add **subfield x** to **852** field with any necessary info, e.g. \$\$x pbd.

- Delete any tracking info from 852 **subfield x**.
- Fill in **866 \$\$a** with volume holdings info if record is for a multi-volume set.
- **Save** holdings record to server.
- **Retrieve Item record** (should be mostly filled in).
 - Change Material type to **BP**.
 - Change Item status to **01**.
 - Change Item process status to **blank**.
 - Fill in **Enumeration** and **Description** if record is for multi-volume set.
 - Scan in barcode.
 - Use **white barcodes** for **hardcover books** and place barcode at top of back cover.
 - For **oriental style books**, place barcode on the bottom of what would normally be the front cover (but is actually the bottom of the back cover for this style of book).
 - Use **red barcodes** for **paperbacks** and place barcode inside the book.
- Place hardbacks on truck for marking.
- Take all paperbacks down to the East Asian Library with the printouts still in them and give them to Su Chen with a note saying that they are ready for binding decisions.
 - The ones they are going to bind stay in East Asian Library; Li gets them ready for Bindery Prep and then delivers them there once a month.

For the few paperbacks they decide not to bind, Li puts the barcodes on the outside and perhaps deletes the “pbd” from the holdings screen and sends them back up to the marking room.

Special Cases: Gift Books With No Record in RLIN

1. Open GUI OPAC.
2. Connect to RLIN.
3. Find record by RLIN record # search.
4. **Activate first macro *rlin*** [preceded by *xx*] to:
 - Push to cataloging.
 - Duplicate.
 - Edit 008 field (38) for romanized record **r**.

5. **Activate second macro r2** [preceded by *xx*] to:
 - Delete 066 field, 090 field.
 - Delete all subfield 6's at the beginning of variable fields.
 - Delete all 880 fields.
 - Delete SID field.
 - Add 965 field with subfield **a** NOEXP and subfield **b** CJK.
6. When macro stops:
 - Save to server.
 - Push to Acq.
7. **Activate macro ord** [preceded by *xx*] to:
 - Create Acq record for gift book.
 - Arrive book.
8. Return to **BIB** record and **activate macro alt + h** [preceded by *xx*] to:
 - Load **HOL** record from server.
 - Check fixed fields in **LDR** and **008** and correct any that have not filled in properly.
 - Fill in **940** with subfield **a** MNU, subfield **b** CAT and subfield **c** today's date.
 - Fill in **852** field.
 - Change indicators to **0** and **blank**.
 - Fill in **subfield k** with Quarto or Folio if appropriate.

While macro runs:

 - *Write call no. in book.*
 - *Put barcode on book.*
9. When macro stops:
 - Add **852 \$\$x pbd** if book is paperback.
 - Save to server.
 - Call up Item Record and scan in barcode.

Special Cases: Added Volumes

In RLIN:

1. Find the record for the set in RLIN.
2. **Close dates** in **Fixed fields** and **260** field if last volume of set.
3. Fill in the number of **volumes** in **300** field if appropriate.
4. Update **Contents note** with information from this volume if appropriate.
5. Update the **MDES** field on the HOL screen.

If the set is an analyzed set, try to find an analytic record for the added volume. If you find one, derive an analytic for MNUO and follow procedures under [Special Cases: Analytics](#).

In Aleph:

6. **Check Bib record** for possible updates in these fields:
 - 008 (07-10)
 - 260 \$\$c
 - 300 \$\$a
 - 505
7. **HOL record:**
 - Change values in **008** for complete sets.
 - (06) Change “4” for “currently received” to “2” for “order complete”.
 - (16) Change “2” or “3” for “incomplete set” to “1” for “complete set”.
 - **Add** the volume to **866 \$\$a** field.
8. **Create the Item record** for the volume, remembering to fill in the volume number in the enumeration and description fields.

Special Cases: Analytics

1. Create Catalog record in RLIN.
2. Pass to Aleph following day.
3. Open GUI OPAC.
4. Connect to RLIN.
5. Use **FIND** search to retrieve RLIN #.

6. **Activate first macro *rlin*** [preceded by activation code *xx*] to:
 - Push record through to cataloging.
 - Duplicate the record.
 - Format 035 field(s), and fill in some of the fixed fields.
 - Edit 008 field (38) for romanized record **r**.
7. When macro stops, delete second date (11-14) in **008** if it has come up as an error.
8. **Activate second macro *r2*** [preceded by activation code *xx*] to:
 - Delete 066 field, 090 field.
 - Delete all subfield 6's at the beginning of variable fields.
 - Delete all 880 fields.
 - Delete SID field.
 - Add 965 field with subfield **a** NOEXP and subfield **b** CJK.
9. **Activate third macro *alt + h*** [preceded by activation code *xx*] to:
 - Load HOL record from server.
 - Check fixed fields in **LDR** and **008** and correct any that have not filled in properly.
 - Fill in **940** field with subfield **a** MNU, subfield **b** CAT and subfield **c** today's date.
 - Fill in **852** field.
 - Change indicators to **0** and **blank**.
 - Fill in **subfield k** with Quarto or Folio if appropriate.
10. When macro stops:
 - Add **subfield x** to **852** field, e.g. \$\$xanal; set=ACF1234 [or Aleph bib record no.].
 - Delete any tracking info from 852 **subfield x**.
 - **Save** HOL record to server.

Note: Process is complete—there is no item record.

Special Cases: Cat Seps

1. Create Catalog record in RLIN.
2. Pass to Aleph following day.
3. Open GUI OPAC.

4. Connect to RLIN.
5. Use **FIND** search to retrieve RLIN #.
6. **Activate first macro *rlin*** [preceded by activation code *xx*] to:
 - Push record through to cataloging.
 - Duplicate the record.
 - Format 035 field(s), and fill in some of the fixed fields.
 - Edit 008 field (38) for romanized record **r**.
7. When macro stops, delete second date (11-14) in **008** if it has come up as an error.
8. **Activate second macro *r2*** [preceded by activation code *xx*] to:
 - Delete 066 field, 090 field.
 - Delete all subfield 6's at the beginning of variable fields.
 - Delete all 880 fields.
 - Delete SID field.
 - Add 965 field with subfield **a** NOEXP and subfield **b** CJK.
9. **Activate third macro *alt + h*** [preceded by activation code *xx*] to:
 - Load HOL record from server.
 - Check fixed fields in **LDR** and **008** and correct any that have not filled in properly.
 - Fill in **940** field with subfield **a** MNU, subfield **b** CAT and subfield **c** today's date.
 - Fill in **852** field.
 - Change indicators to **0** and **blank**.
 - Fill in **subfield k** with Quarto or Folio if appropriate.
10. When macro stops:
 - Add **subfield x** to **852** field, e.g. \$\$xcats; ordn=.
 - Delete any tracking info from 852 **subfield x**.
 - **Save** HOL record to server.
 - **Push to Items** and create item records.

Special Collections/Archives Copy Cataloging

Copy Cataloging Guidelines for Special Collections and Archives Materials—Monographs

Monographs cataloged for special collections and archives units typically have special requirements for handling and processing that differ from materials cataloged for circulating or open-stack collections. The following guidelines do not outline the complete copy cataloging workflow, but describe the areas in which special collection treatment is different from standard treatment, or areas to which particular attention should be paid. For complete information on copy cataloging workflow and procedures, consult the [Streamliners procedures](#) and other monograph copy cataloging procedures in this manual.

Note: Individual collections and projects may have additional or variant requirements.

Bibliographic Record

Limited Editions

Definition: The book bears a statement that it is a special or limited edition. Often there is a preliminary page for the limited edition statement. The book may be a different size, have a different type of paper or binding than the standard edition. Often a statement is made as to the number of copies in the limited edition.

- The piece should be cataloged separately from the standard edition. Search for matching copy in OCLC or RLIN, or duplicate a record from MnCAT and edit as needed.
- If not already present, add a 500 note describing the limited edition. You can often quote the edition statement in whole or in part. However, do not include the specific numbering of the copy in hand: this information will go in the [Holdings record](#).



Example

500 ## \$\$a “The autographed edition of this book is limited to two hundred copies”—Prelim.

500 ## \$\$a “Fifty signed and numbered copies bound in three-quarter calf with marble boards”—Colophon.

500 ## \$\$a Limited edition of 100 copies.

Advance Readers' Copies/Uncorrected Proofs

These materials can either be cataloged separately or treated as added copies of the record for the published version. Base your decision on how much the proof varies from the published book.

- If the descriptive information (title, author, size, number of pages) matches the published version and the only significant difference is wording on the title page or cover that indicates it's a reviewers' copy or proof, treat as an added copy. [A note will be added to the Holdings record](#) indicating the variation.
- If there are significant differences in the size, pagination, or representation of the title or author's name, catalog as a separate record. Since the book you have is unpublished and was not intended for mass distribution, treat as a manuscript. Pay particular attention to the following fields:
 - LDR: Type of record (06): **t** (manuscript)
 - 008: Publication place (15-17): **xx** (unpublished)
 - 260: Do not enter subfields **a** and **b**; enter only the date in subfield **c**
 - 500: Add a note indicating publication information:



Example

500 ## \$\$a Advance readers' copy of book published in 2002 by Farrar, Straus, and Giroux.

Bibliographies

A 510 field can be used to reference a title's listing in a standard bibliography. Only add a 510 if instructed to do so for a specific project.



Example

510 0# \$\$a De Waal C2456

Call Numbers

Note: Refer to the "[Holdings Record](#)" section of this procedure for detail on entering call numbers.

Library of Congress: For materials in LC-classed collections, if a Library of Congress call number is not present in a 050 or 090 field, one must be added in a 050 #4. The smart barcode macro (see below) captures the call number information from the bibliographic display. If it is member copy or locally-supplied, the macro will prompt you to add a work letter and/or date to the call number if they are lacking.

Local Call Numbers: Some collections may be shelved by a locally-devised shelving number. If supplied at the time of cataloging, enter in a 099 field. Use only subfield a; leave spaces where needed for clarity.



Example

099 ## \$\$a MM An24c

Smart Barcodes

Unlike circulating materials, adhesive barcodes are normally not affixed to special collections materials. A set of macros has been established to generate barcode slips bearing the System ID, sub-library, collection, call number, main entry, and title. The slips must be printed on acid-free paper.

After the bibliographic record has been edited and saved to the server, the first barcode macro should be activated. When prompted, edit the call number as needed, including size designation, work letter, and date.

Note: Refer to “[Smart Barcode Slips](#)” in this manual for complete instructions. See specific project guidelines to determine whether smart barcode slips or adhesive barcodes are to be used.

Gift Acquisitions Record

For auditing purposes, every bibliographic record for which we know the source of acquisition needs an order record. Many special collection materials were received as gifts, so many books will need a Gift acquisition record. Create a Gift order record *only* if you know that the book was a gift. Gift books will bear a gift tag or an inscription from the donor, or you will be instructed that *all* materials for a specific project are to be considered gifts. There is no difference in the procedure from that for other monographs. Refer to the “[Gift Processing](#)” procedure in this manual for instructions.

Holdings Record

852 Field

1 st Indicator	Corresponding subfield(s)
0 – Library of Congress Call Number	h, i Add work letters and dates as needed
4 – Local Call Number or Accession Number	j Local call number
5 – Shelved by Title	l Name or title shelved by if different from 130 or 245 title

- Subfield k (Shelving designation): Use authorized text for a characteristic of the copy that is significant for shelving (e.g., size, form, special collection). There is some variation across units, so consult specific project guidelines for correct size designations and terminology.
- Subfield t: Enter the copy number if it is an added copy for the same collection. *Do not* precede the number with the word Copy. Note any variation between the copies in 866 notes.

866 Field

Use an 866 note in subfield z to record public notes on elements specific to the copy in hand.

Provenance: This is an indication of who the former owner was. It may be written in the book or be present on a book plate.



Example

866 #1 \$\$8 0 \$\$z Provenance: Paul Robeson.

866 #1 \$\$8 0 \$\$z Book plate of: Jennifer Even-Gerth.

Gifts: If the book is a gift to the library from someone, put in a note.



Example

866 #1 \$\$8 0 \$\$z Gift of Elmer L. Andersen.

Presentation Copy: This will usually have a to and from statement, possibly with a small message.



Example

866 #1 \$\$8 0 \$\$z Presentation copy: To Elmer Andersen from Charles Lindbergh.

866 #1 \$\$8 0 \$\$z Author's autograph/presentation copy to John Bennett Shaw.

Inscriptions: If the book is signed by the author and/or illustrator but is not a presentation copy.



Example

866 #1 \$\$8 0 \$\$z Copy signed by author.

866 #1 \$\$8 0 \$\$z Copy signed by illustrator.

Limited Editions: Enter a note to record the specific numbering of a copy that is part of a limited, numbered edition.



Example

866 #1 \$\$8 0 \$\$z No. 8 of 250 limited ed. copies.

Advance Copy or Review Copy: Add a note if cataloging as a variant printing of the published version



Example

866 #1 \$\$8 0 \$\$z Advance uncorrected proof.

866 #1 \$\$8 0 \$\$z Review copy.

Edition and Printing Statements: If an edition statement appears that according to AACR2r is a printing statement and would not appear in the bibliographic record, make a note.



Example

866 #1 \$\$8 0 \$\$z "9. Edicion."

If the printing number is stated, quote it in the Holdings note.



Example

866 #1 \$\$8 0 \$\$z "14th printing, 1987."

866 #1 \$\$8 0 \$\$z "1st Scholastic printing."

Other Bibliographic Notes: Note anything else of significance that would distinguish this copy from others in the collection or is not addressed in the bibliographic record (defects, variant bindings or dust jackets, etc.).



Example

866 #1 \$\$8 0 \$\$z Errata slip inserted.

866 #1 \$\$8 0 \$\$z Title page missing.

866 #1 \$\$8 0 \$\$z Leather binding with slipcase.

Entering Multiple 866 Fields: For multi-volume sets, record holdings information in subfield a. Use multiple 866 fields when multiple subfield z notes are appropriate. This will generate a list of such elements for each copy in the public catalog holdings display. However, note the exception below for some multi-volume works.



Example

866 #1 \$\$8 0 \$\$z No. 10 of 50 limited edition copies.

866 #1 \$\$8 0 \$z Gift of Elmer L. Andersen.

Multi-Volume Sets: For multi-volume sets, record holdings information in subfield a. If the subfield z notes only apply to specific volumes, create a separate 866 field for each volume specified. If multiple subfield z notes apply to a specific volume, repeat subfield z's within a single 866 field. For display purposes end each note with a period.



Example

866 #1 \$\$8 0 \$\$a v.1 \$\$z Gift of John Bennett Shaw.

866 #1 \$\$8 0 \$\$a v.2 \$\$z Gift of Philip Hench. \$\$z Missing title page.

866 #1 \$\$8 0 \$\$a v.3-4 \$\$z Gift of John Bennett Shaw.

In some cases, you may want to add an internal note; i.e. one that is only viewable in staff mode but invisible in public mode. Use a subfield x.



Example

866 #1 \$\$8 0 \$\$x Gift of Jane Benedict.

In this instance, the donor did not want her gift made public, but unit staff wished to be able to search by her name to retrieve a list of the books donated.

Item Record

Pay particular attention to the following fields:

Tab 1

- HOL Link: Make sure the item is linked to the appropriate Holdings record.
- Description: Fill in the volume numbering or piece designation if a multi-volume set. Each volume should have its own item record.
- Item status: change to 02 (Non-circulating)

Tab 2

- Order number: Fill in if not automatically generated from order record. The order number can be found by going to the Navigation map, expanding the tree and selecting “Orders.”

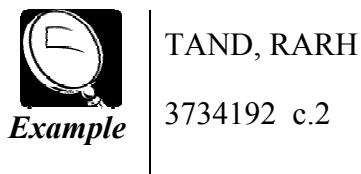
Click **update** once all the item information is entered correctly. Once the item list is displayed with the correct item highlighted, generate the second barcode macro. Refer to [“Smart Barcode Slips”](#) in this manual for complete instructions.

Physical Handling**Dust Jackets and Other Containers**

Do not discard dust jackets, slipcases, or other containers.

Marking

- Write lightly with a sharp no. 2 pencil.
- Write sub-library, collection, System ID and copy number if 2 or higher in *upper right-hand corner* of page following title page.



- If the page following the title page is signed, has an inscription, or has the limitation statement, mark the next page, or the verso of the signed page instead.
- On broadsides or other single-sheet materials, mark on the *upper right-hand* corner of the *back* (i.e. non-printed) side of the sheet.
- In general, do not mark artists’ books (i.e. the book itself is considered a work of art) unless an appropriate place can be found where a pencil marking does not detract from the artistic value of the piece.

Security

Keep rare materials in a locked and secured location (i.e. locking book cart or flipper) when away from your desk.

Disposition

Return cataloged materials directly to a staff member in the unit holding the collection. Some materials may be sent via Campus Mail; assume materials are to be transferred by hand unless collection procedures specify otherwise.

Children's Literature Research Collections Monographs Cataloging

References:

Chan, Lois Mai. *Immroth's Guide to the Library of Congress Classification.* 4th ed. Englewood, Colo. : Libraries Unlimited, 1990.

Zuiderveld, Sharon, ed. *Cataloging Correctly for Kids: An Introduction to the Tools.* 3rd ed. Chicago : American Library Association, 1998.

Workflow and Division of Responsibilities

1. Materials should be cataloged on receipt.
2. Gift materials and titles directly ordered/purchased by CLRC and delivered to them will be shipped to MAC PD.
3. Cataloger will search MnCAT, OCLC, and RLIN for acceptable copy and catalog if found. If no acceptable copy is found, cataloger will deliver to original cataloger. In addition, materials needing classification, subject headings, and/or authority work can be given to original cataloger. CLRC materials will *not* be sent to RESEA, nor will provisional records be created.
4. During retention of material in Wilson Library for processing, the materials will be locked in a locking book truck, flipper shelf, or the book room. Upon completion of cataloging, material will be shipped to CLRC.
5. CLRC Curator will notify cataloger of materials that should be cataloged as a series.
6. Book plates and Mylar jacket covers will be applied by CLRC staff.
7. Cataloger will add a Holdings note to an existing record when the copy is inscribed. When books are inscribed after cataloging, CLRC staff will add the notes.



Example

866 #1 \$\$8 0 \$\$z Copy inscribed by author.

866 #1 \$\$8 0 \$\$z Copy inscribed by illustrator.

866 #1 \$\$8 0 \$\$z Drawing inscription by illustrator.

Cataloging Procedures

Books cataloged for this collection will receive standard AACR2 cataloging and LC classification. In addition, due to the "special collections" nature of these materials, certain aspects of the book in hand will be recorded in notes in the Holdings record. The books will be assigned AC (Annotated Card Program) children's subject headings and,

where appropriate, LC subject headings (with the subdivisions |v Juvenile literature, |v Juvenile fiction, |v Juvenile poetry, etc.).

See "[Streamliners](#)" and "[Copy Cataloging Guidelines for SC/AR Materials—Monographs](#)" procedures in this manual for more details.

Particular attention will be given to the following aspects:

Bibliographic Record

- **Translators and illustrators (including jacket illustrators).** Cataloger will enter them in the 245 subfield c or in a 500 note as appropriate, and will trace each in a 700 field, with a subfield e [relator term](#).



Example

245 10 \$\$a Henry Huggins / \$\$c Beverly Cleary ; illustrationen Emmy-Claire Haag ; [übersetzt von Erika Schreiweis].

500 ## \$\$a Jacket illustrator: Monika Glauss.

700 1# \$\$a Haag, Emmy-Claire, \$\$e ill.

700 1# \$\$a Schreiweis, Erika, \$\$e tr.

700 1# \$\$a Glauss, Monika, \$\$e ill.

- **Series.** Cataloger will check MnCAT for a series authority record and/or a bibliographic record for the series. If this check turns up no recorded sep/set treatment decision in MnCAT, and the book is for TAND CLRH (Hess Collection) or cataloger questions whether the material should be cataloged as a series, cataloger will check with CLRC Curator for a decision. In general CLRC would like almost all TAND CLR titles cataloged separately.

Cataloger will record treatment decision:

- On series authority record in 64X fields, \$\$5 MnU
- On order record if necessary (i.e. if title ordered as a set is cataloged separately, "CATS" is recorded in Library note on Tab 1.)

Special care should be taken to add series such as "An I can read book" which is treated as a series (added as a 440 field) as opposed to "A Laura Geringer book" or "Silver Whistle books" which are added as a quoted note.

- **Subject headings on juvenile materials** (does not apply to adult materials)
 - On **member copy or LC copy modified by a member library**, at least one 650 #1 must be present for fiction, and at least one 650 #0 and one 650 #1 must be present for non-fiction.
 - If **member copy** includes an LC (650 #0) heading without a subdivision beginning with the word "Juvenile", accept subject heading and add \$\$v Juvenile literature, \$\$v Juvenile fiction, \$\$v Juvenile poetry, etc.

- Cataloger will assign the following heading as the last heading for books measuring 10 cm. or less in both height and width:

650 #0 \$\$a Miniature books \$\$v Specimens.

Note: Miniature books also require [size designations](#) in the holdings record.

- For books which incorporate elements such as movable parts, sound effects, scents or other characteristics which expand its scope beyond a traditional book, add the subject heading:

650 #0 \$\$a Toy and movable books \$\$v Specimens.

Consult LCSH for narrower terms for specific types of toy and movable books.

- **Valid free-floating subdivisions**

Juvenile drama

(H 1690) [Form subdivision]

Use under names of countries, cities, etc., names of individual persons and corporate bodies, and under classes of persons, ethnic groups, and topical headings.

Juvenile fiction

(H 1690) [Form subdivision]

Use under names of countries, cities, etc., names of individual persons and corporate bodies, and under classes of persons, ethnic groups, and topical headings.

Juvenile films

(H 1690) [Form subdivision]

Use under subjects.

Juvenile humor

(H 1690) [Form subdivision]

Use under names of countries, cities, etc., names of individual persons and corporate bodies, and under classes of persons, ethnic groups, and topical headings.

Juvenile literature

(H 1690) [Form subdivision]

Use under subjects.

Juvenile poetry

(H 1690) [Form subdivision]

Use under names of countries, cities, etc., names of individual persons and corporate bodies, and under classes of persons, ethnic groups, and topical headings.

Juvenile software

(H 2070) [Form subdivision]

Use under topical headings for actual software items, i.e., machine-readable editions.

Juvenile sound recordings

(H 1690) [Form subdivision]

Use under subjects.

- **Fixed Fields (008)**

For juvenile materials, cataloger will enter “j” in Target Audience (17). If the publisher provides a more specific age level, cataloger may optionally assign one of the following codes:

- | | |
|---------------------------|---|
| a – Preschool | Code a indicates the item is intended for preschool children, approximate ages 0-5 years. |
| b – Primary | Code b indicates that the item is intended for children, approximate ages 6-8 years. |
| c - Pre-adolescent | Code c indicates that the item is intended for young people, approximate ages 9-13 years. |
| d – Adolescent | Code d indicates that the item is intended for young people, approximate ages 14-17 years. |

Gift Acquisitions Record

Create a gift order record for materials received as gifts. Refer to [“Gift Processing”](#) in this manual for procedures.

Holdings Record

- **Valid sub-library and collection codes**

- TAND CLR – Most books
- TAND CLRR – Reference *
- TAND CLRH – Hess Collection
- TAND CLRE – Ellis Collection
- TAND CLRC – Publication catalogs

* Reference books are defined as books *about* children's literature, including biographies of children's authors. They are almost always adult level material. Adult materials acquired because the author has donated the manuscript, for example, will be cataloged for TAND CLR. Cataloger will make the judgment about whether a title is a reference book, consulting with CLRC staff in questionable cases.

- **Size designations**

CLRC is in the process of reshelving their books into permanent-location trays. Decisions about the size of tray a book fits in, and the assigning of the tray number to the book and adding it to the Holdings record, will typically be done by CLRC staff after the book has been cataloged. Therefore, most traditional size designations are no longer needed. However, as the width of the largest size tray is 25.4 cm and many children's books are wider than standard, it is important to measure the height and width of each book cataloged.

Place in sub-field k of the 852 field:

- Mini – measuring less than 10 cm. (both height and width)

Note: Miniature books also require a [special subject heading](#).

- Oversize – measuring over 30 cm. in height and/or over 25 cm. in width.

- **Classification**

- Follow usual practice in accepting LC and member copy call numbers. Most will be in PZ, but non-PZ numbers are acceptable for juvenile fiction.
- When classifying locally, assign PZ numbers for juvenile fiction. For adult materials and juvenile non-fiction, class with the topic in the other subject classes.
- As CLRC books are not shelved by call number, the classification numbers on member copy will be accepted without modification.
- Translations of juvenile material into a foreign language are classed in the language and cuttered with the LC unique author number. The author number is expanded using the number for expansion from the cutter table that corresponds to the first letter of the title of the translation.



Example

852 0# \$\$a MnU \$\$bTAND \$\$c CLR \$\$h PZ43 \$\$i .T395 1995

*Where PZ43 is the classification for Italian, .T39 is the author number for Theodore Taylor, and the expansion number 5 corresponds to the letter I from the title *L'isola di Phillip (The cay)*. Translations into English are classed in PZ7-PZ10. For more detailed information, see Chan, p. 340-341.*

- **Holdings notes**

Follow standard [SC/Ar monograph procedures](#) for adding copy-specific notes.

Inserted items. Items, such as letters, postcards, etc. inserted into the books should be removed and returned to CLRC for storage in their vertical file. If such an item is removed from a book, make an internal note in the 866 sub-field x.



Example

866 #1 \$\$8 0 \$\$x Inserted letter from Jane Smith relocated to CLRC vertical file.

866 #1 \$\$8 0 \$\$z Copy inscribed by author. \$\$x Inserted clipping from New York Times relocated to CLRC vertical file.

Item Record

Follow standard [SC/Ar monograph procedures](#). Generate smart barcode slips for CLRC materials. Refer to "[Smart Barcode Slips](#)" in this manual for complete instructions.

Physical Handling

Follow standard [SC/Ar monograph procedures](#).

Marking: Be especially certain to record copy numbers when adding multiple copies of a title.

Disposition: Materials may be returned to CLRC through inter-campus mail, unless materials are particularly valuable or fragile.

Streamliners Cheat Sheet: Modified for University Archives— MM Collection

Finding Copy

1. Search Cat module to see if item is an added copy.
 - Scan by Title to find and display record.
 - If no copy is found, skip to [step 2](#).
 - If item matches copy exactly:
 - It is not necessary to completely edit bib screen.
 - Verify only that University of Minnesota-affiliated persons and/or departments have access points (if named as author, editor, publisher or sponsor on title page or verso of title page).
 - If you add access points, do any required authority work.
 - An added access point may require a corresponding 500 note.
 - Modify 040 field with \$\$dMnU if you have modified record; Save to server.
 - Skip to [Creating Holdings Record](#).
2. Search RLIN/OCLC for copy; import record.
 - In **OPAC**, go to **File** and connect to RLIN or OCLC.
 - Perform a **Find** search, searching first by ISBN.
 - Make certain copy matches book exactly (click Tab 3, MARC tags).
 - Push record to CAT.
 - Select record's format & click **OK**.
 - Go to **File** and **Duplicate record**.
 - You may now edit the bib screen.

Editing Bib Screen

1. To check LDR, click on the field and press [**Ctrl-F**] to bring up form. Check only the following five fields:

Tag	Field Name	Most Common Values
05	Record status	n new c corrected p increase in encoding level from pre-publication
06	Type of record	a printed language
07	Bibl level	m monograph/item
17	Encoding level	^ full 4 core 8 pre-publication
18	Descriptive cataloging	a AACR2 i isbd

Click on **Help** for other values.

2. To check 008, click on the field and press [**Ctrl-F**] to bring up form. Check only the following five fields:

06 Type of date

07-10 Date

15-17 Publication place

028 Government publication: **s** (use for publications by U or M or one of its departments)

35-37 Language

Click on **Help** for field values.

3. Variable fields:

040 Add \$\$dMnU when making substantial change to record.

[CIP: always add \$\$d]

- 1XX/7XX** Do authority work as required.
- Access points required by the statement of responsibility on the item.
 - Additional access points as required to establish a University of Minnesota connection.
 - Do not be concerned whether an access point is tagged 1XX or 7XX as both are searchable.
- 245**
- Verify accuracy of second indicator (non-filing characters).
 - Verify that title proper (\$\$a) and subtitle (\$\$b) are correct and complete.
- [CIP: same as completed copy, but also verify that statement of responsibility (\$\$c) matches t.p. except where the following cataloging principles apply: “rule of 3,” “bibliographic significance” of responsible parties named, and bracketed information taken from source other than t.p.]
- 246** Use for most added title access points, unless the title is of an analytical nature, in which case the 740:X2 coding is appropriate.
- 250** Should be present if item contains a *true edition statement*.
- 260**
- If you are confident that copy corresponds with the item in hand, accept 260 as is.
 - As long as the form or division of publisher’s name in the 260 field of copy is somewhere in the item, accept it.
 - If distributor is on copy, accept; if not, do not add.
 - If publication and copyright dates differ, do not add copyright date; it is not necessary to add “c” to copyright date.
- 263** Not applicable to completed copy.
- [CIP: Always delete.]
- 300**
- Completed copy needs subfields \$\$a, \$\$c, and \$\$b if applicable.
 - Do not count pages except for obvious errors, e.g. 160 vs. 610 p.
 - If item contains any illustrations, add \$\$b ill. with no further elaboration.
 - Accept size as stated.
 - Accept 300 as is on pre-AACR2 copy.
- [CIP: Complete subfields \$\$a, \$\$c and \$\$b if applicable. Ignore numbered or unnumbered plates unless they represent a substantial portion of the item.]

- 4XX/8XX** Do authority work as required.
We trace all series, so there should be either a 440 or a 490 with a subfield 1 and accompanying 8XX field, whenever a series is present.
[CIP: Check for series information that may not have appeared on item prior to publication]
- 5XX**
- Accept notes as they appear. Make sure that access points suggested by 5XX notes are present in the record.
 - **Additional notes may be required to justify added entries** for University of Minnesota-affiliated persons and/or departments (when named as authors, editors, publishers, or sponsors on title page or verso of title page).
- [CIP: It is important to look for new information, e.g., bibliographies, indexes, earlier editions with different title requiring an additional access point.]
- 6XX** Do authority work as required for 600, 610, 611.
At least one 6XX with second indicator 0 required, unless item is a work of literature by a single author. (If subject missing, pass on to original cataloger.)
- 9XX** Accept as is.

4. Save to server.

Creating Gift Acquisitions Record

No acquisition records will be created for this collection.

Creating Holdings Record

1. From File menu, click **Load HOL record from server [Ctrl-O]**.
2. Click **Add record**.
3. From **Edit** menu, click **Expand from template [Ctrl-E]**.
4. Highlight **holMnU.mrc (Local)** and click **Open**.
5. Open **LDR**--click on the field and press **[Ctrl-F]** to bring up form.

Correct values for single-part item:

05	n
06	x
17	1 (encoding level)

18 **n**

6. Open **008** form—click on field and press [**Ctrl-F**] to bring up form.

Correct values for single-part item:

- 06 **2** complete
- 12 **8** permanently retained
- 16 **4** not applicable, single-part item

7. Complete **940** field.

- \$\$b **CAT**
- \$\$c **YYYY-MM-DD** (e.g. 2003-01-15)

8. Complete **852** field.

First indicator (**4**=local)

- \$\$a **MnU**
- \$\$b **TAND**
- \$\$c **UNA**
- \$\$k Size (if Folio)
- \$\$j Call number

9. Complete **866** as appropriate.

Indicators [**blank**] **1**

- \$\$8 **0**
- \$\$z Book plate of: xxx.
- \$\$z Copy signed by author.

10. Save to server.

Creating Item Record

1. From Holdings Record Push to **Items**.
2. Click **Retrieve HOL** on Item List.
3. Select correct holdings record and click **Link to Item**.
4. Click **Modify** and then **Refresh**.

5. Edit fields as needed.

Most common values:

Item process status **blank**=not in process

Item status **02**=Non-circulating

Material type **BP**=Book (Print)

Copy number **0**=1

Call number type **4**=Local

6. **Attach white barcode label at top of back cover and wand in.** If your scanner is not programmed to enter after a scan, click **Update**.

7. General Information (Tab 2)—If required for **Pieces** (indicate in Circ note).

Record Statistics

Serials

E-Journal Copy Cataloging

Online Record

Note: The University of Minnesota Libraries use the CONSER one-record option (adding information on online access to the print record) unless they do not hold the print version of the journal or the journal is available only online.

The steps involved in this process are discussed in more detail below.

- Step 1 [Search catalogs and pass record into MNCAT.](#)
- Step 2 [Update the Bibliographic Record.](#)
- Step 3 [Create a holdings record.](#)
- Step 4 [Create an item record.](#)

1. Search Catalogs and Pass Record into MNCAT

1. Search MNCAT for the title. If the Libraries do not hold the title, search OCLC or RLIN for the online record.
2. Pass the record into MNCAT.
3. If no record is found, give to a serials cataloger.

2. Update the Bibliographic Record

The online record should have the following fields:

006	Form of material	m
(Computer file)	(00)	
	Type of computer	d
	file (09)	

007
(Computer file) Category of material (00) **c**
SMD (01) **r**
Color (03) **c**
Dimensions (04) **n**
Sound (05) **u**
Ignore remaining tags.

008
Serials fixed fields Date 1 **Year of beginning online coverage** (This should be changed if online coverage changes.)
Form of item **s**
Form of original **s**

022
ISSN If the online resource has an online ISSN listed:
022: : \$\$a online ISSN
If the online resource has the online and print ISSNs listed:
022: : \$\$a online ISSN
 \$\$a print ISSN

362
Online coverage If online coverage does not begin with the first issue of the title, the record should have an unformatted 362. This field can be adjusted as coverage expands to include earlier issues.



Example

Record has the following unformatted 362 stating the coverage began with v. 15, but the earliest issue now available is v. 14:

362:1 : Coverage as of (March 16, 1999): Vol. 15, no. 1 (Jan. 1999)-

Change the coverage statement:

362:1 : Coverage as of (today's date): Vol. 14, no. 1 (Jan. 1998)-

Change the first fixed field date to reflect the earliest year of coverage.

500
Description based on note This note *should not* be altered if online coverage changes.

538 System requirements (optional)	This is an optional note, but should be placed before the 538 Mode of access note. This note should be restricted to specific hardware or software requirements. Avoid mentioning the need for "Internet connection and World Wide Web browser."
538 Mode of access (mandatory)	538: : Mode of access: World Wide Web. (856 has URL with www) 538: : Mode of access: Internet. (856 that does not have URL with www)
506 Access restrictions	If the online serial is a licensed resource, there might be a generic statement about access being available only to subscribing institutions.
515 Numbering peculiarities	515: : Continuously published articles are cumulated into volumes. 515: : Successive articles are uniquely identified by a manuscript number and date.
516 Type of computer file or data	516: : HTML and PDF 516: : HTML (electronic journal) 516: : Text (electronic journal) 516: : Text and graphic 516:8 : Written in ISO 9660 and dBase III format 516:8 : Electronic journal available in ASCII, Acrobat, and PostScript file formats
530 Additional physical form available	This note is used to note the existence of one or more versions in different physical formats. Use the following note when a print version exists: 530: : Online version of the print publication.
590 Local note to enhance retrieval	For all electronic serials add a 590 : : ejour to the bibliographic record.

**6XX
Subjects**

Treat electronic serials like other serials and include appropriate subjects.

Note: There are several subject headings or subdivisions that describe electronic resources (Computer network resources, Electronic journals, E-zines, Electronic newspapers). *None of these are form subdivisions.* Use print form subdivisions (\$\$v Periodicals, \$\$v Directories).

**7XX
Linking fields**

Other relationships should be identified as needed:

- Editions (775)
- Supplements (770, 772)
- Other physical formats mentioned in 530 (776)
- Preceding/Succeeding titles (780/785)

**730
Added entry –
Uniform title**

A 730 is added if the print title differs from the online version.



Example

Record for online:

245:00: DGRweb \$\$h [electronic resource].
530: : Online version of the print publication.
730 :0 : Directory of graduate research.
776 :1 : \$\$t Directory of graduate research \$\$w
(DLC)sn 79003432 \$\$w (OcoLC)5229212

Record for the print:

245:00: Directory of graduate research.
530: : Also available on the World Wide Web.
730 :0 : DRGweb.
776 :1 : \$\$t DGRweb \$\$w (DLC)sn 99034838 \$\$w
(OCoLC)4752026

**776
Other physical
formats**

This is one of the most frequently used linking fields. The example below illustrates its use:



Example

Record for print:

245:00: Banks in insurance report.
530: : Also available on the World Wide Web.
776 :1 : \$\$t Banks in insurance report (Online) \$\$x
1530-9991

Record for online:

130:0 : Banks in insurance report (Online)
245:00: Banks in insurance report \$\$h [electronic
resource].
530: : Online version of the print publication.
776 :1 : \$\$t Banks in insurance report \$\$x 8756-6079
\$\$w (OCoLC)14239346

**856
Electronic
Location and
Access**

If the online resource is licensed, remove any URLs from the bibliographic record. The appropriate URLs for the University of Minnesota should be placed in the holdings record.

If the online journal is not a licensed resource, leave the 856 on the bibliographic record.

3. Create a Holdings Record

Please refer to the "[TINTE Holdings Record](#)" procedure in this manual.

4. Create an Item Record

1. Create a TINTE item record by pushing the title to the Items module. If a TINTE item record already exists, do not add another. Only one item record is needed to represent the TINTE holdings even though there are multiple 856 fields in the holdings.

2. On the item record complete the following fields:

◦ Tab 1

Material type: SE (electronic serial),
CF (computer file),
ER (electronic reference), or
WS (web site)

Item status: 07

Item process status: blank

HOL link: Select the TINTE holdings.

◦ Tab 3

Arrival date: Enter date of item creation.

Adding Online Access to Print Records

Note: The University of Minnesota Libraries use the CONSER one-record option (adding information on online access to the print record) unless they do not hold the print version of the journal or the journal is available only online.

The steps involved in adding online access to the print record are discussed in more detail below.

- Step 1 [Update the print bibliographic record.](#)
- Step 2 [Create \(or edit\) a TINTE holdings record.](#)
- Step 3 [Create an item record.](#)

1. Update the Print Bibliographic Record to Reflect Online Access

1. Add fixed fields: 006 (additional material characteristics) and 007 (remote computer file).

006 (Computer file)

Form of material (00) **m**
Type of computer file (09) **d**

```
Form for Field 006 - Format SE
006 Fixed length data elements
- Additional material (COMPUTER FILES)

Form of material(00)          m
Undefined(01-04)             ---
Target audience(05)          ---
Undefined(06-08)             ---
Type of computer file(09)    d
Undefined(10)                 ---
Government publication(11)   ---
Undefined(12-17)             ---
```

007 (Computer file)

Category of material (00) **c**
SMD (01) **r**
Color (03) **c**
Dimensions (04) **n**
Sound (05) **u**

```
Form for Field 007 - Format SE
007 - Physical Description Fixed Field -
General Information (COMPUTER FILE)

Category of material(00)    c
Material designation(01)   r
Undefined(02)              |
Color(03)                   c
Dimensions(04)             n
Sound(05)                   u
Image bit depth(06-08)     |||
File formats(09)           |
Quality assurance(10)      |
Antecedent/source(11)     |
Level of compression(12)  |
Reformatting quality(13)  |
```

Ignore remaining tags.

2. Add **530: : \$\$a Also available on the World Wide Web.**
3. Add **590: : \$\$a ejour** (used for retrieval).

4. Add a 740 title added entry when the title of the online version differs from the print.



Example

```
130:0 : RBM (Paris, France)
245:00: RBM : $$b revue européenne de biotechnologie médicale.
740 :0 : $$a RBM news.
```

5. If a separate ISSN has been assigned to the online serial but a separate record doesn't exist, add field 776:1 : \$\$t \$t and \$x online ISSN
6. If a resource is free to the world, add 856 with the URL in \$\$u. The indicators for use with the one-record option: 41. If the resource is licensed, the 856 should be placed in the Holdings record.

Add any coverage or explanatory notes in separate subfields z. For order of notes and examples, see instructions below in the Holdings record information.

Example of print record below has the added 006, 007, 530, 590 and 776 fields.

The screenshot shows the Aleph cataloging interface with a MARC record for 'French historical studies'. The record includes fields such as 006 (MARC 006), 007 (MARC 007), 530 (MARC 530), 590 (MARC 590), and 776 (MARC 776). The 776 field is highlighted in red, indicating it is a new or modified field. The record also includes standard fields like 010 (ISSN), 022 (ISSN), 035 (MARC 035), 040 (MARC 040), 041 (Language Code), 042 (Authent. Code), 043 (Geog. Area Code), 050 (LCCN), 082 (Dewey No.), 210 (Abbrev. Title), 222 (Key Title), 245 (Main Title), 246 (Variant Title), 260 (Imprint), 300 (Physical Des.), 310 (Current Freq), 362 (Dates of Pub.), 530 (MARC 530), 546 (Lang. Note), 550 (Issuing Body), 590 (MARC 590), 651 (Subj. Geographic), 710 (A.E. Corporate), 776 (MARC 776), and 999 (Former Sys ID).

2. Create a TINTE Holdings Record

Please refer to the "[TINTE Holdings Record](#)" procedure in this manual.

3. Create an Item Record

1. Create a TINTE item record by pushing the title to the Items module. If a TINTE item record already exists, do not add another. Only one item record is needed to represent the TINTE holdings even though there are multiple 856 fields in the holdings.
2. On the item record complete the following fields:

- Tab 1

Material type: SE (electronic serial),
CF (computer file),
ER (electronic reference), or
WS (web site)

Item status: 07

Item process status: blank

HOL link: Select the TINTE holdings.

- Tab 3

Arrival date: Enter date of item creation.

TINTE Holdings Record

A TINTE holdings record is created, if one does not already exist, when cataloging internet resources or online serials. To add a new holdings record click **Ctrl O** or under the File menu select **Load HOL record from the server**. Click **Add record** to create a new TINTE holdings record or click **Edit record** to edit an existing TINTE holdings record.

The following are instructions for completing the holdings record:

- **Complete the LDR.**

Record status (05)	n
Type of record (06)	y
Encoding level (07)	3
Item inf. in record (18)	n

```
Form for Field LDR - Format HO
Leader (Holdings)
Record status(05)      n
Type of record(06)    y
Encoding level(17)    3
Item inf.in record(18) n
```

- **Complete the 008.**

Receipt status (05)	1
General retention (12)	0
Completeness (16)	0

```
Form for Field 008 - Format HO
MARC 008 Fixed length data elements (HOLDINGS)
Date entered on file(00-05)      000104
Receipt or acquisition status(06) 1
Method of acquisition(07)       1
Intent to cancel date(08-11)    0
General retention policy(12)    0
Specific retention policy(13-15) 4
Completeness(16)                001
Lending policy(20)              1
Reproduction policy(21)        1
Language(22-24)                 111
Separate or composite copy report(25) 0
Date of report(26-31)           020517
```

- **Add a 940.**

More detailed information on the 940 field is available in the “HOLDings Record Field Values” section of “Aleph Codes and Lists.”

- **Add URLs.**

If the resource is licensed, add 856 with URL obtained from vendor list or selector (occasionally from ITS). The URL for licensed materials must include the proxy/counter URL at the beginning of the vendor URL.

Indicators used with the print record: 41.

856:41: \$\$u http://ej.lib.umn.edu/?url=http://muse.jhu.edu/journals/fhs/

Indicators used with the online record: 40.

856:40: \$\$u http://ej.lib.umn.edu/?url=http://muse.jhu.edu/journals/fhs/

Sequencing of URLs

Catalogers do not have to consider sequencing of URLs when adding the first URL, but multiple URLs have caused problems for public service. Use this procedure and order of URLs only when there are URLs from more than two sources or vendors:

1. Direct access URL(s) first (from society or association sponsoring journal, for example)
2. Access to recent issues (such as Project Muse)
3. Back issues (such as JSTOR)

Place ECO and OVID URLs last (OVID last, in all instances).

- **Add notes to URLs.**

All notes are added in **\$\$3** before the URL or in **\$\$z** after the URL in this order:

1. [Coverage](#)
2. [Access note](#)
3. [Explanatory notes](#)

1. **Coverage (only if holdings are known and are stable); e.g.,**



\$\$3 Oct. 1995-

For JSTOR: **\$\$3 Back issues: v. 1 (1995)-**

For Project Muse: **\$\$3 Recent issues.**

This note should come before the \$\$u containing the URL. If holdings are not stable or cannot be covered by above examples, add an 866 to the holdings record:

866:31: \$\$8 0

\$\$z Check Internet address for current coverage.

2. Access note:

An access note is added to all licensed materials:

\$\$Z Access for the University of Minnesota, Twin Cities only.

If there are no restrictions, no access note is necessary.

3. Explanatory notes:

\$\$Z Select “Full text: all collections.”

\$\$Z Click on “Browse Journals.”

Text will vary depending on pathway.

The example below is a TINTe holdings record with multiple URLs that contain coverage and access notes.

<i>Leader</i>	LDR	-----	~^~^~^cy^^^22^^^~^3n^4500
<i>Bib. Control N.</i>	004	-----	002515329
<i>Date and Time</i>	005	-----	20030320113907.0
<i>Fixed Data</i>	008	-----	0003091 ^ ^ ^8^^^2001 0011219
<i>Export Control</i>	940	-----	a MNU b CAT c 1998-01-15
<i>Link</i>	LKR	-----	a HOL l UMNO1 b 002515329
<i>Not in table</i>	PRC	-----	a UL
<i>Location</i>	852	5	a MnU b TINTE c GEN d 2
<i>Eec.Loc.Acc.</i>	856	41	u v. 453 (1997)- http://ej.lib.umn.edu?url=http://www.pubs.royalsoc.ac.uk/proc_math / z Access for the University of Minnesota, Twin Cities only.
<i>Eec.Loc.Acc.</i>	856	41	u v. 453 (1997)- http://ej.lib.umn.edu?url=http://www.catchword.com/rpsv/cw/rs/136 45021/ z Access for the University of Minnesota, Twin Cities only.
<i>Eec.Loc.Acc.</i>	856	41	u Back issues: v. 452-453 (1996-1997) http://ej.lib.umn.edu?url=http://www.jstor.org/journals/13645021.ht ml z Access for the University of Minnesota, Twin Cities only.

Publication Patterns Workflow

In order to expedite serial check-in we will want to have publication patterns on as many active journal titles as possible. Some publication data will come from outside sources. Other patterns will be created using templates stored in the Aleph system, while still others will have to be created by modifying existing templates or creating them from scratch. There will always be those titles that come so irregularly that a pattern will not work. These titles will have to have item records created manually for each issue.

Initially, we anticipate that many staff will be involved in setting up publication patterns for existing titles. There will also be considerable clean-up of serial holdings as NOTIS R statements were converted to multiple 866 (textual holdings) fields in the holdings record. These statements will have to be deleted once an appropriate item record is created for the issue, either manually or by a publication pattern. Converted records should also be checked to make sure they have a subscription record, which is linked to the order and holdings record. Specific steps for conversion clean-up are in development.

Below is a tentative workflow for the ordering of new serial titles and the establishment of publication patterns.

Processor (Before Title Is Cataloged)

- 1st issue of a volume arrives
- Update order record
- Review and update Order Log as needed
- Update Note field on Order record as needed
- Push record to Serials module
- Update Subscription Record (adding relevant processing notes in Check-In notes field)
- Retrieve Holdings Record (button in Subscription List window) and link to subscription record
- Change Item Processing Status in Item Record to "In Process"
- Forward piece to Cataloger

Cataloger

- Catalog title
- Load Holdings Record from server and Edit holdings record
- Push record to Serials module

- Delete Item record
- Push record to Catalog ADM and create Publication patterns record
- Open Publication Schedule window in Serials
- Click on Schedule Form to view pattern for accuracy. Accept pattern or cancel out of Schedule form. Revise patterns and reopen Schedule Form to review for accuracy. Accept and Continue if pattern looks correct.
- Return to Processor for Check-in

Processor (After Issue Has Been Returned From Cataloging)

- Update Order Record and Order Log
- Update Subscription Record as needed
- Check Item Status and make sure status is set properly for Sub-library the subscription is for.
- Add/Update processing notes in Subscription Record Check-In notes field.
- Open Issues
- Arrive issue

Special Formats

Completing Holdings and Items for LRC Materials (MAC)

Complete holdings and items records for audiovisual materials to be housed in the Learning Resources Center according to standard procedure with the exceptions detailed below. This procedure applies to videocassettes, DVDs, audiocassettes, audio compact discs, and CD-ROMs. For other types of LRC materials, consult the Special Formats Coordinator.

Completing the Holdings Record

LRC materials are shelved in closed stacks by accession number. LRC staff assigns an accession number when an item arrives at the LRC. For this reason, MAC staff cataloging LRC materials should not enter an LC call number in the holdings record (though one may still be assigned and entered on the bib record). Instead, complete field 852 as follows:

```
852 4 a MnU
      b TLRC
      c GEN
      j In process
```

- The first indicator of the 852 field is **4**, not 0 as it would be for an LC call number.
- Subfield **j** is used instead of subfields h and i. Subfield j should contain the phrase “In process,” which serves as a placeholder until LRC staff update the holdings record with the assigned accession number.
- Remember to supply 866 fields when appropriate.

Completing the Item Record

Complete specified fields in the item record according to the table below:

Field	Value
Material Type	Supply the appropriate value. Most common values: <ul style="list-style-type: none"> • VR (videorecording) • SD (sound recording) • CF (computer file)

Field	Value
Item Status	<ul style="list-style-type: none"> Use 04 (In Library Use) for all videorecordings (videocassettes and DVDs) Use 12 (One Week Loan) for all other materials
Circ. Note (Tab 2)	Enter a note indicating the number of pieces the item has according to the following example: Pieces: 3

Note: Under some circumstances, the cataloger may need to create additional item records for an entity with multiple pieces. As a general guideline, a single item record is usually sufficient when all of the pieces fit into a single container (plastic videocassette box, vinyl portfolio, etc.) Multiple item records are needed when this is not the case. If in doubt about the number of item records required for a specific item, consult LRC staff or the Special Formats Coordinator.

Choosing and Placing the Barcode

Apply a red or white barcode and place it on the item according to the table below. If in doubt or faced with a situation not covered below, use a red barcode placed in the least conspicuous spot on the outside of the item's container.

Type of Item	Barcode Type	Placement
Videocassette	Red	Place barcode on outside of container in the least conspicuous location. Try to avoid covering textual information.
DVD	White	Place barcode inside container centered above disc carrier, if adequate space. If not, place centered below disc carrier. If DVD is in nonstandard container, use a red barcode and place according to instructions for videocassettes above.
Audio CD or CD-ROM in jewel box	White	Place barcode centered on upper back of jewel box (as for a book).
Set of audiocassettes in a container	Red	Place barcode centered on upper back of portfolio or container (as for a book). Adjust placement if necessary to avoid covering text.
Single audiocassette in standard plastic container	White	Place barcode on the lower front of the container (orient the container upright as if it were going to be opened like a book).

Recording Sublibrary, Collection, and System ID

Sublibrary and collection codes and System ID numbers should be written on LRC materials whenever possible. The table below describes how this should be done for various types of materials. If in doubt or faced with a situation not covered below, write the system ID number on a slip of paper to be kept with the item.

Type of Item	Instructions
<ul style="list-style-type: none"> • DVD • Audio CD • CD-ROM 	Use a black fine-point Sharpie pen to write the sublibrary, collection, and system ID number on the innermost, usually clear ring of the disc itself.
<ul style="list-style-type: none"> • Videocassette • Audiocassette 	Use a pencil to write the information on the cassette label.
<ul style="list-style-type: none"> • Books, booklets or pamphlets accompanying other materials 	Use a pencil to write the information in the upper-right hand corner of the page after the title page (book) or the first page (pamphlet).

Gift Processing

Processing One-Time Gifts (Monographic or Serial)

Find, Import, or Create a Bibliographic Record

- Search Aleph for bibliographic record.
- If no record exists in Aleph, search OCLC and/or RLIN and import a bibliographic record if found.
- If no record exists in OCLC or RLIN, create a bibliographic record in the cataloging module using a cataloging template.

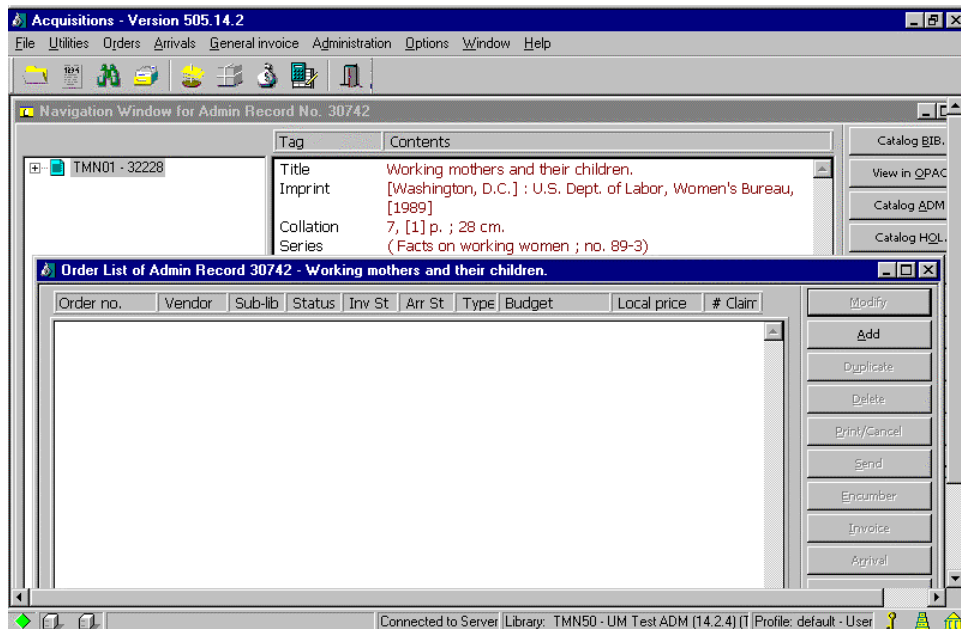
Save the record to the server if you are not using an existing Aleph bibliographic record.

Create an Order Form in the Acquisitions Module

An **Order Form** must be filled in for all gifts. Push the bibliographic record into the **Acquisitions** module by clicking the Acquisitions icon:

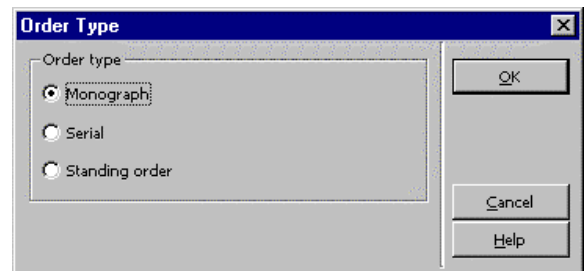


A **Navigation Window** and **Order List** window displays:



From the **Order List** window in the **Acquisitions** module, click **Add**. An **Order Type** window displays.

Accept the prompt for Order Type Monograph, click **OK**.



Exception: If the gift is open ended, and you think we will be receiving additional volumes as gifts, choose **Standing Order** as the **Order Type**, and click **OK**. An **Order Form** displays.

Subsequent volumes received as gifts are added to the gift order record by adding an **Arrival** and creating a new **Item Record** for the volume.

(Requests for gifts from specific vendors, or gift subscriptions are handled differently.)

Fill in the Order Form

Tab 1. Order Information

- Order Status:** Change to **CLS**.
- Order Number 2:** Enter selector's name.
- Order Group:** Enter the name of the unit processing the gift. (Click on the arrow to the right of the field for a list of possibilities.)
- Material Type:** Choose the appropriate values for your material. (Click on the arrow to the right of the field for a list of possibilities.)
- Sub-library:** Choose the appropriate Sub-library. (Click on the arrow to the right of the field for a list of possibilities.)
- Acquisition method:** Enter **GI** for Gift.
- Borrower ID:** If patron notification is requested click on the arrow to the right of the field to find, highlight and select the patron name. This will place a hold on the record for the patron.

The screenshot shows a dialog box titled "Order Form - Working mothers and their children." with three tabs: "1. Order Information", "2. Vendor", and "3. Quantity and Price". The "1. Order Information" tab is active. The form contains the following fields and controls:

- Order number 1: 30742-1
- Order number 2: HERTHER
- Order ISBN/ISSN: [empty]
- Open date: 20/Aug/2002
- Order date: 00/00/0000
- Order status: CLS
- Order number 3: [empty]
- Order group: SOC BKS
- Status date: 20/Aug/2002
- Material type: BP
- Sub-library: TWILS
- Acquisition method: GI
- Borrower ID: [empty]
- Borrower Name: [empty]
- Library note: [empty]

Buttons: OK, Save Def, Refresh, Cancel, Help. A checkbox labeled "Send directly" is located next to the Borrower ID field.

Tab 2. Vendor

Click on tab **2. Vendor** to display the **Vendor Tab** of the **Order Form**.

Vendor code: Enter **GIFT** and press the **Enter** key, or if you wish to associate the gift with a specific vendor, enter the specific **vendor code**, or find it in the **Vendor List** by clicking the arrow to the right of the field.

Rush: Click on the **Rush** box if the title is to be rush cataloged.

The screenshot shows a software dialog box titled "Order Form - Working mothers and their children." It has three tabs: "1. Order Information", "2. Vendor" (which is selected), and "3. Quantity and Price". The "Vendor" tab contains the following fields and controls:

- Vendor information: A label above a group of fields.
- Vendor code: A text box containing "GIFT" with a right-pointing arrow button.
- Vendor name: An empty text box.
- Vendor reference: An empty text box.
- Vendor note: An empty text box.
- Order delivery type: A dropdown menu showing "LE" with a right-pointing arrow button.
- Letter type: A dropdown menu showing "00" with a right-pointing arrow button.
- Delivery type: A dropdown menu showing "N" with a right-pointing arrow button.
- Send letter by: A dropdown menu showing "PRINT" with a right-pointing arrow button.
- Claim date: A text box containing "00/00/0000" with a right-pointing arrow button.
- Rush
- Batch claiming

On the right side of the dialog, there are five buttons: "OK", "Save Def", "Refresh", "Cancel", and "Help".

Tab 3. Quantity and Price

Click on tab **3. Quantity and Price** to display the **Quantity and Price** tab of the **Order Form**.

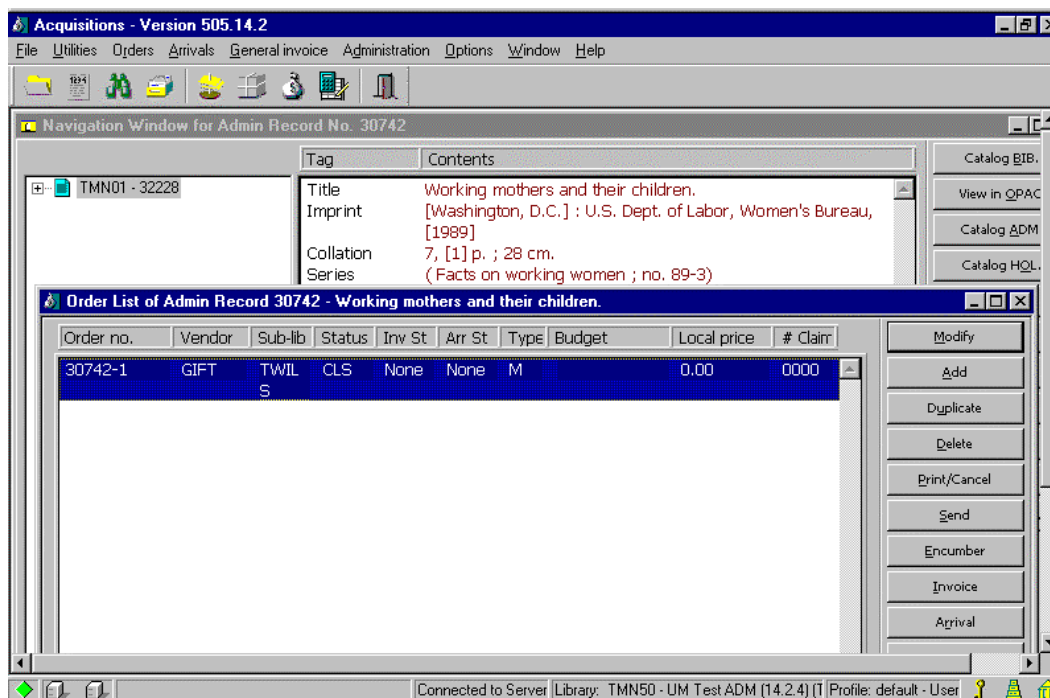
- Number of units:** Enter the number of volumes you are processing. The number you enter here will cause the same number of Item Records to be created. (For multiple *copies*, complete a separate **Order Form** for each copy.)
- Create Item Records:** Accept the default checked box to automatically create Item Records. Uncheck this box *only* if you do not want to create an Item Record.
- Item Collection:** Enter the appropriate value (Click the arrow to the right of the field for a list of possibilities.)
- Encumber budget:** Enter a budget *only* if you want to associate the gift with a budget (usually only for serial gift subscriptions).

The screenshot shows a software dialog box titled "Order Form - Working mothers and their children." It has three tabs: "1. Order Information", "2. Vendor", and "3. Quantity and Price". The "3. Quantity and Price" tab is active. The form contains the following fields and controls:

- Order quantity: []
- Number of units: [1]
- Unit price: []
- Total price: []
- Quantity note: []
- Create Item Records
- Item collection: [GEN] [▶]
- Estimated price: []
- Currency: [USD] [▶]
- List Price: [0.00]
- Terms sign (+/-): [-]
- Terms percent: [0.00]
- Final Price: [0.00]
- Local price: [0.00]
- Price note: []
- Encumber budget: [] [▶]

Buttons on the right side include: OK, Save Def, Refresh, Cancel, and Help.

Click **OK** to redisplay the **Order List** with the newly created order:



Saving Defaults

Saving defaults works best if gift processing is the only type of acquisitions activity that you perform. If you perform other acquisitions activities, a gift macro might work better for you.

When you fill in the **Order Form**, you often enter much of the same information for all or most of your orders. To save re-keying this information, the **Save Def** button can be used to record certain information and automatically insert it into the **Order Form** when you create new order records.

To save this default information, fill in an **Order Form** with all the data you wish to save as default, and then click the **Save Def** button before clicking **OK**. The next time you open an **Order Form**, this data will be inserted for you.

The following fields can be saved by the **Save Def** button, for automatic insertion into other orders:

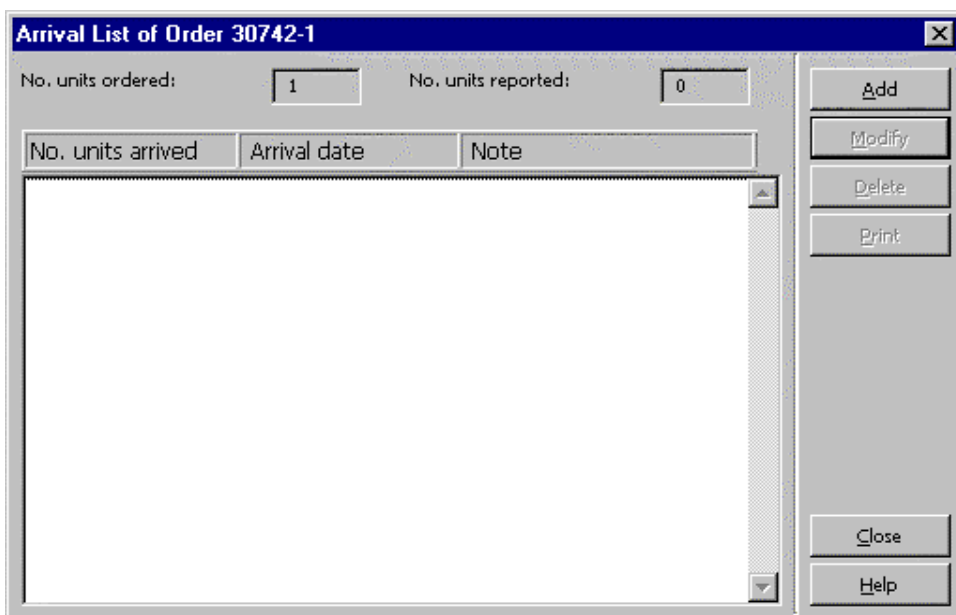
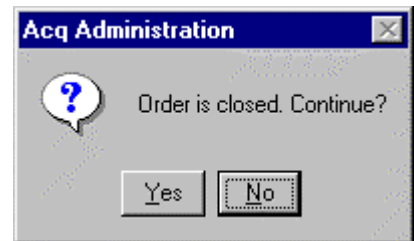
- Order status
- Order number 2
- Order number 3
- Order group
- Material type
- Sub-library
- Acquisition method
- Borrower ID
- Send directly
- Library note
- Vendor code
- Rush
- Batch claiming
- Number of units
- Unit price
- Quantity note
- Item Collection
- Price note

To remove previously saved defaults, click **File** or use **Alt + f**. Click **Delete order defaults**.

Record Arrival of the Material

From the **Order List** click the **Arrival** button. A dialog box will tell you the order is closed and ask if you want to continue. Click **Yes**.

An **Arrival List** displays:



Click **Add** to display an **Arrival Form**:

Arrival Form

Bibliographic Info

Working mothers and their children.
[Washington, D.C.] : U.S. Dept. of Labor, Women's
Bureau, [1989]

[000030742]

No. units arrived	Arrival date	Note
-------------------	--------------	------

No. units ordered: 1 No. units reported: 0

No. units arrived: 1

Shipment date: 00/00/0000

Arrival date: 08/20/2002

Note:

Order completely arrived

OK
View order
Order Log
Cancel
Help

No. units arrived: Enter the number of units (or volumes) you have in hand.

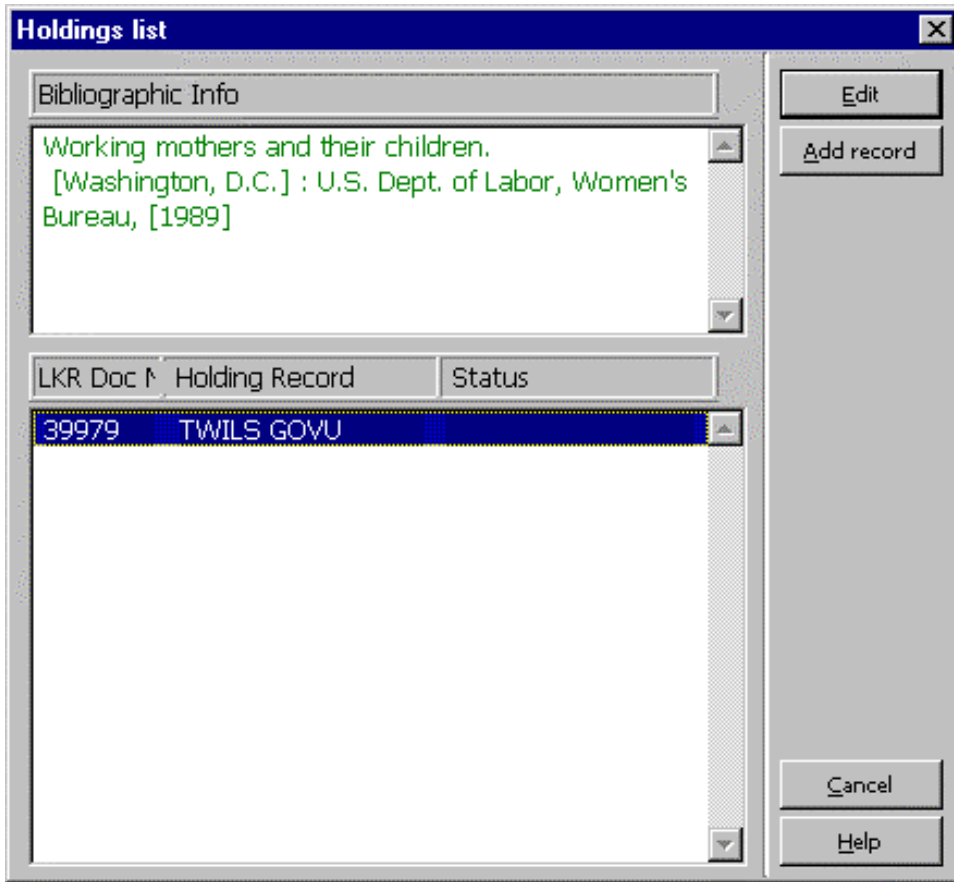
Note: Enter specific volume information if you have multiple volumes or a specific volume in a set.

Click **OK** to record the arrival.

Click **Close** to close the **Arrival List** and return to the **Order List** and **Navigation Window**.

Add a Holdings Record

From the **Navigation Window** in the **Acquisitions Module**, click the **Catalog HOL** button to push the record to the **Cataloging Module** and open the **Holdings List**:



- Click the **Add record** button.
- From the menu click **Edit**, then **Expand from template**.
- Select **hol.mrc (local)** and click **Open**.
- Edit the **Holdings** record as needed and save it to the server.

Modify the Item Record

Push the record to the Items Module by clicking the Items icon:



An **Item List** displays:



- With the gift item highlighted, click **Modify**.
- Check the **Hol link** field for the presence of a link.
- Wand in real barcode and edit fields as needed.

One-Time Gift Processing Job Aid

1. Find, import or create a bibliographic record and save it to the server if necessary:
 - Search Aleph, if no record in Aleph,
 - Search OCLC and/or RLIN and import, if no record in OCLC or RLIN,
 - Create a bibliographic record using an appropriate cataloging template.
2. Push the record to the Acquisitions module.
3. Click **Add** to add an order record:
 - Usually choose the **Monograph** order type
 - If the gift is open ended and you think we'll be receiving additional volumes as gifts, choose the Standing Order order type. Subsequent gift volumes are added to the order record by adding an Arrival and creating a new Item Record.
4. Fill in the Order Form (You can Save Defaults for these values.):

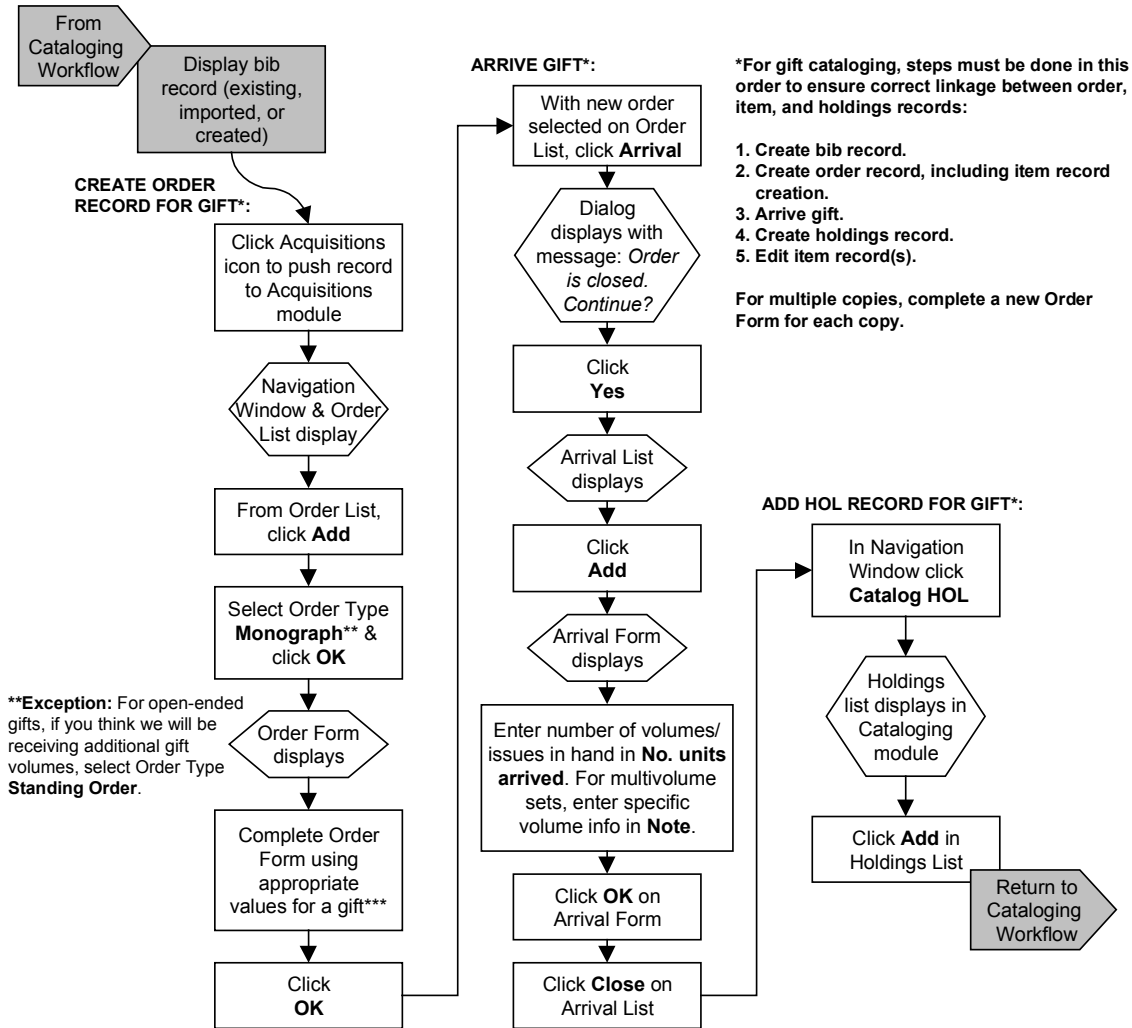
Order Status	CLS
Order Number 2	Selector's name
Order Group	Unit processing the gift
Material Type	Choose appropriate value
Sub-Library	Choose appropriate value
Acquisition Method	GI
Borrower ID	If patron request
Vendor Code	GIFT
Rush	If rush catalog request
Number of Units	Number of volumes you're processing. Fill in another Order Form for multiple copies
Create Item Records	Leave checked unless you do not want Item Records
Item Collection	Choose the appropriate value
Encumber Budget	Use only if associating the gift with a budget

- Click **Save Def** if you want to save defaults for these values.
 - Click **OK**.
5. Record arrival of the material
 - Click the **Arrival** button and continue by clicking **Yes** on the dialog box.
 - Click **Add** to display the Arrival Form

- No. of units: Enter number of volumes you have in hand
 - Note: Enter specific volume information if you have multiple volumes or a specific volume of a set.
 - Click **OK**.
 - Click **Close**.
6. Push the record to the Cataloging module by clicking **Catalog HOL** on the Navigation Window.
 7. Add a Holdings record.
 - Edit and fill in the Holdings record as appropriate.
 - Save the Holdings record to the server.
 8. Push the record to the Items module.
 9. Highlight the gift item and click **Modify** to display the Item record.
 - Wand in the real barcode and edit fields as needed.
 - Click **Update**.

One-Time Gift Processing Workflow

One-Time Gift Processing Workflow*



***ORDER FORM VALUES FOR GIFTS:

Tab 1: Order Information

- Order status: CLS
- Order number 2: selector's last name
- Order group: name of unit processing gift
- Material type: [as appropriate]
- Sub-library: [as appropriate]
- Acquisition method: GI
- Borrower ID: Add if patron notification.

Tab 2: Vendor

- Vendor code: GIFT, or, to associate the gift with a specific vendor, use that code.
- Rush: Check if rush cataloging.

Tab 3: Quantity and Price

- Number of units: Number of volumes/issues you are processing. (For multiple copies, complete a separate Order Form for each copy.)
- Create Item Records: Accept default of checked to automatically create item record(s). Uncheck *only* if you do not want to create an item record.
- Item collection: [as appropriate]
- Encumber budget: Enter a budget *only* if you want to associate the gift with a budget (usually only for serials subscriptions).

- ➡If you *do not* perform other acquisitions activities, it is recommended that you save defaults for completing gift order forms.
- ➡If you *do* perform other acquisitions activities, it is recommended that you use a macro for completing gift order forms.

Last updated 9/6/02

Analytics and Bound-Withs

Linking Serial Analytics

1. Call up the analytic title's bibliographic record in the cataloging module.

<i>Local Holdings</i>	<u>049</u>	<u>04</u>	<u>c</u> COU
<i>Main Title</i>	<u>245</u>	<u>04</u>	<u>a</u> UMMA <u>a</u> The role of the clinical microbiology laboratory in the diagnosis and therapy of infectious disease / <u>c</u> Franklin R. Cockerill III, guest editor ; Robert C. Moellering, Jr., consulting editor.
<i>Imprint</i>	<u>260</u>		<u>a</u> Philadelphia : <u>b</u> W.B. Saunders Co., <u>c</u> c2001.
<i>Physical Des.</i>	<u>300</u>		<u>a</u> xii p., p. 1009-1311 : <u>b</u> ill. (some col.) ; <u>c</u> 24 cm.
<i>Series Title</i>	<u>440</u>	<u>0</u>	<u>a</u> Infectious disease clinics of North America, <u>x</u> 0891-5520 ; <u>v</u> v. 15, no. 4

2. Call up the analyzed (serial) title in the Items module or, alternatively, in the GUI and push it to items. View the Item record for the volume you are analyzing, by highlighting the item and clicking **View** :

Hold+Sublib+Call+Call	Copy no.	Description	Status	Barcode
1208792 TBPER GEN stack no.81	201	v.16: no.3 (2002:Sep.)	Not Arrived	190680-630
	201	v.16: no.2 (2002:Jun.)	One Week Loan	31951D019803638
		v.16: no.1 (2002:Mar.)		
		v.15: no.4+index (2001:Dec.)		
		v.15: no.3 (2001:Sep.)		
		v.15: no.2 (2001:June)		
		v.15: no.1 (2001:Mar)		
		v.14: no.4 (2000:Dec.)		
		v.14: no.3 (2000:Sept.)		
		v.14: no.2 (2000:June)		
		v.14: no.1 (2000:Mar.)		
		v.13: no.4 (1999:Dec)		

Field Name	Field Data
Collection:	GEN
Description:	v.15: no.4+index (2001:Dec.)
Opac Note:	
Cir Note:	
Internal Note:	
Loan Date:	-----
Due Date:	-----
Call No.:	stack no.81
Second Call No.:	
Temporary	N
Location:	
Chron. I:	
Enum. A:	15
Enum. B:	4+index
Enum. C:	

3. Note the System Number of the analyzed title's **ADM** record (see circled number above). This number cannot be copied from anywhere, as far as we are aware.

4. Add a Dual Linkage field (LKR) to the end of an Analytic record. Press **F6** to create a new field, type **LKR**, then **Ctrl+F** will open its form.

Form for Field LKR - Format BK

LKR ALEPH Linking field
 No indicators

Link type (a) _____ (UP, DN, PAR, HOL, ADM, ANA, ITM)

Sysno of the linked doc record (b) _____

Library where record is linked (l) _____

Up link note (n) _____

Down link note (m) _____

MARC21 tag link (r) _____

Year link (y) _____ (CHRONOLOGICAL-I)

Volume link (v) _____ (ENUMERATION-A)

Part link (p) _____ (ENUMERATION-C)

Issue link (i) _____ (ENUMERATION-B)

Pages (k) _____

Conv Stat/Date 945 _____
 a _____ ORD
 b 2002-05-03

Link LKR _____

The following fields should be completed:

- Link Type:** will always be ITM
- Sys no. of linked doc record:** this is the **ADM number** (off the Item list)
- Library ...:** will always be UMN50
- Volume, part, issue link:** fill in the Enumeration and Chronology information to match the Item Form.

Generally, you should be able to get the correct enumeration information from the series tracing fields and/or the marking on the piece. When filled in, the form should look something like this:

Form for Field LKR - Format BK

LKR ALEPH Linking field
 No indicators

Link type (a) ITM (UP, DN, PAR, HOL, ADM, ANA, ITM)

Sysno of the linked doc record (b) 190680

Library where record is linked (l) UMN50

Up link note (n) _____

Down link note (m) _____

MARC21 tag link (r) _____

Year link (y) _____ (CHRONOLOGICAL-I)

Volume link (v) 15 (ENUMERATION-A)

Part link (p) _____ (ENUMERATION-C)

Issue link (i) 4+index (ENUMERATION-B)

Pages (k) _____

Important Notes:

- The links must match the item record exactly. Note above, that although the analytic series statement does not include the “+index,” it must be included in the issue link, or a match will not occur.
 - The subfield order of the LKR form is volume link (Enum A), part link (Enum C), issue link (Enum B), but the Item record order is enum a, enum b, enum c. Be very careful when transferring the information. (We have tried to correct the order on the LKR form, but have been unsuccessful.)
5. Click **OK**, and save the record to the server.
 6. Check the Web OPAC to make sure the link is good, i.e. availability information shows.
 - Open the Web OPAC.
 - Find the analytic record.
 - Click on the link for **All Holdings and Availability**.
 - Make sure the correct Circulation Information displays.

Location: TC Bio-Medical Library Periodicals Infectious disease clinics of North America ; v. 15, no. 4

Holdings:

Suppl:

- Items with no Due Date should be in the library unless the Loan Type column information would indicate otherwise (e.g., On Order).
- "Recall" is available to current U M students, staff and faculty to place a recall request for a checked out item.

Select volume Select Library

	Description	Due date	Loan Type	Library	Collection	Call No.
recall expand	v.15:no.4+index (2001:Dec.)	Not Checked Out	Overnight Loan	TC Bio-Medical Library	Periodicals	stack no.81

Special Instructions for Multi-Copy or Multi-Volume Analytics

There will be instances where multiple copies of an analyzed serial exist, either within the same sub-library or at different sub-libraries. As long as the ENUM fields in the item records are exactly the same, only a single LKR field to the bibliographic record for the analytic needs to be added to the record. (If the ENUM is not the same, the data in the differing fields needs to be fixed or a separate LKR needs to be created.)

Link [LKR](#) —
[a](#) ITM
[b](#) 2708537
[l](#) UMN50
[v](#) 28
[i](#) 3

Both copies' availability will display to the public.

	Description	Due date	Loan Type	Library	Collection	Call No.
recall expand	v.28:no.3 (2001:Sep.)	Not Checked Out	Overnight Loan	TC Bio-Medical Library	Periodicals	stack no.53
expand	v.28:no.3 (2001:Sep.)	Not Checked Out	One Day Loan	TC Veterinary Medical Library	Periodicals	

However, multi-volume analytics require multiple LKR fields, in order to show availability to all volumes of the analytic title. After the first LKR is created, the field can be duplicated as many times as necessary, changing the ENUM field(s) for each new LKR.

```

490 1 a Methods in enzymology ;
      v v. 347, v. 348
830 0 a Methods in enzymology ;
      v 347, etc.
LKR  a ITM
      b 89385
      l UMN50
      v 347
      i 2002
LKR  a ITM
      b 89385
      l UMN50
      v 348
      i 2002
    
```

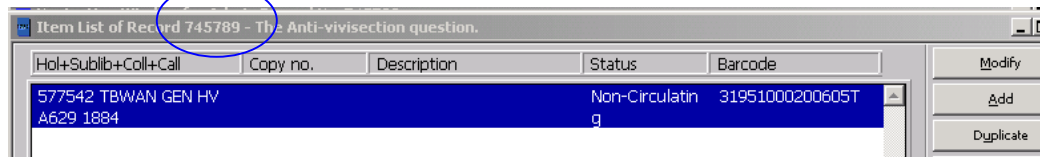
This particular serial and its corresponding analytics are held by both Magrath and Bio-Med. Because they share an ADM record and the ENUM fields are exactly the same, both volumes, in both libraries display.

	Description	Due date	Loan Type	Library	Collection	Call No.
recall expand	v.348 (2002)	Not Checked Out	Overnight Loan	TC Bio-Medical Library	Periodicals	stack no.161
expand	v.348 (2002)	Not Checked Out	One Day Loan	TC Magrath Library	Periodicals	
expand	v.347 (2002)	Not Checked Out	One Day Loan	TC Magrath Library	Periodicals	
recall expand	v.347 (2002)	Not Checked Out	Overnight Loan	TC Bio-Medical Library	Periodicals	stack no.161

Linking Bound-Withs and IN Analytics

The same basic steps are followed for creating dual linkage for first titles of a bound with volume and the succeeding titles or for IN analytics, as were followed for serial analytics. The biggest difference is in the fields that are filled in on the LKR form.

1. Call up the main/first title in the items module. (Any module is fine. However, looking the title up in the items module, will assure that you are on the bibliographic record with the item record.) Note the ADM number from the top of the Item List.



2. Call up the secondary title in the cataloging module and add an LKR field, by clicking **F6**; type **LKR** and press **Ctrl + F** to open form.
3. Complete the following fields:

Link Type: will always be ITM
Sys no. of linked doc record: this is the **ADM number** (off the Item list)
Library ...: will always be UMN50

4. Click **OK**, and save the record to the server.
5. Check the Web OPAC to make sure the link is good, i.e. availability information shows.
 - Open the Web OPAC.
 - Find the analytic record.
 - Click on the link for **All Holdings and Availability**.

- Make sure the correct Circulation Information displays.

Location: TC Bio-Med Wangenstein HV A629 1884
 Holdings:
 Suppl:

- Items with no Due Date should be in the library unless the Loan Type column information would indicate otherwise (e.g., On Order).
- "Recall" is available to current U M students, staff and faculty to place a recall request for a checked out item.

Select Library

	Description	Due date	Loan Type	Library	Collection	Call No.
expand		Not Checked Out	Non-Circulating	TC Bio-Med Wangenstein		HV A629 1884

Creating a LKR Template

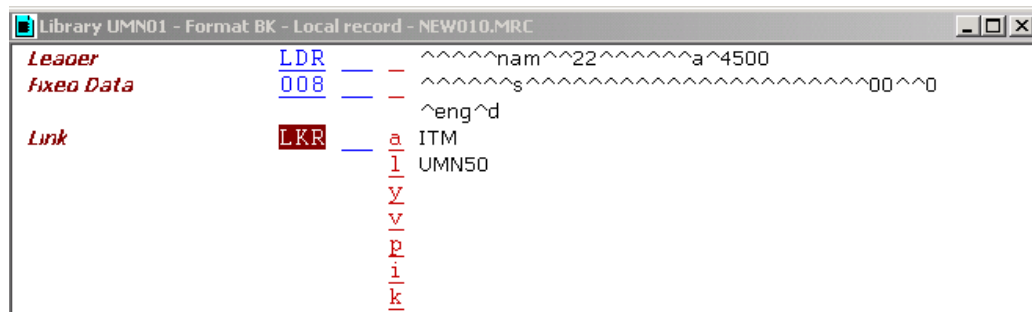
Expanding from a template, instead of opening the LKR form, may expedite filling in the LKR subfields. Since relatively few staff members catalog analytics, we are recommending that the template be created on local drives, as opposed to the server. To create a template:

1. Choose book format, after clicking on **New Record** from the **File** menu.
2. Click past the forms for LDR, 008, and 260, 300.
3. Press **F6** to add a blank field and type in **LKR**.
4. Open the LKR form by pressing **Ctrl+F** and fill in the following subfields:
 - a ITM
 - l UMN50

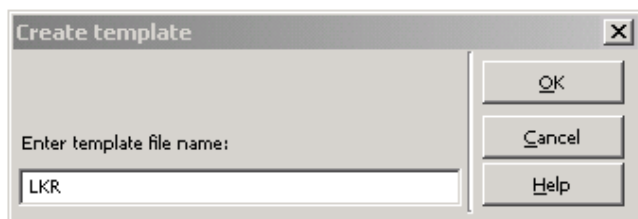
Leave the following fields blank: b, y, v, p, i, k

5. Click **OK** to get out of the form.
6. Delete the following subfields: n, m, r

The record should look like this:



7. From the **File** menu, click **Create Template on Local Drive**. The Create template box will pop up so that you can assign a name to your template, perhaps: **LKR**.



8. Click **OK**. The template will be saved on your local hard drive.

Using the Template

When cataloging an analytic:

1. Click on **Expand from Template** from the **Edit** menu at any point in your cataloging. The LKR field is always added to the end of the record, so you may fill the field in right after you expand or complete it as your last cataloging step. Make sure to fill in the necessary LKR subfields.
2. Save to the server.

Holdings Issues

LKR data will match against the same data in every item record in the specified ADM record, regardless of sub-library. This works out nicely if all libraries holding a serial are analyzing the title's volumes. However, if only one library has added a holdings statement on an analytic record and multiple libraries hold the serial the result can be a confusing display to the public.

In these circumstances, it will be necessary to create an additional holdings statement for the other library. There appear to be two options: notify the non-analyzing library to add the holdings or have the analyzing library add an additional holdings statement, especially since staff will already be on the record. Workflow will have to be worked out for these situations.

Maintenance Issues

The exact nature of the data in the LKR poses issues for analytic cataloging workflow and/or maintenance of analytics. Many analytics are cataloged when they are unbound journal issues. This usually means that there are additional Enum fields than there would be for the bound issue. Therefore, if the unbound serial analytic includes a LKR field, e.g. \$\$v59, \$\$i4 and the issue is bound with others later, the link will be broken because the system cannot match the Enum data between the analytic LKR and the bound serial volume item record. The display will result in the return of the "Check shelf if print/microform resource..."

Transfers

Note: These procedures do not include transfers to Law Library or MLAC.

Transferring an Entire Set or Single Volume Monograph

Use this procedure to transfer an entire set or a single volume monograph, i.e., when no volumes will remain in the original location.

Sending Unit

If you are actually sending physical volumes to another location, before sending them, add to the **Holdings Record** an 852 |x note on the transfer, including names and date sent, e.g., *v.1-8 sent from D. Wdowychyn to M. Kraus, 11/4/02.*

Receiving Unit

Holdings Record

1. Retrieve the **Holdings List**.
 - If a volume is in hand, search by barcode in the **Items Module**, then click **Retrieve HOL** from the **Item List** to display the **Holdings List**.
 - If a volume or barcode is not available, find the title in **Cataloging Module** and from the menu select **File / Load HOL record from server**.

OR

Find the title in the **GUI OPAC**, click **Add to Nav. Map**, then from the Navigation window click **Catalog HOL**.
2. With the correct **Holdings Record** highlighted in the list, click **Edit**.
3. Edit the **Holdings Record** to reflect the new sub-library/collection and save changes:
 - 852 Edit |a, |b, and |c only if the transfer:
 - |a Involves an NUC code change, i.e., among Minneapolis (MnU), St. Paul (MnSU), Bio-Med (MnU-B), and Law (MnU-L).
 - |b Is between sub-libraries, e.g. from Forestry (TFOR) to Magrath (TMAGR).
 - |c Is between collections within a sub-library, e.g. from Reference (REF) to the General Collection (GEN).

- 940: Transfers will contain a 940 field with |b UPD. For complete instructions on updating the 940, including whether to modify an existing 940 or add a second 940 field, refer to *Aleph HOLDings Record Fields*.



Example

The set was cataloged in NOTIS 940__\$a MNUB \$\$b UPD \$\$c 2002-11-22
and is being transferred:

The set was cataloged in Aleph 940__\$a MNSU \$\$b CAT \$\$c 2002-10-12
and is being transferred. 940__\$a MNSU \$\$b UPD \$\$c 2002-11-22

- For transfers involving reclassifications, change other holdings fields as needed.

Item Record(s)

4. Sub-library/collection information on all items linked to the holdings record will automatically be updated. However, you may need to change the **Copy Number** (if copy 2 or greater), **Item status** (if the loan period varies between old and new locations), and/or **Item Process Status**.

Order/Subscription

5. If the order/subscription is still active, consult acquisitions policies on transferring orders/subscriptions to another sub-library/collection.

Transferring Only Some Volumes of a Set

Use this procedure to transfer some, but not all, volumes of a set to another location.

Sending Unit

If actually sending physical volumes to another location, before sending them, the sending unit should:

- Add to their **Holdings Record** an 852 |x note on the transfer, including names and date sent, e.g., |x v.7-8 sent from L. Gries to P. Mills, 11/11/02.
- Update their **Holdings Record's 866, 940**, and any other fields necessary to reflect volumes being removed.

Receiving Unit

Holdings Record

1. Retrieve or create a **Holdings Record** for the new location:
 - To retrieve an existing **Holdings Record**, follow [steps 1 and 2 under “Transferring an Entire Set or Single Volume Monograph.”](#)
 - To create a **Holdings Record** if one does not exist for the new location:
 - a. In **Cataloging Module** select **File / Load HOL record from server** from the menu.

OR

In the **GUI OPAC**, click **Add to Nav. Map**, then from the Navigation window click **Catalog HOL**.
 - b. Click **Add**.
2. On the new location’s **Holdings Record**, modify/create the **866, 940**, and any other fields necessary to reflect transfer of the volume(s), and save the changes.
3. Write down the **Holdings Record** number. (This is the number on the **Holdings Record** that appears in the blue title bar and is identified as a system number.)

Item Record

4. Retrieve the **Item Record**.
 - If the volume is in hand, search by barcode in the **Items Module**.
 - If the volume or barcode is not available, find the title in **Cataloging Module** and use the icon to push to the **Items Module**.

OR

Find the title in the **GUI OPAC** and click **Items** to push to the **Items Module**.
5. An **Item List** will display. If the item was searched by barcode, it will be highlighted. The procedure for modifying the **Item Record(s)** depends on the number of volumes being transferred:

5a. To transfer *one volume*:

- With the item to be transferred highlighted, click **Global Changes** to display the **Global Changes** form.
- On the form, change **HOL Link** to link the item to the new location's holdings.
- Sub-library/collection information on all items linked to the holdings record will automatically be updated. However, you may need to change the **Copy Number** (if copy 2 or greater), **Item status** (if the loan period varies between old and new locations), and/or **Item Process Status**.
- Click **OK**.
- Click **Yes** on the **Confirm Changes** box that displays.

The screenshot shows the 'Global Changes' dialog box. It is divided into two main sections: 'Select by:' and 'Change to:'. The 'Select by:' section has input fields for HOL Link (000064808), Copy Number (00001), Collection (PER), Sub-Library (TSCI), Item Status (04), Item Process Status, Year (2001), and Volume (2). The 'Change to:' section has input fields for HOL Link, Copy Number, Collection, Sub-Library, Item Status, Item Process Status, Call Number, and Temp Location (No Change). On the right side, there are buttons for OK, Clear, Cancel, and Help.

5b. To transfer *multiple volumes*:

- From the **Item List**, click **Bind/Changes** to display the **Items List for Binding**.

The screenshot shows the 'Items List For Binding' dialog box. It features two columns of data. The left column has three rows: 'v.2: no.6/7 (2001: Jun./July)', 'v.2: no.12 (2001: Dec.)', and 'v.3: no.1 (2002: Jan.)'. The right column is empty. On the right side, there are buttons for Bind, Changes, Cancel, and Help.

- Select the volumes to be transferred from the list on the left. (Use the **Shift** or **Ctrl** key to select multiple volumes.)
- Click the right arrow to copy the selected volumes into a list on the right.
- Select the volumes in the list on the right and click **Changes** to display the **Global Changes** form.

- On the form, change **HOL Link** to link the selected items to the new location's holdings.
 - Sub-library/collection information on all items linked to the holdings record will automatically be updated. However, you may need to change the **Copy Number** (if copy 2 or greater), **Item status** (if the loan period varies between old and new locations), and/or **Item Process Status**.
 - Click **OK**.
 - Click **Yes** on the **Confirm Changes** box that displays.
 - Click **Cancel** on the **Items List for Binding** to return to the **Item List**.
6. The **Item Record** changes have been made, and the system has automatically updated the sub-library, collection and call number based on the link to the **Holdings Record**. However, the **Item List** is not automatically refreshed. To view the changes, select an item and click **Modify**.
7. It is always good practice to check one of the moved **Item Records** to make sure that all appropriate data has been changed and that no fields were missed.

Withdrawals

Withdrawing a Volume

To withdraw volume(s) from a set, when at least one volume remains, use this procedure.

Item Record

1. Retrieve the Item Record.
 - If the volume is in hand, search by barcode in the **Items Module**.
 - If the volume or barcode is not available, find the title in **Cataloging Module** and use the icon to push to the **Items Module**.



OR

Find the title in the **GUI OPAC** and click **Items** to push to the **Items Module**.

An **Item List** will display. If the item was searched by barcode, it will be highlighted in the list.

Hold+Sublib+Coll+Call	Copy no.	Description	Status	Barcode
1615574 TWILS CLS 820.15 C845		v.1	Regular Loan	31951002170501Q
966432 TWILS GEN 820 C84	2	v.1	Regular Loan	31951D005281488
966431 TWILS GEN 820 C84		v.1	Regular Loan	319510016387661
966432 TWILS GEN 820 C84	2	v.2	Regular Loan	31951D005281496
966431 TWILS GEN 820 C84		v.2	Regular Loan	31951D00528144G
1615574 TWILS CLS 820.15 C845		v.3	Regular Loan	31951002170502O
966432 TWILS GEN 820 C84	2	v.3	Regular Loan	31951D00528150L
966431 TWILS GEN 820 C84		v.3	Regular Loan	31951D00528145E
1615574 TWILS CLS 820.15 C845		v.4	Regular Loan	31951002170503M
966431 TWILS GEN 820 C84		v.4	Withdrawn	31951D00528146C
966432 TWILS GEN 820 C84	2	v.4	Regular Loan	31951D00528151J
966433 TWILS CLS 830 C84	3	v.5	Regular Loan	31951D00528147A
1615574 TWILS CLS 820.15 C845		v.5	Regular Loan	31951002170504K
966432 TWILS GEN 820 C84	2	v.5	Regular Loan	31951D00528152H

2. With the item to be withdrawn highlighted, click **Modify** to display the **Item Form**.

3. On Tab 1 of the **Item Form**, change **Item Process Status** to **WD** (Withdrawn).
4. Click **Update**.
5. Repeat steps 2-4 for each additional volume to be withdrawn from the set.

The screenshot shows the 'Item Form' window with the 'General Information' tab selected. The 'Item process status' field is set to 'WD'. Other fields include Barcode (01951001638766), Sub-library (TWILS), Collection (GEN), Call Number Type (1), Call Number (\$\$h820\$\$C84), 2nd Call Number Type, 2nd Call Number, Copy number (0), Enum.Level.1 (a)(vol) (1), Enum.Level.2 (b), Description (v.1), Material type (BP), Item status (01), and Hol Link (966431). Buttons for Update, Save defaults, Circ History, Refresh, Cancel, and Help are visible.

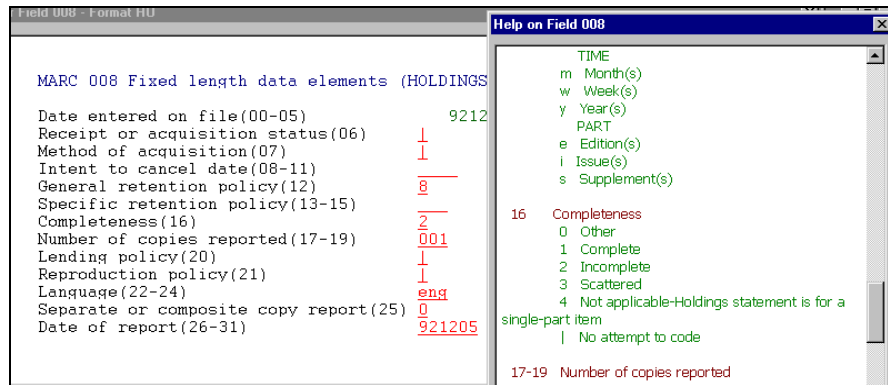
Holdings Record

6. Display the Holdings Record by clicking **Retrieve HOL** from the **Item List** to display the **Holdings List**, and then, with the correct record highlighted in the list, clicking **Edit**.
7. Edit the Holdings Record:
 - Check the values in the **LDR** field, especially **06** and **17**, to make sure that they are correct for the multivolume title.

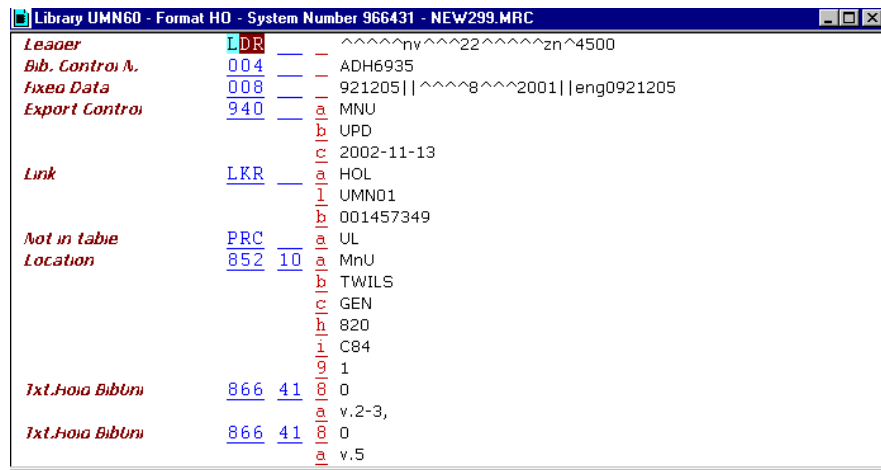
The screenshot shows the 'Form for Field LDR - Format HO' dialog box. The text area contains the following text:
Leader (Holdings)

Record status(05) n
Type of record(06) v
Encoding level(17) 4
Item inf.in record(18) n
Buttons for OK, Help on field, Cancel, and Help are visible.

- Check the **008** field, especially **Completeness (16)**, to make sure that the values reflect the correct information for the volumes that remain.



- Modify the **866** to reflect withdrawal of the volume(s).
- Change the **940** or create one, where |a<institutional symbol>, |b UPD and |c is today's date.



- Save Holdings on server and local drive.

Withdrawing a Copy

To withdraw the *last remaining* or *only* volume for a copy, use this procedure.

Item Record

- Retrieve the Item Record.
- With the item to be withdrawn highlighted, click **Modify** to display the **Item Form**.
- On **Item Form** Tab 1, change **Item Process Status** to **WD** (Withdrawn).
- Click **Update**.
- Repeat steps 2-4 for each additional volume to be withdrawn from this set.

Holdings Record

6. Display the Holdings Record by clicking **Retrieve HOL** from the **Item List** to display the **Holdings List**, and then, with the correct record highlighted in the list, clicking **Edit**.
7. Edit the Holdings Record:
 - Change the **LDR Record status** to **d**.

Form for Field LDR - Format HO

Leader (Holdings)

Record status(05) d
Type of record(06) v
Encoding level(17) z
Item inf.in record(18) i

OK
Help on field
Cancel
Help

- Add **852 |x wdr**
- Change the **940** or create one, where **|a<institutional symbol>**, **|b DEL** and **|c** is today's date.
- Add an STA field with **|a SUPPRESSED**

Note: A shortcut is to type **S** and press the **Tab** key.

Library UMN60 - Format HO - System Number 957805 - NEW301.MRC

Leader LDR --- ^^^^dv^^^22^^^zn^4500
Bib. Control N. 004 --- ADH0653
Fixed Data 008 --- 921205||^8^^2001||eng0921205
Export Control 940 --- MNU
DEL
2002-11-13
Link LKR --- |a|c|b|a|
HOL
UMN01
000804441
Not in table STA --- |a|b|a|c|b|a|
SUPPRESSED
Not in table PRC --- |a|b|a|c|b|a|
UL
Location 852 10 --- MnU
TWILS
GEN
810.9
R89
3
3
wdr
Text. Hoia Bibln 866 1 --- 0
v.1
Text. Hoia Bibln 866 1 --- 0
v.2

8. Save Holdings on server and local drive.

Withdrawing the Last Copy

To withdraw the *last or only copy* linked to a bibliographic record, follow “[Withdrawing a Copy](#)” steps 1-8 for Item and Holdings records, then do the following:

Bibliographic Record

9. Display the bibliographic record by clicking **Catalog BIB** from the **Navigation Window** in either the **Items Module** or **GUI OPAC**.
10. Edit the bib record:
 - Change the **LDR Record status** to **d**.
 - Add an **STA** field with **|a DELETED**.
Note: A shortcut is to type **D** and press the **Tab** key.
11. Save bib record on server and local drive.

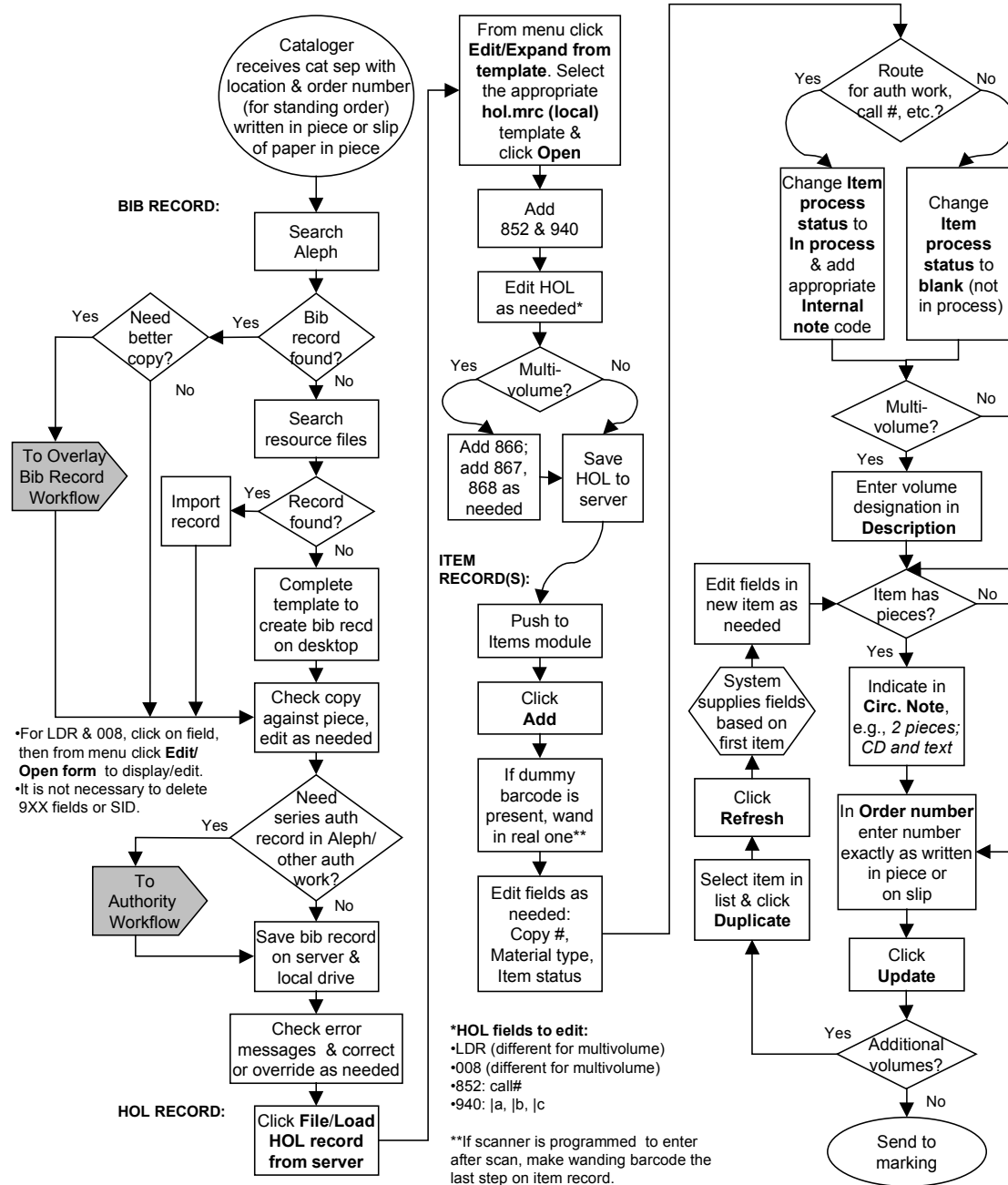
Reinstatements (NOT YET AVAILABLE)

To be written.

Cat Seps

Cat Sep Cataloging Workflow

Cat Sep Cataloging Workflow



Last updated 3/12/03

Lost Holdings/Bibliographic Record Links

When to Use

This procedure covers the situation when the bibliographic record becomes disconnected from the holdings and items and the items can still be viewed in the Items window of the Serials module or in the Items module.

Catalogers will need to create a new holdings, relink the items and relink the subscription record (if there is an active subscription).

Procedure

The following steps walk through this process:

Holdings Record

1. Create a new holdings record, including summary statements.
 - In order to accurately re-create the summary statements in the 866 fields, check the shelves to determine what the library owns.
 - Determine if a “Latest edition in” or “Keep latest issue” note needs to be added to the holdings. Depending on the order type, the information will be in different places:

O-type orders:	Library note field on Tab 1 of the order record.
S-type orders:	Check in note field on Tab 2 of the subscription record.
Converted orders that have not been cleaned up:	Review the DIV note in the order log for that order.
 - Once you have re-created the holdings record, save the new holdings record to the server and write down the holdings number. The holdings number is the number that appears in the blue title bar for that holdings record and is identified as a system number.

Item Record(s)

2. The items linked to the lost holdings need to be transferred to the new holdings.
 - Push the bibliographic record to the Items module.
 - In the Items list window of the Items module, click on an item to highlight it.
 - Click the **Bind/Change** button.
 - A window with two columns will open. From the left column, select all items to be moved by clicking on the item. The item to be moved should now be highlighted.
 - Once all items to be relinked are highlighted, click on the arrow pointing to the window on the right. All the selected items should now appear in the right column.
 - Select/highlight all the items in the right column. Click the **Changes** button.
 - A Global Change form will open with the top portion grayed out.
 - In the lower portion of the form complete the following fields:

HOL Link: Enter the holdings number for the new holdings.
 - Click **OK**.
 - You will get a message asking you to confirm the change. Click **Yes**.
 - The Item list window in the Items module does not refresh automatically to reflect the changes you have just made. To double check that the items are now linked to the new holdings, select an item and click **Modify**. Check the HOL link field to be sure the item is linked to the new holdings record. The field is located on the bottom of Tab 1.

Subscription

3. Next, if there is an active subscription associated with the lost holdings record, relink the subscription record to the new holdings record.
 - Push the bibliographic record to the Serials module and open the Subscription list window.
 - Select the appropriate subscription record and click on the **Retrieve Hol** button. A list of holdings record numbers associated with the title will display.
 - Select the number for the new holdings that was just created and click the **Link to copy** button.

Moving Items Between Bibliographic Records

Note: Staff must have appropriate Aleph security to move items between bibliographic records. If you are unsure if your security level allows this, contact Sue Koelmel (s-koel@tc.umn.edu) for information. You may need to get someone else to complete the task or talk to your supervisor about upgrading your security.

Option 1: Delete and Re-Create the Item

When to Use

- When an item was created in error on the wrong bibliographic record.
- No circulation data (loans, fines, etc.) are connected to the item.

Steps Involved

1. Delete the item placed on the wrong title.
2. Create a new item on the correct title.

Option 2: Moving Items Between Bibliographic Records

When to Use

- Use Option 2 when an item needs to be moved from one bibliographic record to another and circulation data accompanies the item. The need to move items between titles is common in serials cataloging with missed title changes, but there may be other cataloging situations that require moving items between bibliographic records.

Steps Involved

1. Search for and place both bibliographic records in the GUI OPAC Navigation window.

2. Open the tree structure for both records so that the list of Items can be viewed. Arrange the two titles so that you can select the item to be moved and so that you can see the UMN50 area of the second title without scrolling down the window. *The system does not allow you to scroll down the window once you start moving an item.**

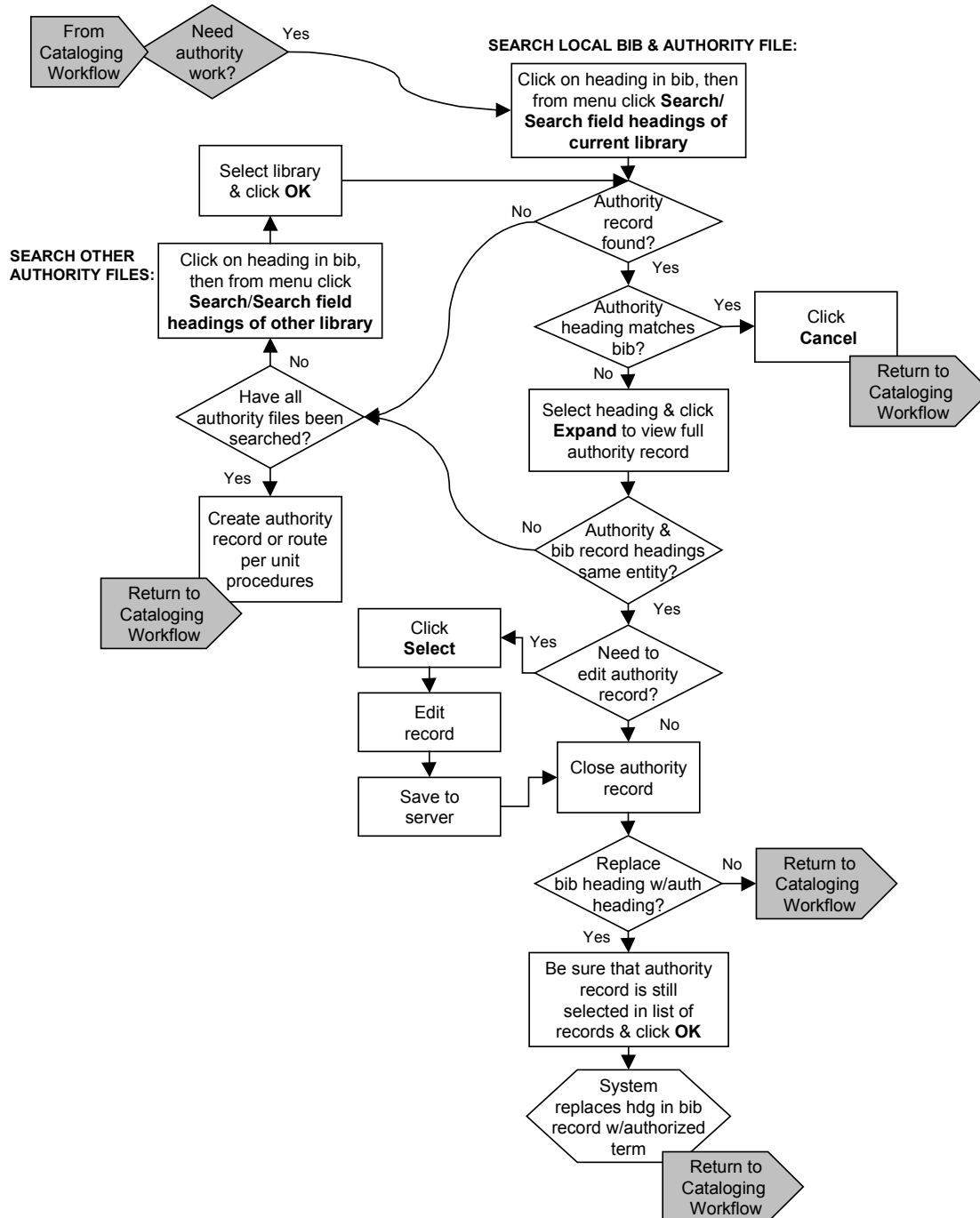
If UMN50 does not appear on the target title (Title B), create one by clicking the Catalog ADM button. The record will be pushed to the cataloging module and the ADM record will open. Without touching the ADM, save it and close it. In the GUI OPAC, select the title and click the Refresh button. There should be a UMN50 area once the tree is expanded.
3. Locate the items to be moved from Title A. Items can only be moved one at a time. If the item is on loan, the system will not allow the item to be moved.
4. Select the item (left click on it and while holding down the left mouse button), drag the item and drop (release the left mouse button) when the item is hovering on the Items heading on the tree of Title B.
5. The item moved will lose the link to the holdings record on Title A. To relink the item to a holdings record associated with Title B, push Title B to the Items module. Select the item just moved to that title. Click the **Retrieve Hol** button. Select a holdings record to link to the item and click the **Link to Item** button.

*If you are unable to move an item because there are too many items listed when the tree structure is opened, set the project aside. Further investigation is needed into the possibility of moving the items via a Web Services report, deleting and recreating the items, or using a Shelved as note in the holdings record.

Authority Work

Authority Workflow

Authority Workflow



Last updated 9/4/02

Authority Work in Aleph

Staff have asked for clarification about how much authority checking needs to be done in Aleph, and what kinds of authority work should be done. The following is a working document to address these questions. Parts of it will be rewritten when we begin routinely loading updates to the LC authority file in UMN10, when other changes are made, or in response to additional questions from staff. Topics covered:

- [Authority files](#)
- [Authorizing headings and providing references](#)
- [Using the Y/N Update flag](#)
- [Adding an authority to UMN10](#)
- [Local updates to UMN10](#)
- [Heading maintenance](#)

Refer also to “[Searching Authority Records](#)” and “[Creating Authority Records](#)” in this manual.

If you have questions about authorities or authority work, please contact the Authority Control Coordinator (Stephen Hearn, s-hear@tc.umn.edu, 612-625-2328). If your question is about a particular heading or record, please include the heading or record number in your query.

Authority Files

We have three active authority files in Aleph:

- **UMN10** contains the complete LC name and subject authority files as of mid May 2002. It is used to authorize name, series, uniform title, and LC subject headings and to provide references in the Aleph bib indexes. Weekly updating of this file has not yet begun.
- **UMN11** contains the authorities from NOTIS which we locally created or modified. It is intended as a resource file in Aleph, but does not actively authorize headings or add references to the bib index.
- **UMN12** contains the current MeSH authority file. It is used to authorize medical subject headings and provide references. Work on MeSH headings is primarily the responsibility of Biomed library staff.

Authorizing Headings and Providing References

When you create or bring in a new bib record and save it to the server in UMN01, Aleph does an automatic check of all the controlled headings in the record against the authority files.

- Name and subject headings which find a match on either a 1XX or a 4XX form are automatically linked to the 1XX form. This updates the form of the heading in the bib record if the match was on a 4XX, and creates the link to the authority that appears in the right column of the UMN01 indexes when a heading is searched. For many records, this automatic correction and linking process is all the authority work that's needed.
- Heading which don't match an authority are reported out in the **Check Record** pop-up window.
 - When a heading appears in this window, it should be searched in the UMN10 to determine if there is an authorized form of the heading which differs from the form in the bib record.
 - If nothing is found in UMN10, UMN11 should also be searched to determine whether we have authorized the heading locally in the past.
 - Lastly, the heading should be searched in OCLC (using the OCLC client, not the Aleph Z39.50 connection) or in LC's new web file of authorities at <http://authorities.loc.gov>.

Both of these versions of the file will contain new and updated records not yet added to UMN10. But note that we do not have a way yet to copy records easily from either of these sources into Aleph.

Subdivided Subject Headings and Series Headings

Some headings will be reported in the **Check Record** window as unauthorized, but do not need to be checked. In particular, subdivided subject headings and series headings are often reported unnecessarily, since these headings are not routinely established at the same level of specificity that they have in bib records (e.g., without subdivisions, or without series numbers). Generally they can be ignored.

Common, Unqualified Personal Names

Be careful with common, unqualified personal name headings. There are many authority records which authorize or contain references from simple forms of personal names. When Aleph makes an automatic match on such an authority, it is not considering the supplementary information on the authority record usually found in 670 fields, which may indicate that the authorized name is really for a different person. When dealing with

common personal names which lack dates or fuller forms, please check the authority file to be sure that the name on the bib record matches the correct authority.

Headings on Recent LC Bib Records

In general, headings on LC bib records created within the last two years have a very good chance of being correct and authorized, and do not need to be checked routinely.

Using the Y/N Update Flag

Recognizing that some authorities should not be used for automatic updating (e.g., because the 1XX or a 4XX is likely to match on more than one person or body or series), Aleph defines an Update value for each authority record. This value appears in the right column of the index display, e.g., “1001 , aab, UPD=Y”. Any authority which lacks a **UPD** field is assumed to have the value **Y**, i.e., to be used for updating. When we identify a record which should *not* be used for updating, we can manually reset the default value to “no” by entering a **UPD** field on the authority, e.g., “UPD __ a N” Once flagged with the “no” update field, the record will not be used to automatically change bib headings.

If you find an authority record which has incorrectly updated a bib heading, please add the UPD=N field to the record, fix the incorrect heading, and report it to Stephen Hearn (s-hear).

Adding an Authority Record to UMN10

If you find an authority in OCLC or LC’s catalog which is not yet in UMN0, there are three reasonable levels of response, depending on how much time you have and how likely you think it is that the heading or a variant form of it will be searched in the next few months.

- Option 1 Make the bib heading match the LC authority, and let it wait that way until the authority gets loaded. Do not create an authority in UMN10.
- Option 2 Make the bib heading match the LC authority, and [create a local authority](#) in UMN10 with an 010 TEMP field, a 1XX field, and any crucial 4XX/5XX references; but do not attempt to recreate the full authority in UMN10.
- Option 3 Make the bib heading match the LC authority, and [recreate the LC authority](#) in UMN10, including the LC 010 and all other fields.

Any of these responses could be considered appropriate. Cataloger's judgment is needed to decide among them. When we return to a regular weekly updating of the LC authority file in UMN10, this problem will be greatly diminished; but it will never completely go away.

Local Updates to UMN10

Updating Authority Records

Authority records in UMN10 can be updated locally to add references or other useful information (e.g., to add birth/death dates or fuller forms of name in a 670).

- When a record with a valid LCCN in 010 is changed, the 010 should be left as is.
- If you find a match on a 4XX reference form while searching UMN11 which is not present on an authority in UMN10, the **Copy Field** function on the Edit menu can be used to add the 4XX form and any supporting 670 field to the record in UMN10. If the UMN10 record already has a valid LCCN in 010, leave it as is.

Creating Authority Records

Local authority records can be created in UMN10. Refer to "[Creating Authority Records](#)" in this manual for detail on the process.

- If you find a heading authorized in the UMN11 file but not in UMN10, the **Copy Record** function on the Edit menu can be used to copy and paste the authority into a blank UMN10 record.
- You can also enter a record directly.

In both cases, *be sure to mark the 010 field with TEMP on the locally created authority* so that it can be overlaid if a national authority record is loaded later.

NACO Contribution

Authority record updates and creation can also be done through NACO contribution. NACO contribution is slower to affect the UMN01 indexes, but it is also more lasting, since local changes are subject to overlay when the national record is modified. Feel free to include such new records or changes in other NACO work if you are authorized to do so, or to report them to an authorized NACO contributor.

Policy and Process for Authority Record Creation

Existing policies on when to create a new authority record continue to apply. The process for creating and editing authorities is up to individual teams.

Heading Maintenance

Various kinds of heading maintenance work and corrections are being done. Some of these derive from problems with the initial generation of the Aleph indexes; others are inherent to the dynamic nature of authority control. These include:

- **100s missing subfield q.** Many 100 fields were indexed without including subfield q for fuller forms. This was due to an incorrect table setting, which has since been corrected.

The missing subfield can be restored by calling up the record and simply saving it to the server, which will cause all the headings to be reindexed.

- **Incomplete corrections.** The background processing of corrections which had been backlogged during the index generation had to be cancelled in order to improve response time. This left some bib headings matched to 4XX forms on authorities, but not yet corrected to the 1XX form.

These can be corrected by calling up the record in cataloging and saving it to the server, which dynamically causes the automatic correction process to occur.

- **Odd exclamation points.** An early error in the Aleph tables caused some 100 fields to be saved to the server with an exclamation point in place of the correct ending punctuation.

The table has been corrected, and these headings can now be revised as they are found.

- **New normalization differences.** Aleph is more scrupulous than NOTIS was when comparing bib headings with minor variations, e.g., spacing, punctuation, capitalization, subfielding, etc.

When these variations are in controlled headings with an authorized form, they are corrected to match the authorized form.

- **Heading changes.** When we resume loading new and updated LC and MeSH authorities, the load process will automatically create new links and update bib headings. This will generally be a major improvement over maintenance in NOTIS, where new authorities were only occasionally linked to existing bib headings, and updating bib headings was a largely manual process.

There will be occasional instances where the automatic process is in error. When these errors are found, they will be corrected.

Authority Work for Copy Cataloging

General Procedures

Headings to Verify

Verify headings *only if variations exist*:

- *Heading(s) on material varies* from heading(s) on catalog record.
- *Variant form of heading is implied* from heading structure, e.g. compound name.

AND

Cataloging copy is one of the following types:

- *Member copy*, including member-completed CIP.
- *Pre-1985 LC copy*.
- *CIP copy* only if form in the *descriptive* field of the catalog record (245, 4XX, 5XX) differs from the material, or if there is a name or series on the material which is not in the description.

OR

Series is coded 490 0[^] -- *regardless of the type of cataloging copy*.

Fields to Verify

Verify these fields if above conditions apply:

- 100, 110, 111, 130
- 440, 490
- 600, 610, 611, 630
- 700, 710, 711, 730
- 830

Verification Procedures

1. Highlight heading to be checked.

2. Click on **Search/Search field headings of current library (F3)**.
 - Highlight record.
 - Verify [heading use codes](#).
 - Click **Expand**.
3. *If authority heading matches* heading on catalog record:
 - Accept all 4xx and 5xx references.
 - If your work requires [x-references not on authority record](#)
 - Click on **Select** to edit authority record.

OR

 - Close screen and skip to Step 16.
4. *If heading is the same entity, but does not match the heading on your record*, close screen, then click **OK** to replace heading in bib record.
5. *If there is no match*, close authority screens and continue with Step 6.
6. Click on **Search/Search field headings of other library (Ctrl + F3)**.
7. **UMN 10** will be highlighted, click **OK**.
 - Highlight record.
 - Verify [heading use codes](#).
 - Click **Expand**.
8. *If authority heading matches* heading on catalog record:
 - Accept all 4xx and 5xx references.
 - If your work requires [x-references not on authority record](#)
 - Click on **Select** to edit authority record.

OR

 - Close screen and skip to Step 16.
9. *If heading is the same entity, but does not match the heading on your record*, close screen, then click **OK** to replace heading in bib record.
10. *If there is no match*, close authority screens and continue with Step 11.
11. Click on **Search/Search field headings of other library (Ctrl + F3)**.
12. Highlight **UMN 11**, Click **OK**.
 - Highlight record.
 - Verify [heading use codes](#).
 - Click **Expand**.

13. *If authority heading matches heading on catalog record:*
 - Accept all 4xx and 5xx references.
 - If your work requires [x-references not on authority record](#)
 - Click on **Select** to edit authority record.
 - OR**
 - Close screen and skip to Step 16.
14. *If heading is the same entity, but does not match the heading on your record, close screen, then click **OK** to replace heading in bib record.*
15. *If there is no match, close authority screens and continue to Step 16.*
16. *If no authority record has been found for access points requiring verification or the [record needs editing](#), complete cataloging, then route to your team's authority shelf.*
 - Leave item process status as **IP** (in process).
 - Put tracking information in Internal note field on tab 2 of Item record.
 - Insert pink flag.
 - Check Authority work category.
 - Indicate which fields need authority work.
 - If x-refs are needed, note only those which are not obvious.
17. Designated person will:
 - Edit or create any needed authority records.
 - Change Item process status to **Not in process**.
 - Remove tracking codes.
 - Update.
 - Send to Marking room.

Appropriate Heading Use Codes

Names	aab	a=appropriate
Series	aaa	b=not appropriate
Topical subjects	bab	

Adding Cross References

Copy catalogers can add certain types of *conference and personal name x-refs*, but should always pass along *series and corporate/geographic name x-refs* to their team's authority work shelf. See individual procedures for each type of heading:

- [Personal Names](#)
- [Series](#)
- [Corporate and Geographic Names](#)
- [Conferences](#)

Personal Names

Note: For general authority work procedures, including types of cataloging copy for which authority work is required, verification procedures, and heading use codes, refer to the "[General Procedures](#)" section of this document.

Verify Headings

Verify personal name headings (100, 600, 700, 800) *only* when a *variant form* of the name is implied from the structure of the name heading, or appears on your material.

Variant Form *Implied* From Structure of Name Heading

- Compound surnames (including hyphenated)



Examples

- Forenames

If the established heading is a surname, but person is commonly known by forename, check/make forename x-ref.

- Names containing prefixes

100 1^ \$\$a Lloyd George, David, \$\$d 1863-1945.
400 1^ \$\$a George, David Lloyd, \$\$d 1863-1945.

100 0^ \$\$a Raunaq Singh, \$\$d 1922-
400 1^ \$\$a Singh, Raunaq, \$\$d 1922-

100 0^ \$\$a Jean, \$\$c de Meun, \$\$d d.1305?
400 1^ \$\$a Meun, Jean de, \$\$d d.1305?

100 1^ \$\$a X, Malcolm, \$\$d 1925-1965.
400 0^ \$\$a Malcolm X, \$\$d 1925-1965.

100:1^ \$\$Adelung, Friedrich von, \$\$d 1768-1843
400:1^ \$\$aVon Adelung, Friedrich \$\$d 1768-1843

100 1^ \$\$a De Kooning, Willem, \$\$d 1904-
400 1^ \$\$a Kooning, Willem de, \$\$d 1904-

Note: Over the years, LC practice has changed regarding x-refs from prefixes. It is not necessary to add or delete x-refs from prefixes on existing authority records; accept the ones which are there as complete and correct.



Examples

100 1^ \$\$a Garcia de la Fuente, Olegario
400 1^ \$\$a Fuente, Olegario Garcia de la
400 1^ \$\$a De la Fuente, Olegario Garcia
400 1^ \$\$a La Fuente, Olegario Garcia de (Accept all x-refs.)

100:1 ^ \$\$a Figueroa, Francisco de, \$\$d1536?-1620.
(No 4xx present on LC authority record; not necessary to add any.)

Variant Form Appears on Material

- Name appearing in book *varies in fullness* from established heading.



Examples

Generally, do not be concerned with differences in fullness of *middle names*. Exceptions to this are:

- Surname and forename are so common that you feel there could be more than one person with the same surname, forename, and middle initial.
- Person is cited in book by middle name only.
- Variant spellings* appear on material.
- Different names* for the same person appear in book, such as pseudonyms, name changes, religious titles, etc.
- Names on pre-AACR2 copy, which you suspect may have changed with AACR2.

100 1^ \$\$a Marchal, Jean Yves.
400 1^ \$\$a Marchal, J.Y.\$\$q (Jean Yves)

100 1^ \$\$a Sethi, K. C.
400 1^ \$\$a Sethi, Krishan C.

100 1^ \$\$a Smith, John W. \$\$q (John Wilson)
400 1^ \$\$a Smith, John Wilson

100 1^ \$\$a Smith, W. Eugene, \$\$d 1918-
400 1^ \$\$a Smith, Gene, \$\$d 1918-
400 1^ \$\$a Smith, Eugene, \$\$d 1918-

100 1^ \$\$a Raleigh, Walter, \$\$cSir, \$\$d 1552?-1618.
400 1^ \$\$a Raleigh, Walter, \$\$c Sir, \$\$d 1552?-1618.

100 1^ \$\$a Mao, Tse-tung, \$\$d 1893-1976.
400 1^ \$\$a Mao, Zedong, \$\$d 1893-1976.

100 1^ \$\$a Schickele, Peter.
400 1^ \$\$a Bach, P. D. Q.

100 0^ \$\$a John Paul \$\$b II, \$\$c Pope, \$\$d 1920-
400 1^ \$\$a Wojtyła, Karol, \$\$d 1920-

100 1^ \$\$a Twain, Mark, \$\$d 1835-1910.
400 1^ \$\$ w nna \$\$a Clemens, Samuel Langhorne, \$\$d 1835-1910.

Procedures to Add Cross References

Add cross references to an existing authority record (or forward to your team's authority work shelf for additions) as follows:

400 ("Search Under") Cross References

Add standard 400 ("search under") x-refs to authority record, if not already present.

1. First indicator in 400 must match the structure of the x-ref you are adding (0 for forename only, 1 for surname, 3 for family name), e.g.

400:1^ Singh, Raunaq, \$\$d 1922-
400:0^ Malcolm X, \$\$d 1925-1965
400:3^ Kennedy family

2. Add date(s) to 400 x-ref if present in established heading (100), e.g.

100:1^ Moffett, Thomas, \$\$d 1553-1604
400:1^ Muffet, Thomas, \$\$d 1553-1604

3. Add \$\$q (*parenthetical qualifier*) to 400 x-ref if available from established heading (100), e.g.

100:1^ Dempsey, Michael W., \$\$d 1951-
400:1^ Dempsey, M. W. \$\$q (Michael W.), \$\$d 1951-

When there is a long sequence of names, place \$\$q at the end of the name. \$\$q should include the entire surname or forename-middle name(s) sequence, with the exception of prefixes, e.g.

100:1^ Rossi Varese, Marina F. \$\$q (Marina Federica)
400:1^ Varese, Marina F. Rossi \$\$q (Marina Federica Rossi)

100:1^ Beethoven, Ludwig van, \$\$d 1770-1827
400:1^ Beethoven, L. van \$\$q (Ludwig), \$\$d 1770-1827 (prefix omitted from x-ref)

100:1^ Garcia de la Huerta I., Marcos \$\$q (Garcia de la Huerta Izquierdo), \$\$d 1936-
400:1^ Huerta I., Marcos Garcia de la \$\$q (Huerta Izquierdo), \$\$d 1936-

4. Add 040 \$\$d MnU

Pseudonyms

Pseudonyms may appear on authority records as either 400 or 500 fields. Forward to your team's authority work shelf any authority record which you think may need a 500 ("search also under") x-ref. If there is any question whether an existing x-ref or one to be added is a pseudonym, forward to your unit's authority work shelf.



Example

100:1^ Stewart, J. I. M. \$\$q (John Innes Mackintosh), \$\$d 1906-
500:1^ Innes, Michael, \$\$d 1906-
100:1^ Creasey, John
400:1^ Ranger, Ken

Series

Note: For general authority work procedures, including types of cataloging copy for which authority work is required, verification procedures, and heading use codes, refer to the "[General Procedures](#)" section of this document.

General Principles

- The default treatment for series is "fully analyzed, traced, classed separately."
On authority record: 644: : \$\$a f
645: : \$\$a t
646: : \$\$a s
- A series authority record is required only if the series title has known variants or if the series treatment differs from the default treatment.
- 4xx field on bib record should match the series statement *exactly* as it appears on the material being cataloged.

Note: Be especially careful when comparing series in material against 4xx field of CIP copy; even a slight difference is important.

- When cataloging a new title, series must be tagged either 440 or 490:1 : with an accompanying 8xx field.

Exceptions:

Reprints and facsimiles: series for *original* in 500 or 534 \$\$f with accompanying 8xx

Microforms: series for *microform* in 533 \$\$f with accompanying 8xx

- \$\$v must be used in 440 or 8xx for numbered series. (You may need to add this on older cataloging copy.)

Authority Work Procedures

Note: *These procedures apply to series which are cataloged separately.* If there is any question on how your material should be cataloged (sep, set, or serial), do not proceed with cataloging; instead, check with HN or forward material to his *sep/set questions* shelf. (Leave process status as **IP** and add tracking code **set/sep** and team designation **AR** or **AH** in internal note field.) On an authority record, a 646 field with \$\$5 MnU and \$\$a other than s means that MnU catalogs the series as a set.

1. Verify series headings (4xx, 8xx) only when a variant form of the series title is implied from the structure of the series heading(s) or appear(s) on your material.
 - Bib record has 490 with or without accompanying 8xx, e.g.,
 - 490:0 :Time-Life library of art
 - 490:1 :Proceedings / SPIE ; \$\$v v. 1099
 - 830: 0:Proceedings of SPIE--the International Society for Optical Engineering ; \$\$v v. 1099

Exceptions: Do *not* verify 490/8xx if only variation is:

- Initial article, e.g.,
 - 490:1 L'univers historique
 - 830: 0 Univers historique
- Form of caption in \$\$v, e.g.,
 - 490:1 :Garland bibliographies in sociology ; \$\$v vol. 4
 - 830: 0:Garland bibliographies in sociology ; \$\$v v. 4.
- 440 field on bib record does not match material (most often occurs on CIP copy), e.g.,
 - 440: 0:Advances in systems, control & information engineering
 - On material:* Advances in systems, control, *and* information engineering
- Multiple forms of series title appear on material.
 - Initialisms, e.g.,
 - 440: 0:Econometric Society monographs ;\$\$v no. 12
 - Also on material:* ESM 12
 - Foreign language equivalents, e.g.,
 - 830: 0:Studien zur interkulturellen Geschichte des Christenums ; \$\$v Bd. 57.
 - Also on material:*
 - Etudes d'histoire interculturelle du Christianisme
 - Studies in the intercultural history of Christianity

- Other variant forms, e.g.,
 - 440: 4:The Cambridge applied linguistics series
On series t.p.: The Cambridge applied linguistics series
On cover: Cambridge applied linguistics
 - 830: 0:NATO ASI series. \$\$n Series C, \$\$p Mathematical and physical sciences ; \$\$v no. 339.
Also on material: Advanced Science Institutes Series
 - Evidence of series title change on material, e.g.,
 - 440: 0:Wiley series in child and adolescent mental health
Previous title mentioned on material: Wiley series in child mental health
2. If necessary to verify series heading, make certain that 440 or 8xx on bib record matches 1xx on authority record; if not, change bib record as follows:
 - If 1xx matches bib record 490, change 490 to 440 and delete any 8xx.
 - If 1xx does not match bib 440, 490, or 8xx, tag series 490:1 : and add/change 8xx field to match 1xx.
 - If authority record record indicates a *series-like phrase* (**008** Series type **c** and a note instructing that it not be used as a series), change the 4xx/8xx to a quoted 500 note or delete it entirely, according to the authority record's instructions.
 3. Do not add cross references to an existing series authority record.
 - Accept all x-refs (4xx and 5xx) on authority records.
 - If additional cross-references are needed, forward material to your team's authority work shelf.
 4. Forward material to your team's authority work shelf in the following cases:
 - Series requires authority record but no acceptable authority record is found.
 - Cross references are needed on authority record, including 4xx variant forms and 5xx title changes.
 - Series on CIP copy, when 4xx field does not *exactly* match the series statement in your material, LC's authority record is based on the erroneous CIP, *and* LC has not yet updated their authority record.

Corporate and Geographic Names

Note: For general authority work procedures, including types of cataloging copy for which authority work is required, verification procedures, and heading use codes, refer to the “[General Procedures](#)” section of this document.

Verify Headings

Verify corporate and geographic name headings (110, 610, 651, 710), but *not* 650 \$\$z *only* when a *variant form* of the name is implied from the structure of the name heading or appears on your material.

Variant Form *Implied* From Structure of Heading

- Heading on bibliographic record includes a *personal name within a corporate name*, e.g.,
610:2^:Harold E. Stassen Center for World Peace.
Implied variant: Stassen Center for World Peace

Variant Form Appears on Material

- If heading on bibliographic record has *more or fewer levels* than name on material, *verify entire heading as a whole*. Do not verify any superior levels of the hierarchy unless the form of that level varies from that on the material. (See next bullet.)
110:2^:Association for Library Collections & Technical Services. |b Acquisitions Committee
On material: ALCTS, *Resources Section*, Acquisitions Committee

110:2^:Hubert H. Humphrey Institute of Public Affairs.
On material: Hubert H. Humphrey Institute of Public Affairs, *University of Minnesota*

610:2^:Harold E. Stassen Center for World Peace.
On material: Harold E. Stassen Center for World Peace, *Hubert H. Humphrey Institute of Public Affairs*, *University of Minnesota*
 - If *form of any level* of the heading varies from that on material, *verify that level*.
 - *Initialisms* appear on material, e.g.,
110:2^:American Society for the Prevention of Cruelty to Animals.
On material: ASPCA

710:2^:American Society of Mechanical Engineers. |b Applied Mechanics Division.
On material: Applied Mechanics Division, *ASME*
- Note:** Look for authority record only for the highest level (\$\$a of this 710), because its form varies on the material.

- *Foreign language equivalent* of corporate name appears on material, e.g.,
 - 610:2^:Council of Europe.
On material: Conseil de l'Europe
 - 110:2^:Council of Europe. |b Council for Cultural Co-operation.
On material: Consejo para la Cooperacion Cultural del Consejo de Europa

Note: Look for authority record *both* for the highest level alone and for the entire heading because form of both levels varies on the material.
- *Other variant forms* appear on material, e.g.
 - 110:2^:Woodrow Wilson International Center for Scholars.
On material: Wilson Center
 - 710:2^:Society of Friends.
On material: Quakers
- If there is a *name change* indicated on the material, e.g.,
 - 110:2^:Exxon Corporation.
Earlier name indicated on material: Standard Oil Company
- If you have *pre-AACR2 copy with a corporate or geographic name heading you suspect may have changed with AACR2*. The most common type of corporate name AACR2 change was from place plus name (pre-AACR2) to direct order name (AACR2), e.g.,
 - Pre-AACR2:* 110:1^:Minneapolis. \$\$b Walker Art Center.
 - AACR2:* 110:2^:Walker Art Center.

Do Not Add Cross References

Do not add cross references to an existing authority record for a corporate or geographic name.

- In most cases *4xx cross references* on an existing authority record will be complete and correct. Generally, look for the following types of 4xx references, if applicable to the work you are cataloging, but do not spend a lot of time deciphering or evaluating every reference. If any of these is obviously missing *OR* you question whether other types of references should be added to the record, forward the material to your unit's authority work shelf.
 - *X-ref from surname* when corporate name contains a personal name that begins with a forename.
 - 110:2^:Harold E. Stassen Center for World Peace.
 - 410:2^: Stassen Center for World Peace

- *One x-ref for an initialism, without periods.*

Exception: If the initialism appears on the material with periods, there should be two x-refs, one with and one without periods.

On material: ALCTS

110:2^:Association for Library Collections & Technical Services

410:2^:ALCTS

- *X-ref from variant form on material (language, wording, etc.)*

On material: Consejo para la Cooperacion Cultural del Consejo de Europa

110:2^:Council of Europe

410:2^:Consejo de Europa

and

110:2^:Council of Europe. |b Council for Cultural Co-operation

410:2^: Council of Europe. |b Consejo para la Cooperacion Cultural

- *X-ref from form that includes the next highest level of hierarchy when the established heading omits that level of the hierarchy.*

On material: ALCTS, Resources Section, Acquisitions Committee

110:2^:Association for Library Resources & Technical Services. |b *Resources Section.* |b

Acquisitions Committee

410:2^:Association for Library Resources & Technical Services. |b Acquisitions

Committee

On material: Hubert H. Humphrey Institute of Public Affairs, University of Minnesota

110:2^:Hubert H. Humphrey Institute of Public Affairs

410:2^:*University of Minnesota.* |b Hubert H. Humphrey Institute of Public Affairs

On material: Harold E. Stassen Center for World Peace, Hubert H. Humphrey Institute of Public Affairs, University of Minnesota

110:2^: Harold E. Stassen Center for World Peace

410:2^:*Hubert H. Humphrey Institute of Public Affairs.* |b Harold E. Stassen Center for World Peace

- *5xx cross references* may or may not be present on an existing authority record.
 - If you are aware that a corporate body has changed names, but no *earlier or later corporate heading (510)* is present on authority record, forward to your team's authority work shelf.
 - If no 510 is present for the name change indicated in your material, but authority record instead has a 410 with an accompanying 667 note stating the name change, forward these to your team's authority work shelf also.

Conferences

Note: For general authority work procedures, including types of cataloging copy for which authority work is required, verification procedures, and heading use codes, refer to the “[General Procedures](#)” section of this document.

Verify Headings

Verify conference headings (111, 611, 711, and 811 conferences and 110, 610, 710, and 810 meetings), *only* when a *variant form* of the conference appears on your material.

(Although most conference headings are tagged 111, 611, 711, or 811, in some cases meetings are entered as \$\$b’s of corporate headings, i.e. 110 \$\$b, 610 \$\$b, 710 \$\$b or 810 \$\$b.)

Examples:

111 2^ International Congress of Slavists \$\$n (10th : \$\$d 1988 : \$\$c Sofia, Bulgaria)
On material: Congresso internazionale degli slavisti

611 2^ Symposium on Solid State Device Technology \$\$n (7th : \$\$d 1982 : \$\$c Munich, Germany)
On material: SSSDT

710 2^ Association for Research in Nervous and Mental Disease. \$\$b Meeting \$\$n (70th : \$\$d1990 : \$\$c New York, N.Y.)
On material: ARNMD Meeting

Ongoing vs. One-Time Conferences

- *If conference on bib record is ongoing*, established heading (1xx) on authority record should *not* include numbering, date, or place, but should consist of \$\$a only. (If a conference met 10 times, there would be just one authority record, not 10.) If the conference is numbered (\$\$n is present) it is ongoing. Some ongoing conferences are not numbered, however (e.g., a periodic conference such as an annual conference).

Bib heading: 111 2^ International Machine Tool Technical Conference \$\$n (2nd : \$\$d 1984 : \$\$c Chicago, Ill.).

Auth heading: 111 2^ International Machine Tool Technical Conference

- *If conference on bib record is not ongoing*, \$\$d and \$\$c, if present, should be included in established heading (1xx) on authority record. Accept LC's authority record and assume the conference is not ongoing if you have no evidence to the contrary (e.g., numbering; words indicating periodic occurrence; other conferences with same name; etc.).

Bib heading: 111 2^ International Symposium on Peat Utilization \$\$d (1983 : \$\$c Bemidji State University)
Auth heading: 111 2^ International Symposium on Peat Utilization \$\$d (1983 : \$\$c Bemidji State University)

- Occasionally when checking a conference heading, you will find an authority record for a conference with the same name (\$\$a), but a different date and/or place (\$\$d, \$\$c) than on your bib record. This usually indicates that the conference is ongoing but this fact was not known at the time the authority record was created. In this case, forward book and printouts of both bib and authority records to your unit's authority work shelf. *Example:*

Bib heading: 111 2^ European Conference on Electronic Design Automation \$\$d (1984 : \$\$c Warwick, England)
Auth heading: 111 2^ European Conference on Electronic Design Automation \$\$d (1981 : \$\$c University of Sussex)

Procedures to Add Cross References

When adding cross references to an existing authority record (or forwarding to authority shelf for additions):

- Add standard inverted x-refs for conferences* to authority record, if not already present. 4xx indicators will always be 2^. If c and/or d are present in 1xx field, do not include them in 4xx fields. *Examples:*

111 2^ International Conference on a More Democratic United Nations
 411 2^ Conference on a More Democratic United Nations, International

- Do *not* add
 - d inverted x-refs from the “root” of the conference name, e.g., More Democratic United Nations, International Conference on a.
 - Add 040 \$\$d MnU (whenever revising an existing authority record, except for revision of heading use codes only).
- If other variant forms of conference heading appearing on material, including earlier or later headings (51x), are not present on authority record*, do not add them. Instead, note the field number of the conference heading on a pink flag and forward material with flag to your team's shelf. *Examples:*

111 2^ History symposium of the International Academy of Astronautics.
On material: IAA History of Astronautics Symposium

111 2^ International Conference on a More Democratic United Nations.
On material: CADMUN

111 2^ Conference on Library Orientation for Academic Libraries.
On material (later heading): Library Instruction Conference