



# Staff User's Guide – Serials

Version 21

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# 1 Serials Overview

Serial issues in ALEPH are treated as item records. An item record includes information such as ownership (sublibrary), location (collection and call number), status for loans, and barcode identifier. In addition, the identifying characteristics of a serial item record are:

- Description (for example, v.17: no.3 (1993:Mar.)); the description is displayed in lists of items and informs staff and patrons about what is available in the library.

The description and its punctuation are generated according to the ANSI/NISO Z39.71-1999 standard.

- Link to subscription record; the link is required for correspondence with the vendor. If there is no link, the item cannot be "CLAIMED".
- Enumeration and chronology information. This data is used together with pattern information to build the description field.

**ALEPH Serials Control** includes check-in and claiming of serials issues. In order to be able to accomplish this task efficiently, the system must be able to generate expected serial issues automatically.

The system generates expected issues using prediction information. The librarian enters prediction information (called "prediction patterns") into the system.

A **Subscription Record** is also required for automatic generation of serial issues.

## 1.1 Records in the Serials Module

The Serials module uses several types of records, all of which are linked to the BIB record:

### **Subscription Record**

The Subscription Record contains information relevant to a specific subscription (copy) of the serials held by the library, including the vendor, subscription period and location. The library must have one subscription record per copy.

### **Schedule (Form)**

"SCHEDULE" is a proprietary pattern format specific to the ALEPH system. A schedule record is accessed (for creation or updating) only from the Control node in the Serials tab in the Acquisitions/Serials module.

As a rule of thumb, the ALEPH Publication Schedule Form is best used for simple patterns. For example, it can be used for regularly published weekly, monthly, bi-monthly or quarterly journals, with no exceptions (such as "not published in August").

### **Pattern (Fields)**

"PATTERN" uses the MARC21 Caption and Pattern fields (853/4/5), and a proprietary Enumeration and Chronology field (853X/4X/5X), which is based on the MARC21 Enumeration and Chronology fields.

The pattern fields are held in an ALEPH document record, either the journal title's ADM record, or in one of the HOL records linked to the journal title's BIB record. In both cases, there is also a link from the Subscription Record to the Pattern's Enumeration and Chronology field, using the subfield \$9 linking sequence number.

### **Routing Lists**

Routing lists for the distribution of issues can be created for a subscription record. A subscription record can have multiple routing lists. Creation of routing lists is optional.

### **Item Records**

Every item record represents one physical issue received by the library. Items are the basis for routing and circulation.

## **1.2 Records Required for Serial Prediction**

In order that the system be able to generate serial issues records automatically (a prerequisite for efficient check-in and claiming), two types of records are required:

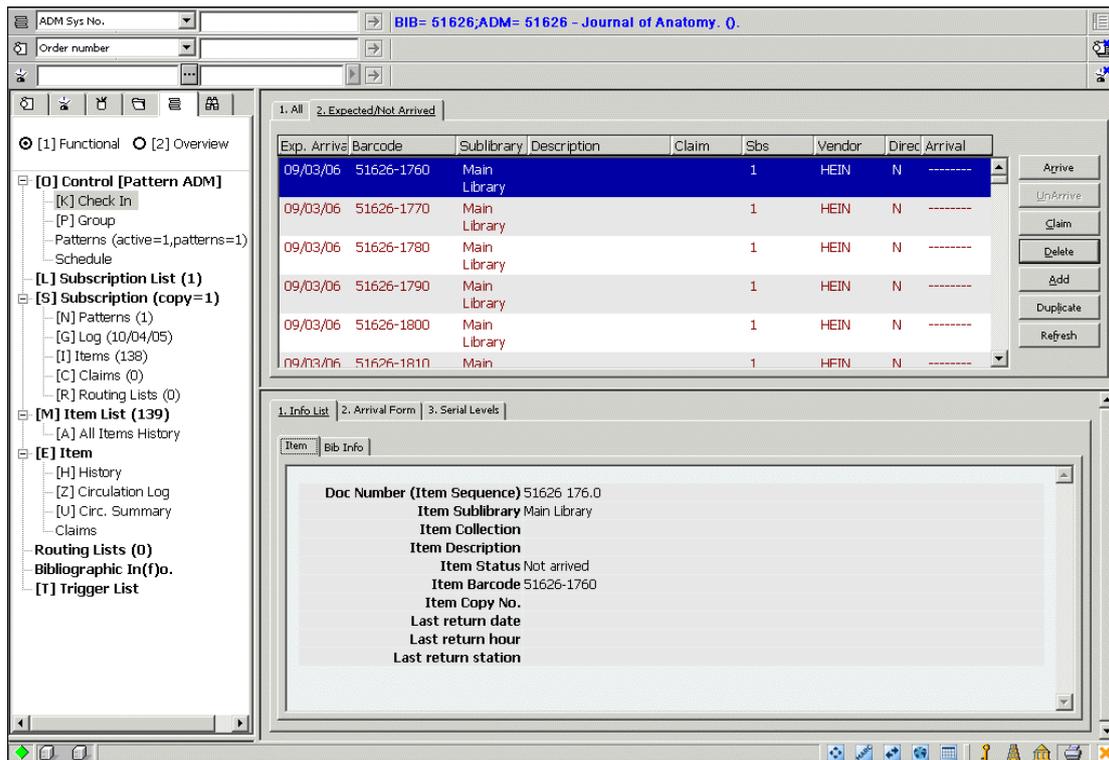
- Subscription
- Publication Prediction Pattern

ALEPH supports two types of publication prediction pattern records, which we call 'Schedule' and 'Pattern'. A single BIB record can have related prediction data in either Schedule or Pattern format. Pattern format can be defined either in the ADM record or in one or more HOL records, but not both. The system preference for pattern information is HOL, ADM, and Schedule (in this order). In other words, if a BIB record has pattern information in both HOL and ADM, the HOL pattern is used, and the ADM pattern is inactive. All pattern records for a single title must be defined in the same type of record (Schedule, ADM or HOL).

## **2 Accessing the Serials Function and Serials Records**

### **2.1 Serial Bar**

The Serial Bar in the Acquisitions/Serials module is the environment in which you can search for a record and display it in the Serials tab:



The options for searching are:

- ADM Sys No.
- BIB Sys. No.
- Publisher
- ISSN
- Title
- Issue Barcode
- SICI
- SISAC Barcode
- Order Number

The list of search options is defined in the SERIAL-SEARCH section of the pc\_tab\_exp\_field.lng table. Bibliographic search options can be added by your system librarian, using any of the search codes.

In the Serial Bar, choose a search option, and enter the search text in the box to the right of the option:



If the search retrieves a single record, it is displayed. If the search retrieves multiple records, a window pops up informing you "Multiple matching records found. View in the brief list?" If you choose Yes, the set of records is displayed in the Brief List in the Search tab.

**Note:**

The SISAC Barcode is an automated representation of the SICI code. Enter the SISAC Barcode manually or with a barcode scanner.

## 2.2 'Order Number' Search in Serials Search Bar

A new search option has been added to the GUI-ACQ-Serial search bar: Order Number. Activating the 'Order Number' search retrieves subscriptions that are assigned the quoted order number. This new feature enhances the serial work flow and can be used to retrieve multiple subscriptions that are related to one order.

For example:

There is an order for a membership and multiple subscription records for the journals received as benefit of that membership. There is one order record for the membership. There is no order record for each journal title that is received as part of the membership order. There is a subscription record for each journal title. The common order number (membership order) is assigned to each of the journal subscription records.

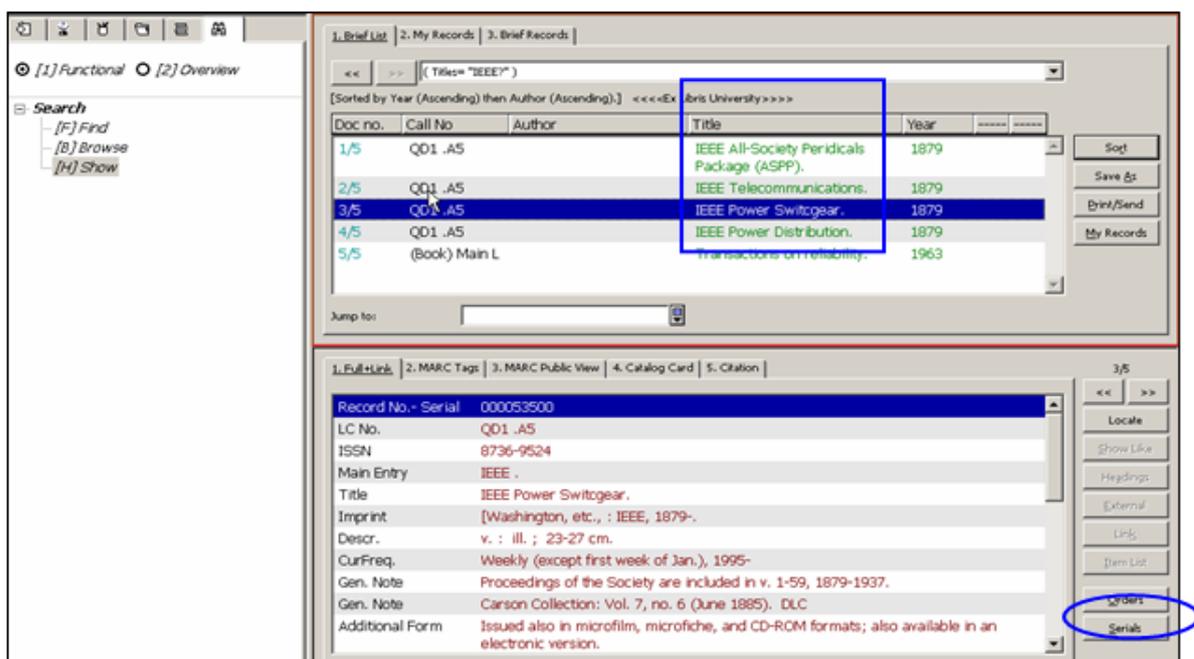
The new option in the GUI-Serials Search bar: 'Order Number', allows retrieving all subscription records that belong to the same membership order.



The result of using the 'Order Number' for retrieval in the Serials bar can be one of the following:

- Order number does not exist – A pop up message is displayed: Order does not exist.
- Order number exists – If the typed in order number exists in subscription record(s), the system performs another check to see if the order number is assigned to one or more subscription records; if the order number is assigned to more than one subscription record, an additional system check is performed to determine whether all the subscriptions are related to the same BIB record, or different BIB records.
  - If all detected subscriptions are linked to the same BIB record, the linked serials record is displayed, showing the check-in pane.

- If the detected subscriptions relate to multiple BIB records, a pop up message is displayed: 'Multiple matching records found. View in brief list? – Yes/No.'
  - If the user selects No – The list is not displayed. The serial right pane does not change.
  - If the user selects Yes – The search tab is opened showing all related titles (see figure below). This list contains all the titles of the subscriptions that are registered to the same order. The user may select a specific journal title and click the Serials button. This will display the serials check-in pane of the selected title. The user can navigate to other serials panes. If the user clicks again on the search tab, he will get the brief list again (no need to perform another search, the list is saved).



Serial Check-in pane of the selected document:

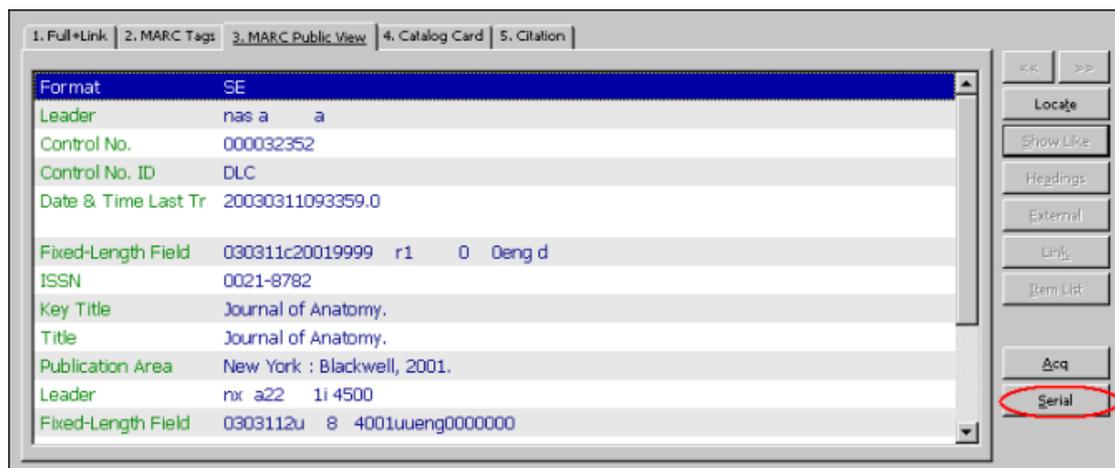


## 2.3 Search Tab in All Modules

The Search tab is available in all modules. The Search function provides simple and sophisticated searching for records.

There are two ways to find records in the Search tab. You can either search (find) by keys or keywords, or scan (browse) an index. Refer to the ALEPH User Guide Search chapter for full details of what is available in Search.

When a single full record is displayed, click the Serials button in the lower right-hand corner of the full record display pane, to transfer to the Serials function.

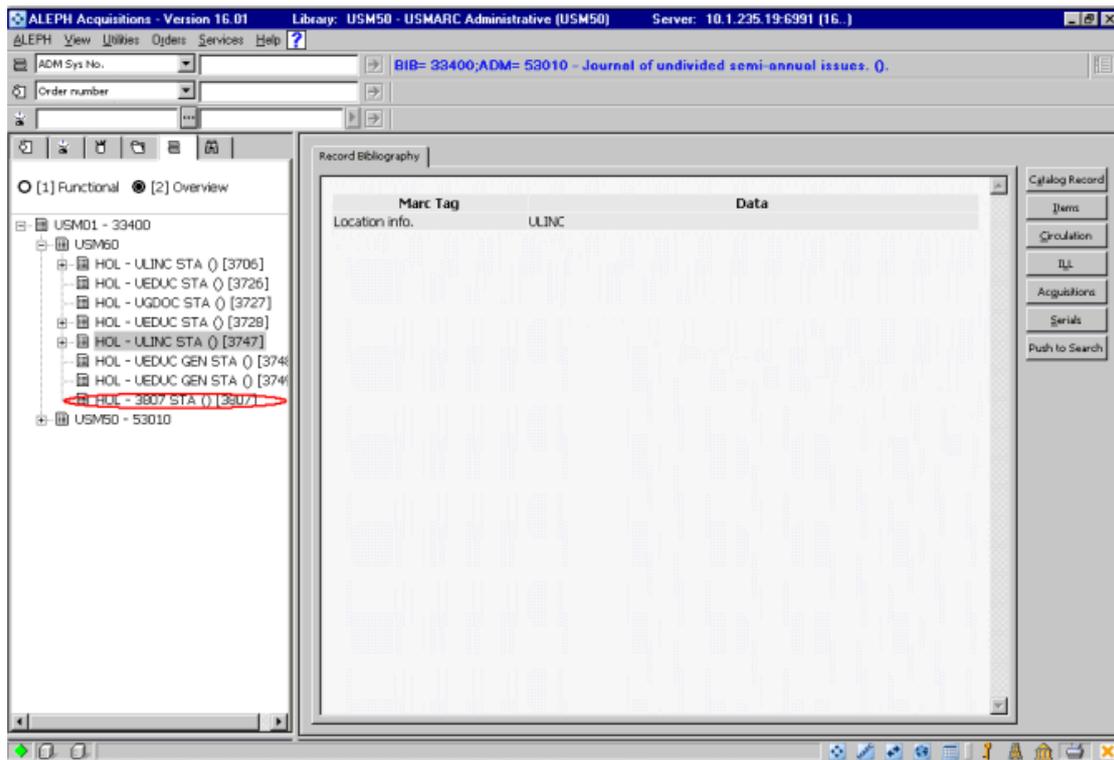


## 2.4 The Cataloging Record Manager

To access a serials record from Cataloging:

1. Choose the relevant record in the Record Manager pane.
2. Open the Cataloging menu, and choose "Open Serials Record". You will be transferred to the Serials function with this record.





## Subscriptions

A subscription record is required in order to generate serial items based on prediction patterns automatically, and for claiming purposes. The subscription record contains information that is used when creating item records, such as item status, collection and call number. The subscription record can also be linked to an Acquisitions Order record, and to a vendor. A vendor link is mandatory for automatic claiming. Many of the values in the subscription record are used to populate the item records that are generated for the subscription.

### 2.5 Subscription List

Subscriptions are listed in the upper pane. If no subscriptions have been registered, the upper pane is blank. This pane displays details of all subscriptions related to a particular serial title such as beginning and ending dates of the subscription, vendor's name, the sublibrary that receives the subscription and the call number.

Seq.	From	To	Sublibrary	Vendor	Call number	Hol no.	
1	01/01/00	01/01/10	UEDUC	A.M.S.		3909	Delete
2	01/01/00	01/01/10	ULINC	A.M.S.		3910	Add
							Duplicate
							Print
							Open All

Sort Options: Vendor/Copy No./Date

**Note:** Each subscription has a unique identifying sequence number.

The system librarian defines the order in which columns are displayed on this pane. When you right-click the headings line, all available columns are displayed, and this allows you to remove and/or restore columns.

The following buttons are available on this pane:

### Delete

To delete a subscription, highlight the subscription and click **Delete**. Note that you may not delete a subscription if associated item records exist. Also when deleting a subscription with attached routing lists, the user is requested to confirm the deletion. If it is confirmed, the attached routing lists and routing list members are deleted together with the subscription.

### Add

To add a new subscription to the list, click **Add**. The focus is transferred to the lower pane, so that you can add the new subscription's details.

### Duplicate

You can add a new subscription by copying an existing subscription's details. To do this, highlight the subscription whose information you wish to copy, then click **Duplicate**. The lower pane will be activated for the new subscription, with some of the fields filled in with information copied from the highlighted subscription. You can then edit the details so that the information is appropriate for the new subscription.

### Print

To print the subscription details, click **Print**

### Open All

In order to open a new cycle of expected items for a particular subscription, highlight the subscription and click **Open All**. The expected items will be displayed in the **Check-In and Items List** forms.

Note that items will be opened for active subscriptions, for a cycle (year), even if a subscription period is terminated before the end of the year.

### Sort Options

You can change the order of the subscriptions according to the options available in a drop-down menu of the **Sort Options** field at the bottom of the pane.

**For the System Librarian:** The options according to which subscriptions are sorted are listed in the SUBSCR-SORT-TYPE section of the `pc_tab_exp_field.lng` ADM library table.

When the user clicks the **Add** or **Duplicate** button on the Subscription List, the focus is transferred to the lower pane. Tabs 2 and 3 contain the Subscription Information form.

Note: If you have used **Duplicate** to add a Subscription, or if you saved Subscription default values (by having clicked the Save as Default button), or if you are creating the subscription from the Order tab, some of the fields will already be filled in.

## 2.6 Subscription Record Structure

The Subscription record fields are contained in tabs 2 and 3 of the Subscription Information form (lower pane).

### 2.6.1 Subscription Information Form

This form displays details relevant to a specific subscription of a serial title. It also defines various parameters relating to the issue-items connected to the particular subscription.

The Subscription Information tabs have the following buttons:

#### **Update**

The **Update** button saves all changes you have made to a specific subscription, as long as the changes have been made within the time limit allowed for editing the record.

#### **Create New**

This button allows you to create a new subscription based on the highlighted subscription in the Subscription List pane. This button is only available if you are in Modify mode. Use this option if you wish to reassign this subscription to another sublibrary or vendor. Fill in the new sublibrary, vendor and dates, and then click **Create New**.

This saves information about the original sublibrary and vendor, and a new record is opened with information about the new sublibrary or vendor. This lets you continue making claims to the original vendor (for the period during which the subscription used the original vendor). Note that both records will have the same Sequence Number because they refer to the same basic subscription.

To use this function properly, you must set the opening (From) date of the new subscription. The system will modify the closing (To) date of the original subscription accordingly.

Note that when using this function to reassign the current subscription to another vendor, you must first check that the new vendor has all relevant fields filled in, especially the field **Delivery Delay 4** in the Vendor Info 3 tab of the vendor record.

The information in this field is transferred from the vendor record to the subscription record in the **First Claim** field. This field is used to calculate the Expected Arrival Date of the next cycle of issues. If the **Delivery Delay** field is not filled in in the new vendor, the **First Claim** field in the new subscription will have a value of 0 and therefore all issues will be claimed on the next day after the publication date.

After having checked the vendor, follow these steps:

1. Retrieve the serial.
2. Go to the Subscription List and highlight the subscription that you want to change.
3. In the Subscription Form, in the lower pane, assign the new vendor and specify the From Date - when the new subscription should start.
4. Click **Create New**.

In the Subscription List, in the upper pane, two subscriptions are now displayed with the same sequence, one for the old vendor and one for the new vendor.

### Set as Default

If you click **Set as Default**, the system saves the values that appear in all fields and enters them into each new Subscription record that you add.

### Refresh

If a system counter is used for the Call Number field, clicking this button enters the contents of that counter into the Call Number field.

## Subscription Info (1) Tab

The screenshot shows a web-based form titled "Subscription Info (1) Tab". The form is divided into several sections. On the left, there are input fields for "Sublibrary:" (ULINC), "From Date:" (01/01/2000), "To Date:" (30/03/2010), "Item Status:" (11), "Collection:" (empty), "Call Number Type:" (4), "Call Number:" (\$jN 908.45), "2nd Call Number Type:" (empty), "2nd Call Number:" (empty), "Vendor Code:" (ACSERV), "Order No.:" (50823), "Vendor Order No.:" (empty), "Delivery Type:" (A), and "Hol. Link:" (3706). On the right side, there are five buttons: "Update", "Create New", "Set as Default", "Refresh", and "Cancel". The form is enclosed in a red border.

The fields on the Subscription Info (1) tab are:

### Sublibrary

This field contains the sublibrary to which this subscription of the serial is assigned. To select from a list, press F4 or click the arrow  to the right of the field.

**From Date/To Date**

These fields contain the dates between which the subscription is valid. Items are automatically generated for the subscription only when the publication date of the first issue falls within this date range.

*Note: when a subscription is created in the Acquisitions/Serials module, the dates are copied from the Subscription Start and End dates entered on the Order Form.*

**Item Status**

This field contains the item status for the items that are generated for this subscription. The item status defines, among other things, how long an issue can be checked out. To select from a list of item statuses, press F4 or click the arrow  to the right of the field.

**Collection**

This field contains the collection for the items that are generated for this subscription. To select from a list of collections, press F4 or click the arrow  to the right of the field. The collection information is parallel to subfield c of the 852 field of the holdings record.

**Call Number Type**

This field contains the call number type value for the items that are generated for this subscription. To select from a list of call number types, press F4 or click the arrow  to the right of the field. The call number type value is parallel to the first indicator of the 852 field of the HOL record.

**Temp Location**

The Temp Location check box setting is copied to items that are generated for the subscription. When the check box is selected, data entered in the Collection and Call Number fields is retained, even if the library setup defines that these fields are controlled by the HOL record.

**Call Number**

This field contains the shelf location value for the items that are generated for this subscription. Depending on system setup, you can assign a location by typing in text, choosing from a drop-down menu, filling in a form, or activating an automatic counter by typing ? and the code of the counter. When a counter is activated, the system automatically assigns a call number as soon as you click the Refresh or Update button.

If your library uses the holdings record's 852 field to control the location, the Collection, Call Number Type and Call Number fields are automatically updated when a link to the HOL record is made. The values entered here populate the same fields in items that are automatically generated.

**Second Call Number Type and Second Call Number**

See Call Number Type and Call Number.

**Vendor Code**

The vendor that supplies this subscription is entered in this field. To select from a list of vendors, click the **List** button  to the right of the field. A vendor code is mandatory if automatic claiming is set to **Yes**.

*Note: when a subscription is created in the Acquisitions/Serials module, the vendor is copied from the Order.*

### Order No.

The Acquisitions Order Number is entered in this field. To select from a list of orders linked to this title, press F4 or click the arrow  to the right of the field. You can manually enter an order number in this field.

*Note: when a subscription is created in the Acquisitions/Serials module, the order number is copied from the Order.*

### Vendor Order No.

This field can contain the order number for this subscription of the serial as assigned by the vendor.

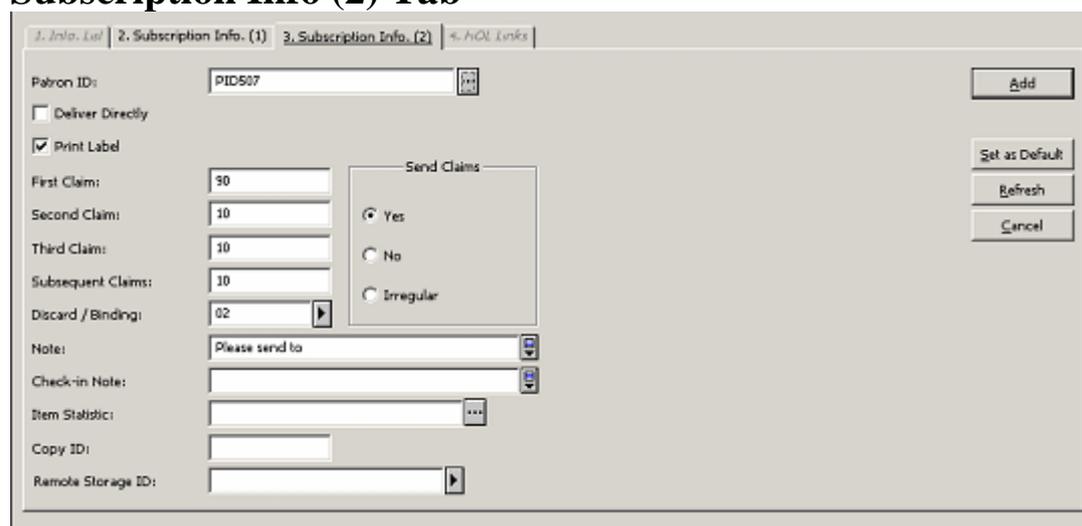
### Delivery Type

This is the method by which the subscription is delivered to the library. To select from a list of delivery types, press F4 or click the arrow  to the right of the field. This type is used when setting the Estimated Date of Arrival of an item; the system uses the matching Delivery Delay values in the Vendor record.

### HOL Link

If this subscription is linked to a HOL record, the HOL record's system number is displayed here. The holdings link is created using tab 4.

## Subscription Info (2) Tab



The screenshot shows the 'Subscription Info (2)' tab of a library system. The form contains the following elements:

- Patron ID:** A text field containing 'PID507' and a 'List' button.
- Deliver Directly:** An unchecked checkbox.
- Print Label:** A checked checkbox.
- First Claim:** A text field containing '30'.
- Second Claim:** A text field containing '10'.
- Third Claim:** A text field containing '10'.
- Subsequent Claims:** A text field containing '10'.
- Discard / Binding:** A text field containing '02' and a right-pointing arrow button.
- Note:** A text field containing 'Please send to' and a dropdown arrow button.
- Check-in Note:** An empty text field and a dropdown arrow button.
- Item Statistic:** An empty text field and a 'List' button.
- Copy ID:** An empty text field.
- Remote Storage ID:** An empty text field and a right-pointing arrow button.
- Send Claims Dialog:** A modal dialog box with three radio buttons: 'Yes' (selected), 'No', and 'Irregular'.
- Buttons:** 'Add', 'Set as Default', 'Refresh', and 'Cancel' buttons are located on the right side of the form.

The fields on the Subscription Info (2) tab are:

### Patron ID

If this subscription of the serial is being ordered for a particular Patron, enter the Patron ID here for information or in relation to the check mark in the Deliver Directly

box. You can select a patron from the drop-down menu, accessed by clicking the arrow button .

### **Deliver Directly**

If you select this option, the vendor will send a newly-published issue directly to the person for whom this copy was ordered (that is, to the person entered in Patron ID above). In addition, item records will not be opened.

### **Print Label**

If you select this option, a label will be printed automatically when the arrival of an issue is registered.

### **Send Claims**

If you select the Yes option, then claims for late items of this subscription of the serial are included in the batch of claims that are printed using the Print Claims service. If you select No or Irregular, claims are not automatically sent. However, the items will appear in the claim report (serial-04).

### **First Claim**

Enter here the number of days after the issue date of each issue when you wish the system to automatically send a first claim to the vendor (only if the Send Claims option was selected). This field can also be described as the delay period from the Issue Date to the Expected Date of Arrival of each issue in the library.

### **Second Claim**

This is the number of days after the First Claim that a Second Claim should be sent to the vendor.

### **Third Claim**

This is the number of days after the Second Claim that a Third Claim should be sent to the vendor.

### **Subsequent Claims**

This is the number of days after the previous claim that a subsequent claim should be sent to the vendor.

### **Discard/Binding**

The value in this field is used for the Bind Alert Report (bind-01) and Serial Binding Slip (bind-02) services.

If this field is blank, issues linked to this subscription will not be included in the aforementioned binding reports.

Enter the coded value that defines the set of binding or discard rules that you want to apply to this subscription. The set of rules is configured separately by your System Librarian, and includes:

- Whether to bind or discard issues
- How long to retain issues before binding/discard
- How many issues to bind in a volume
- How long to wait for the last issue if it has not been received

- Binding priority and type
- Binder

To select from the list of predefined sets of rules, press F4 or click the arrow  to the right of the field.

**Note**

This field is intended for a staff note concerning the subscription.

**Check-in Note**

The note you enter here will be displayed when the issue displays for check-in.

**Item Statistic**

Enter here any statistical data for this serial subscription (as required in some countries) for information only. The value entered here populates the same field in items that are automatically generated.

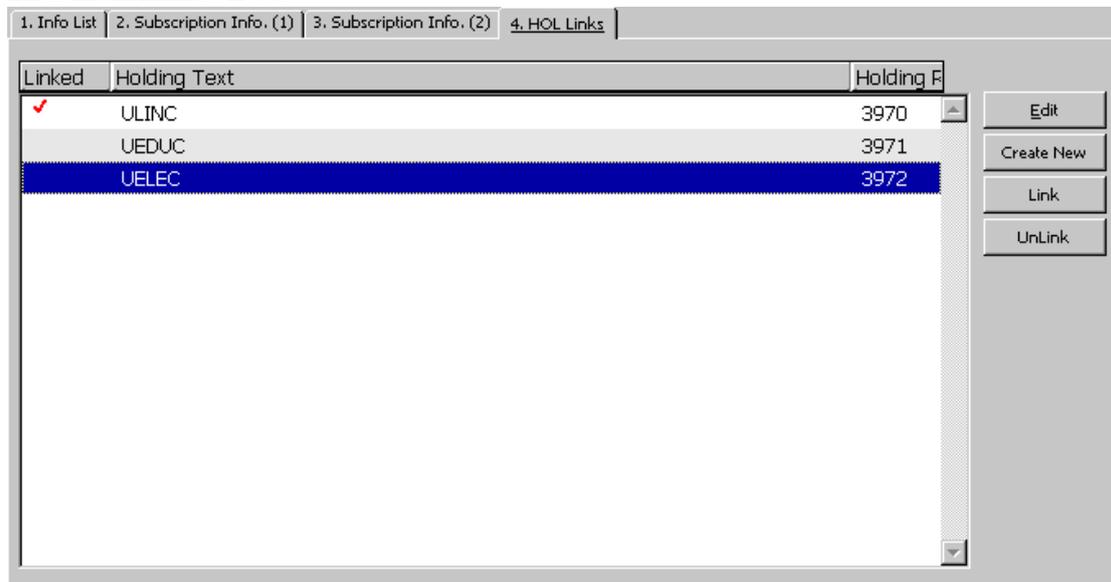
**Copy ID**

Enter here the ID number for the specific copy/subscription. This can be either the number assigned by the vendor or the number assigned by your library. The value entered here populates the same field in items that are automatically generated

**Remote Storage ID**

If issue items received for this subscription are going to be stored in remote storage, enter here the relevant remote storage code for this subscription. The values entered here populate the same field in items that are automatically generated, and their Item Process Status also changes to DP (remote storage).

**HOL Links Tab**



The HOL Links tab is used to link a subscription to a HOL record. The HOL record is optional. It can be used to control location (sublibrary, collection, call no.) information, and it can contain Prediction Pattern fields for the generation of items records for check-in.

When a subscription is linked to a HOL record, all issue items belonging to that subscription are linked to that HOL record.

To add a new HOL record for a subscription:

1. Click **Create New**.
2. Click **Edit**. The holdings record cataloging draft is displayed in the Cataloging module, with 852 \$b [sublibrary] and \$c [collection] changing to the default values set in the subscription record.
3. Carry out any editing that is required - if you want, you can add Publication Pattern fields at this point. Templates can be used to aid in this task. However, note that you can use the Control/Patterns function in the Serial tab.
4. The HOL records that are linked to a subscription appear in the HOL links tab with a check mark in the Linked column.

## HOL Links Tab

The following buttons are available on the HOL Links tab

### Edit

In order to edit an existing HOL record, highlight the record and click **Edit**. The system opens the relevant HOL record in the Cataloging module where you can edit and resend it to the server.

### Create New

You must first highlight the subscription in the list and then click **Create New**. A new HOL record is created, with the 852 subfields \$b and \$c automatically generated, based on the Sublibrary/Collection information of the highlighted subscription.

### Link

If there already are HOL records in the list (for example, records created for other subscriptions), you can link the subscription by highlighting the line and clicking **Link**. If your library uses the 852 field in the HOL record to control item and subscription location, the sublibrary/collection of the existing HOL record must be the same as the sublibrary/collection of the subscription.

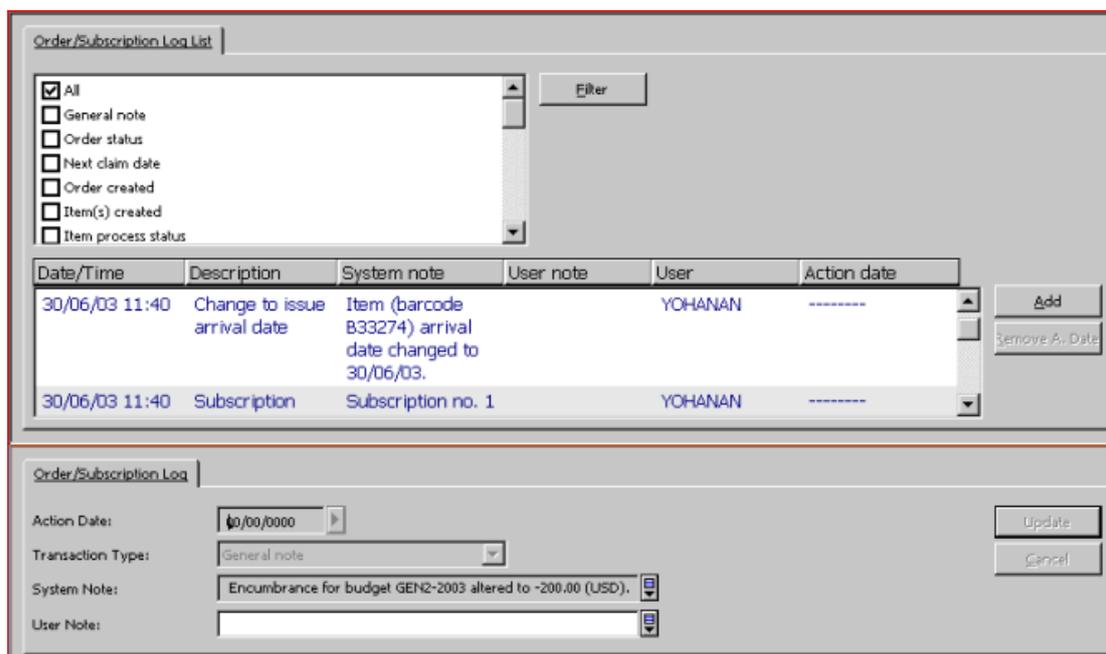
### Unlink

You can unlink the highlighted subscription from an existing HOL record by highlighting the HOL record and clicking **Unlink**.

## 2.7 Subscription Log

The Subscription Log keeps track of various subscription-related activities that have occurred, such as a change in the subscription or in the Next Claim Date. If the subscription is linked to an order created in the Acquisitions module, the Subscription Log also displays order-related transactions. Most of the transactions are

automatically created by the system. See below for information on how to add transactions manually.



Subscription Log records are accessed (for creation or updating) from the Subscription root in the Serials tab.

## 2.7.1 Subscription Log List

### Filter

You can filter the transactions displayed on the list by selecting any of the options to the left of the **Filter** button and clicking **Filter**. Note that you can select more than one filter. If you select **All**, this overrides any other filter selected previously. In the same manner, if you select any filter other than **All**, this overrides the selection of the **All** filter.

### Add

You can manually add a transaction to the subscription log. When you click **Add**, the lower pane Subscription Log Info is placed in focus and you can enter the details of the new transaction.

### Remove A. Date

You can remove a previously entered Action Date by selecting the relevant log transaction and clicking this button.

## 2.7.2 Order/Subscription Expand

The Order/Subscription Expand display appears in the lower pane and displays details relating to a transaction log highlighted in the upper pane. You can manually add a new transaction log or update details relating to the highlighted log.

The fields in the Order/Subscription Log screen are:

### **Action Date**

You can add an Action Date to any of the manually entered log transactions. This reminds you of any tasks that should be performed regarding this subscription.

### **Transaction Type**

To manually add a transaction to the Subscription Log, select the appropriate type from the expand list.

You can choose from four types of free-text notes; each may be up to 2000 characters in length. Enter here any additional information you wish to record about the subscription. The following options are available:

- General Note (transaction type 00)
- Subscription History Note (95)
- Correspondence from Vendor (98) (record here any correspondence from the vendor)
- Note to Vendor (99) (summarize here any correspondence you have sent the vendor)

### **System Note**

The System Note is automatically created by the system.

### **User Note**

Enter here the full text of the General, History Note or Reply from Vendor transactions.

You can create a line break at any time by pressing **Ctrl+Enter**.

## **3 Prediction Patterns**

In order that the system can generate serial issue records automatically (a prerequisite for efficient check-in and claiming), the system requires two types of information: subscription and publication prediction pattern. This allows the system to open item records for expected issues. In ALEPH, every copy of every issue of a serial must have an item record to enable check-in, claiming, and circulation activities.

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

A serial prediction is based on information both on the publication pattern (for example, frequency and numbering pattern) and on the library's collection (that is, the first controlled volume number and year).

ALEPH supports two types of publication prediction pattern records: **Schedule** and **Pattern**. A single BIB record can have related prediction data in either Schedule or Pattern format. Pattern format can be defined in either the ADM record, or in one or

more HOL records, but not both. The system preference for pattern information is HOL, ADM, and Schedule (in this order). In other words, if a BIB record has pattern information in both HOL and ADM, the HOL pattern is used, and the ADM pattern is inactive. All pattern records for a single title must be defined in the same type of record (Schedule, ADM or HOL).

### **Schedule (Form)**

"SCHEDULE" is a proprietary pattern format, specific to the ALEPH system. A schedule record is accessed (for creation or updating) only from the Control root in the Serials tab in the Acquisitions/Serials module.

As a rule of thumb, the ALEPH Publication Schedule Form can be used for simple patterns. For example, it is used for regularly published weekly, monthly, bi-monthly or quarterly journals, with no exceptions (such as "not published in August").

### **Pattern (Fields)**

"PATTERN" uses the MARC21 Caption and Pattern fields (853/4/5), and a proprietary Enumeration and Chronology field (853X/4X/5X), which is based on the MARC21 Enumeration and Chronology fields.

The pattern fields are held in an ALEPH document record, either the journal title's ADM record, or in one of the HOL records linked to the journal title's BIB record. In both cases, there is also a link from the Subscription record to the Pattern's Enumeration and Chronology field.

## **3.1 Prediction Patterns - Workflows**

As previously stated, Publication Prediction patterns can be registered in a Schedule form, or in Publication Pattern fields in the ADM or HOL record. This section describes the workflows for registering publication prediction patterns for these three options.

### **3.1.1 Schedule (Form)**

A schedule record is created and/or updated by clicking the Schedule node on the Serials tab in the Acquisitions/Serials module. This displays the schedule record form in the upper pane, and a list of the next cycle of anticipated items (issues).

To create or update a schedule record:

1. Fill in the fields in the Schedule Form:

2. Click the Add button. Take note of the lower pane in which the cycle of issue items that will be generated is displayed. If the issue items are incorrect, update the Schedule fields and re-check the display in the lower pane.
3. Click the Open Items button on the lower pane to create the issue item records.

Vol.	Iss. No.	Chron I.	Chron J.	863/4/5	Desc.
7	1	2003		\$\$a7\$\$b1\$\$2003\$\$320030101	v.7(2003:no.1)
7	2	2003		\$\$a7\$\$b2\$\$2003\$\$320030201	v.7(2003:no.2)
7	3	2003		\$\$a7\$\$b3\$\$2003\$\$320030301	v.7(2003:no.3)
7	4	2003		\$\$a7\$\$b4\$\$2003\$\$320030401	v.7(2003:no.4)
7	5	2003		\$\$a7\$\$b5\$\$2003\$\$320030501	v.7(2003:no.5)
7	6	2003		\$\$a7\$\$b6\$\$2003\$\$320030601	v.7(2003:no.6)

The fields in the Publication Schedule Form are:

## Information Tab

### Year

This field contains the journal year for the next publication cycle (that is, volume). The year must contain four digits (for example, 1997, and not 97). A hyphen is used to indicate that a volume runs from the beginning of one year to the end of the following year (for example, 1998-1999), a slash is used to indicate that a volume starts at some point within one year and ends 12 months later in the following year (for example, 1997/1998).

This field is mandatory.

**Note:** The system will always open a journal year, disregarding the number of volumes it contains. If, for example, a journal, which is a monthly, consists of one volume every half year, that is, six issues in each volume, the system will open two volumes.

### **Volume**

This field contains the number of the first volume that will be received during the year stated above. For example, the library's subscription might start with volume 17.

If the serial does not have volume numbering, this field should be left blank.

### **Issue No.**

This field contains the number of the first issue in the cycle.

### **Part**

This field contains the issue part, if the serial is organized in this manner.

Note: although alphabetic values can be entered in the Volume and Part fields, only numeric values are automatically incremented.

### **Issue Date**

This field contains the approximate date on which the first issue in the cycle is published. This is the basis for calculating the **Expected Date of Arrival (EDA)** for each issue and for claiming.

### **New Volume Every**

This field determines how many volumes are published within a calendar period. For example: "New volume every 6 M(onths)"; "New volume every 1 Y(ear)."

### **New Issue Every**

This field determines how many issues are published within a calendar period. For example: "New issue every 2 W(eeks)"; "New issue every 1 M(onth)."

### **No. Issues per Volume**

This field determines the number of issues that are included in one volume.

### **No. Issues per Cycle**

This field determines the number of issues that are published before issues are numbered again from 1. For example, in a monthly serial, after issue number 12, the issue cycle may start over again and the next issue will be issue number 1. In this case, the cycle is "12". If the numbering is continuous, enter the code "999".

### **Description**

This field contains a template that determines the text that is entered in the description field of the item record. The field uses a series of placeholders: \$Y for year, \$V for volume, \$I for issue, \$N for issue name, and \$D for date. In addition, you can enter words, abbreviations, punctuation and spaces. For example:

Vol. \$V, no. \$I, (\$Y).  
will be displayed as: Vol. 3, no. 2, (1998).

v. \$V:no. \$I(\$Y: \$N)  
will be displayed as v.3:no.2(1998:Apr.)

v. \$V: no. \$I (\$Y: \$N)  
will be displayed as v. 3: no. 2 (1998:Apr.)

Note that the \$N code is used to display the text from the Issue fields entered in the "Issues Text" tab of the Publication Schedule Form. This means that if you enter text in the Issue fields, you must also enter the \$N code in this Description field.

For example: for a quarterly serial, you may enter "Jan-Mar", "Apr-Jun", "Jul-Sep" and "Oct-Dec" in the Issue Text tab's first four fields, and enter the Description:

Vol. \$V, no. \$I (\$N \$Y)  
which will be displayed as: Vol. 1, no. 2 (Apr-Jun 1997).

If the description field is left blank, the system automatically inserts \$Y \$V \$P \$I (Year - Volume - Part - Issue number) with no prefixes.

## Issue Text Tab

These fields are used for text describing an issue. The text is included in the description field in lieu of the \$N placeholder. Issue text can be entered for up to 24 issues. Generally, this field will include a chronology description, such as a month or a season.

1. Information		2. Issues Text	
Issue 1:	Jan.	Issue 13:	
Issue 2:	Mar.	Issue 14:	
Issue 3:	June	Issue 15:	
Issue 4:	Sep.	Issue 16:	
Issue 5:		Issue 17:	
Issue 6:		Issue 18:	
Issue 7:		Issue 19:	
Issue 8:		Issue 20:	
Issue 9:		Issue 21:	
Issue 10:		Issue 22:	
Issue 11:		Issue 23:	
Issue 12:		Issue 24:	

Update  
Delete  
Cancel

### 3.1.2 85x/85xX Publication Pattern Fields

The 85x/85xX Publication pattern fields ultimately reside in an ADM or HOL document record. The fields can be created or updated in two different ways:

- In the Cataloging module, on the cataloging draft display.
- In the Serials function, using the pattern and Level-X forms.

The two methods are compatible, and either can be used at any time.

#### Method 1 - Using Catalog Editor

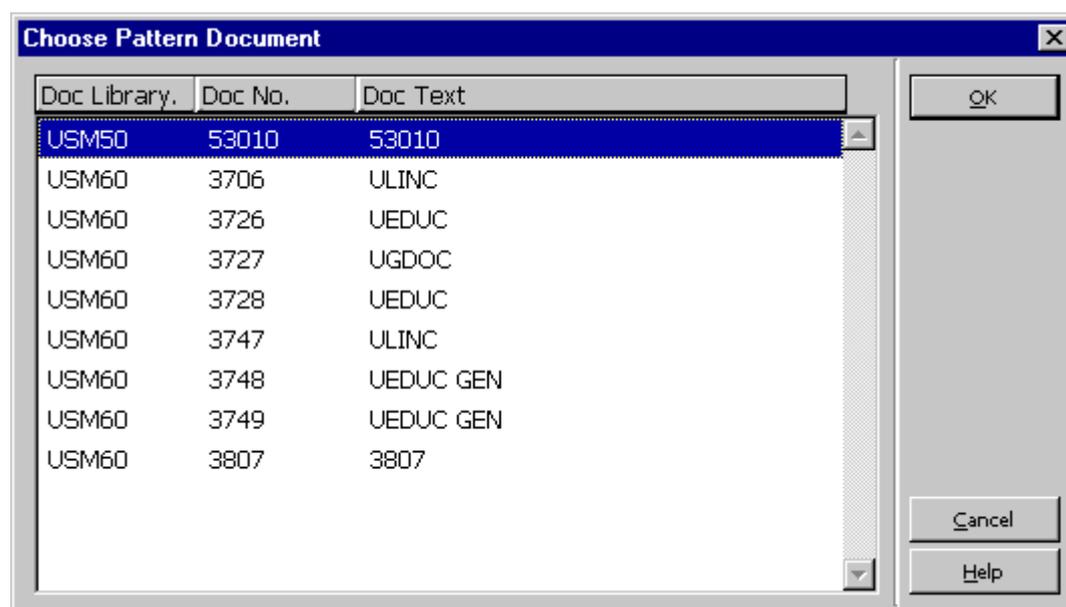
Publication pattern fields can be entered in the ADM or HOL records when the librarian is using the Cataloging module by creating or calling up the desired record and entering the fields. The record is called up or created by double-clicking the node in the Record Manager tree, or by clicking the Edit button in the HOL Links tab of the Subscription. Templates can be used to aid in creating the information.

Note: if there is no record available (neither an ADM record nor a HOL record), you can create a new record by selecting **Load/Create Record** from the **Record Manager** menu.

You can view the details of the issue item records that will be generated. In the ADM or HOL record select the 853X field and then from the **Edit** menu select **Preview Publication Schedule**. A preview of the next cycle to be opened will be displayed.

### Method 2 - Using Input Forms

Publication pattern fields can be entered in the ADM or HOL record from within the Serials function, from the Patterns node, which is listed under Control and under Subscription. Either node can be used. When working with the form input method, you must first choose whether you want the publication pattern fields to be created in the ADM record or in a HOL record. If you want the pattern in a HOL record, you need to choose which HOL record.



To create a new pattern, click the **Add** button in the Pattern List display. The focus is transferred to the lower pane for populating the pattern details.

1. Fill in the fields in tab3 of the lower pane (Pattern Form). You can populate the fields by clicking the **Template** button, and choosing from the list of templates that is displayed. You can choose a near-match, and then update particular fields in the Pattern Form. When finished, click the **Add** button in the lower pane. This step adds the 85x field to the appropriate ADM or HOL record. See the section on Publication Pattern Fields on page 29.

2. Click the Level-X tab in the upper pane and click **Add**. The focus is transferred to tab4 of the lower pane.
3. Fill in the fields in tab4. You can populate the fields by clicking the **Template** button and choosing from the list of templates that is displayed. You can choose a near-match and then update particular fields in the cycle form. When finished, click the **Add** button in the lower pane. This step adds the 85xX field to the appropriate ADM or HOL record.

You can view the details of the issue item records that will be generated. Click the **Expected Schedule** tab in the lower pane. A preview of the next cycle to be opened is displayed. If it is incorrect you can recall the pattern form and make corrections.

Clicking the **Open Items** button in the lower pane creates the item records. When item records are created, the system automatically updates the 85xX field to the values appropriate to the next cycle.

### 3.1.3 Irregular Serials

The problem with irregular serials is that the behavioral pattern cannot be predicted accurately.

To handle irregular serial patterns:

1. Record the 853 field in either the ADM or the HOL record.
2. Make sure that subfield \$w in the 853 field includes the value X to indicate that the frequency is completely irregular.
3. Generate the first issue manually by clicking **New** from the Item List.
4. After the first issue has been checked in, create the next expected issue from the Check In List by clicking **Duplicate**, and updating the details of the next expected issue.

## 3.2 Publication Pattern Fields

The following section details the data required for creating or updating a Pattern. The system uses standard MARC 21 Caption and Pattern fields (853, 854 and 855), together with a parallel ALEPH field, 853X, 854X and 855X.

### 3.2.1 Overview of 85x and 85xx Fields

In ALEPH, the 85X fields are used to record enumeration and chronology captions and publication pattern codes.

The 85xX fields are used to record the numerical starting point (volume no., issue no., and so on), the chronological starting point (year, month, and so on) and the publication date of the first issue of the volume/year.

### Using the 853 and 853X Fields Together

Every enumeration and chronology subfield used in the 853 field must have a corresponding subfield in the 853X field. For example, if a caption has been entered in subfield \$a of the 853 field, a corresponding number must be entered in subfield a of the 853X field.

Just as the 853 field is used for the basic bibliographic unit of a serial title in MARC 21 Holdings Format, the 854 field is reserved for the title's supplementary materials (supplements), and the 855 field is reserved for its indexes.

Accordingly, ALEPH uses the 854/854X and 855/855X pairs to predict and caption the title's supplements and indexes respectively. In the following sections, any reference to 853 and 853X fields also applies to the 854 and 854X and to the 855 and 855X fields. The only exception is subfield \$o, which is unique to the 854 and 855 fields.

#### 3.2.2 Publications that lack enumeration

If a publication entirely lacks enumeration, you can use either of the two following options:

Enter a caret sign ^ instead of enumeration in 853 field, and leave the enumeration subfields in 853X blank, as follows:

853		853X	
\$a ^	\$i (year)	<blank>	\$i 2004
\$b ^	\$j(month)	<blank>	\$j01

Place data from chronology subfields in enumeration subfields, and leave chronology subfields blank, as follows:.

853		853X	
\$a (year)	\$i <blank>	\$a 2004	\$i <blank>
\$b (month)	\$j <blank>	\$b 01	\$j <blank>

#### Note:

If you use Summary Holdings functionality, choose the second option.

If the publication lacks the first level of enumeration, but has the second level of enumeration, you must use the ALEPH caret ^ convention for prediction as follows:

853		853X	
\$a ^	\$i <year>	* \$a 2004	\$i 2004
\$b (no.)	\$j <month>	\$b 1	\$j 01

\* The value placed in subfield.\$a of the 853X field can be any numeric value. This value is ignored by the system when the issue description is built.

**Note:**

Use of the caret sign ^ is an ALEPH convention (which is **not** compatible with MARC standards).

### 3.2.3 Subfields of the 853 and 853x Fields

This section includes two parts: an explanation of how to enter data in each subfield, and an explanation of how to use the subfields together.

#### Using Each Subfield

##### Subfield \$a

Subfield \$a is used for the first level of enumeration. Enter the appropriate caption in subfield \$a of the 853 field and the corresponding number in subfield \$a of the 853X field. For example, a publication that bears volume numbering beginning with v.1 will have the caption "v" recorded in subfield \$a of the 853 field and the number "1" recorded in subfield \$a of the 853X field.

If the publication lacks the first level of enumeration, see *Publications that lack enumeration* on page 30.

##### Subfield \$b

Subfield \$b is used for the second level of enumeration. Enter the appropriate caption in subfield \$b of the 853 field and the corresponding number in subfield \$b of the 853X field. For example, a publication beginning with v.4:no.1 will have the caption "no." recorded in subfield \$b of the 853 field and the number "1" recorded in subfield \$b of the 853X field.

It is important to define a full cycle (volume) even if your own collection starts mid-cycle. In that case, you simply ignore the issues you do not possess (that is, you delete any items that have been generated by "open issues" (online or batch)).

Whenever subfield \$b is used, subfield \$u must also be used to indicate the number of second-level units there are to every first-level unit (that is, how many b's there are to every a).

In addition, subfield \$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 cycle.

For example, a quarterly publication that begins each volume with issue "1" should have the number "4" recorded in subfield \$u and the letter "r" recorded in subfield \$v.

If the publication lacks the second level of enumeration, see *Publications that lack enumeration* on page 30.

##### Subfield \$c

Subfield \$c is used for the third level of enumeration. Enter the appropriate caption in subfield \$c of the 853 field and the corresponding number in subfield \$c of the 853X field. For example, a publication beginning with v.12:no.6:pt.1 will have the caption "pt." recorded in subfield c of the 853 field and the number "1" recorded in subfield \$c of the 853X field.

Whenever subfield \$c is used, subfield \$u must also be used to indicate the number of third-level units there are to every second-level unit (that is, how many c's there are to every \$b). In addition, subfield \$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.

For the example of 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 $$v r  
853X    $$a 12 $$b 1 $$c 1
```

### **Subfield \$d**

Subfield \$d is used for the fourth level of enumeration. Enter the appropriate caption in subfield \$d of the 853 field and the corresponding number in subfield \$d of the 853X field.

Whenever subfield \$d is used, subfield \$u must also be used to indicate the number of fourth-level units there are to every third-level unit (that is, how many d's there are to every c). In addition, subfield \$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.

### **Subfield \$e**

Subfield \$e is used for the fifth level of enumeration. Enter the appropriate caption in subfield e of the 853 field and the corresponding number in subfield \$e of the 853X field.

Whenever subfield \$e is used, subfield \$u must also be used to indicate the number of fifth-level units there are to every fourth-level unit (that is, how many e's there are to every d). In addition, subfield \$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.

### **Subfield \$f**

Subfield \$f is used for the sixth level of enumeration. Enter the appropriate caption in subfield \$f of the 853 field and the corresponding number in subfield \$f of the 853X field.

Whenever subfield \$f is used, subfield \$u must also be used to indicate the number of sixth-level units there are to every fifth-level unit (that is, how many f's there are to every e). In addition, subfield \$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.

### **Subfield \$g**

Subfield \$g contains alternative enumeration information. In ALEPH, subfield \$g is used for continuous numbering only and does not need a corresponding subfield \$u or

subfield \$v. Enter the appropriate caption in subfield \$g of the 853 field and the corresponding number in subfield \$g of the 853X field

Consider the example of a quarterly that 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 as follows:

Description	Issue date
v.1:no.1=no.1	01/01/2001
v.1:no.2=no.2	04/01/2001
v.1:no.3=no.3	07/01/2001
v.1:no.4=no.4	10/01/2001
v.2:no.1=no.5	01/01/2002
v.2:no.2=no.6	04/01/2002
v.2:no.3=no.7	07/01/2002
v.2:no.4=no.8	10/01/2002

set up the 853/853X fields as follows:

```
853 $$a v. $$b no. $$u 4 $$v r $$g no. $$w q
853X $$a 1 $$b 1 $$g 1 $$3 19980101
```

### Subfield \$h

Subfield \$h contains the second level of alternative enumeration information. Whenever subfield \$h is used, subfield \$u must also be used to indicate the number of second-level units there are to every first-level unit (that is, how many h's there are to every g).

In addition, subfield \$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 cycle. For example:

Consider the example of a monthly that has two levels of alternative enumeration (both \$\$g and \$\$h) and the total number of parts in the second level of alternative enumeration (\$\$h) is four per the first level of enumeration (\$\$g), the second level (\$\$h) numbering restarted after each four parts. The pattern begins with v.1:no.1=no.1:part 1; the next volume begins with v.2:no.1=no.4:part1. The number "1" in v.2:no.1 illustrates numbering that restarts; the "4" in "no.4" illustrates numbering that is continuous.

In order for the serial to be displayed as follows:

Description	Issue date
v.1:no.1= no.1:part 1	01/01/2005
v.1:no.2= no.1:part 2	01/02/2005
v.1:no.3= no.1:part 3	01/03/2005
v.1:no.4= no.1:part 4	01/04/2005
v.1:no.5= no.2:part 1	01/05/2005
v.1:no.6= no.2:part 2	01/06/2005
v.1:no.7= no.2:part 3	01/07/2005
v.1:no.8= no.2:part 4	01/08/2005

v.1:no.9= no.3:part 1	01/09/2005
v.1:no.10=no.3:part 2	01/10/2005
v.1:no.11=no.3:part 3	01/11/2005
v.1:no.12=no.3:part 4	01/12/2005

Set up the 853/853X fields as follows:

```

853 L
$$av.$$bno.$$u12$$vr$$i(year)$$j(month)$$gno.$$hpart.$$u4$$vr$$wm
853X L $$a1$$b1$$g1$$h1$$i2005$$j01$$320050101

```

In the enumeration subfields, use an asterisk (\*) in order to omit caption display in the description of the issue record.

Example: 1:no.1(2004:Jan)

### Subfield \$i

Subfield \$i is used for the first level of chronology. Enter the appropriate caption in subfield \$i of the 853 field and the corresponding number(s) in subfield \$i of the 853X field. For example, a publication that begins with v.1(2001) will have the caption "(year)" recorded in subfield \$i of the 853 field and the number "2001" recorded in subfield \$i of the 853X field.

### Subfield \$j

Subfield \$j is used for the second level of chronology. Enter the appropriate caption in subfield \$j of the 853 field and the corresponding number(s) in subfield \$ the 853X field. For example, a publication that begins with v.3:no.2(2001:June) will have the caption "(month)" recorded in subfield \$j of the 853 field and the number "06" (the code for the month June) recorded in subfield \$j of the 853X field.

### Subfield \$k

Subfield \$k is used for the third level of chronology. Enter the appropriate caption in subfield \$k of the 853 field and the corresponding number(s) in subfield \$k of the 853X field. For example, a publication that begins with v.1:no.1(2001:Jan.15) will have the caption "(day)" recorded in subfield \$k of the 853 field and the number "15" recorded in subfield \$k of the 853X field.

### Subfield \$l

Subfield \$l is used for the fourth level of chronology. Enter the appropriate caption in subfield \$l of the 853 field and the corresponding number(s) in subfield \$l of the 853X field.

### Subfield \$m

Subfield \$m contains alternative chronology information. Enter the appropriate caption in subfield \$m of the 853 field and the corresponding number in subfield \$m of the 853X field.

Consider the example of a semiannual title that needs to display both the Gregorian and the Jewish years in its chronology part. The pattern begins with v.1:no.1(2002=5762); the next volume begins with v.2:no.1(2003=5763). The second element in the brackets describes the Jewish year equivalent of the Gregorian one.

In order for the serial to be displayed in the Publication Schedule window as follows, subfield \$m should be used in both the 853 and 853X fields:

Description	Issue date
v.1:no.1 (2002=5762)	01/01/2002
v.1;no.2 (2002=5762)	01/07/2002
v.2:no.1 (2003=5763)	01/01/2003
v.2;no.2 (2003=5763)	01/07/2003

#### Note

For serial prediction, subfield \$m is not supported.

#### Subfield \$o

Subfield \$o is used in the 853X field and specifies the item's material type. For example, use ISSBD for an item that is already bound. If subfield \$o is not defined, the default value of the item's material type will be "ISSUE".

Subfield \$o is used in the 853 field, the 854 field (for supplements), and in the 855 field (for indexes). This field is reserved for the text describing the type of the unit (basic, supplementary, or index). In the issue form and the item form, it is displayed under the **Sub O** field.

Subfield \$o is used in the 854 field (for supplements) and in the 855 field (for indexes).

This field is reserved for the text describing the type of supplementary material (or index). In the issue form and the item form, it is displayed under the field called **Supp Index O**.

#### Subfield \$t

Subfield \$t is used only in the 853/4/5 fields as a caption for the copy ID.

#### Subfield \$u

Subfield \$u is used only in the 853 field and specifies the number of units per next higher unit. Subfield \$u is numeric and must be repeated for each additional level of enumeration; only subfields a, g and h do not have a corresponding subfield \$u.

The product (multiplication) of all subfield \$u's should equal the value of the subfield \$w (frequency) less whatever is omitted in subfield \$y.

In the case of combined issues, the number in subfield \$u should match the number of issues should there be no combining. For example, if nos. 3 and 4 of a quarterly publication are combined into one issue, subfield \$u should be 4 (not 3).

#### Subfield \$v

Subfield \$v is used only in the 853 field and contains numbering continuity information. Like subfield \$u, subfield \$v should be repeated for each instance of subfields 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.

### Subfield \$w

Subfield \$w is used only in the 853 field. It defines the frequency of issues (in other words, the intervals between issues) and must be present. That frequency determines the publication date of all the items that are opened from the 853 and 853X fields (unless they are specified in subfield \$y). The publication date of the first issue, as specified in subfield \$3 of the 853X field, is the starting point for the calculation of issue dates.

The following frequency codes, based on MARC 21 Holdings, 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	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 first day is the day specified in 853X subfield &#36;3 and the second day is that plus fourteen)
t	Three times a year	4 months
w	Weekly	1 week

The frequency must 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 subfield \$w, and in subfield \$y, specify that four issues should be omitted.

The frequency can also be recorded as a number, provided that subfield \$y is also used.

### Subfield \$x

Subfield \$x is used only in the 853 field and it indicates the chronological point at which the highest level increments or changes. Note that this information is not used by ALEPH for prediction purposes; ALEPH uses subfield \$3 in the 85X field for this purpose.

### **Subfield \$y**

Subfield \$y is used only in the 853 field and is used to qualify or modify the regularity of the publishing pattern as recorded in subfield \$w (frequency).

Multiple occurrences of \$y in 853/4/5 are allowed. If you wish to add additional occurrences of \$y, use the HOL or ADM record in the Cataloging module.

Note that subfield \$y is mandatory for frequency codes c, i, and j, or if the frequency recorded in subfield \$w is a number.

Subfield \$y has the following elements:

1. Publication code:

Use "o" (publication omitted) or "p" (published) or "c" (combined).

2. Chronology code definition:

To indicate a date, or a particular day of the week (such as Friday), use lowercase "d"; "m" (month) and "s" (season).

3. Chronology code(s):

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

If you use lowercase "d" to represent the specific day of the week, use its code (mo=Monday, tu=Tuesday, we=Wednesday, th=Thursday, fr=Friday, sa=Saturday, su=Sunday). This enables you, using "odsa" for example, to omit "every Saturday" from the publication schedule.

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

To record the season, enter one of the standard MARC 21 two-character codes:

- 21 (spring, March-May)
- 22 (summer, June-August)
- 23 (autumn, September-November)
- 24 (winter, December-February)

Multiple chronology codes should be separated by a comma. Combined issues are designated by a slash (/).

4. Enumeration Code Definition

Indicates whether or not the subsequent codes represent enumeration rather than chronology.

When code "e" is used, an additional numeric code is added to indicate the level of enumeration to which the regularity applies.

e1 - Enumeration, 1st level

## e2 - Enumeration, 2nd level

For example:

\$\$yce21/2 - combine the first and the second issues in the second level of enumeration.

### 5. Enumeration Code

An enumeration code may occupy the second and third positions after subfield \$y to provide for regularity patterns for those items whose sequencing must be specified separately when combinations occur.

Indicates the designation of the issues of the item for which regularity pattern information is provided.

Multiple designations are separated by a comma.

A slash (/) is used to designate a combined issue.

The presence of continuous numbering (subfield \$v, code c) in conjunction with an enumeration code signals the combination of specific numbers in the sequence of specific issues. Because of the continuous numbering, the actual enumeration values cannot be used to express the enumeration in subfield \$y. Enumerative values must be represented in terms of the number of issues expected to be published to allow combined issue prediction to occur.

Automated systems may construct algorithms to predict the second level of continuous enumeration based on the starting value of the second level of enumeration at the beginning of the subscription cycle.

Examples of subfield \$y:

ypm04,08,12	Published in the months Apr., Aug. and Dec.
yps21,23	Published in the seasons Spring and Autumn
ypd0101,0115,0201	Published on the days Jan. 1, Jan. 15, Feb. 1
yom06,12	Publication omitted in the months June and Dec.
yos24	Publication omitted in the season Winter
yod0615,1215	Publication omitted on the days June 15 and Dec. 15
yodsa,su	Publication omitted on Saturdays and Sundays
ypm03,06,09/12	Published in the months Mar., June and Sept./Dec.
\$\$yce21/2	Combine the first and the second issues in the second level of enumeration.
\$ycm01/02	Combine the months January and February in the first issue.

## Subfield \$z

Subfield \$z is used, in the 853 field only, to designate the numbering scheme used for a publication. The codes allow for recording different numbering schemes at different levels of enumeration.

- **Type of designation**  
Indicates whether the numbering contains a number, a letter or a combination (number first or letter first). Combined numbering should only be used when one of the elements is a constant designation (for example, 1a, 2a, 3a), rather than being two different levels of enumeration (for example, 1a, 1b, 1c).
  - a - Number
  - b - Letter
  - c - Combined, number first
  - d - Combined, letter first
  - e - Symbol or special character
  
- **Case**  
Indicates if a numbering scheme is conveyed as alphas and applies both to those coded in the previous position as "b" or to Roman numerals.
  - a - No case
  - b - Lower case
  - c - Upper case
  - d - Mixed case
  
- **Script Code/Type Code**  
Indicates either the script used in the numbering scheme or, for numerals or symbols that are not in alternate scripts, the type of numeral or symbol used. The script code is a four-character code from ISO/DIS 15924 Code. The type code is as follows:
  - an## - Arabic numeral
  - rn## - Roman numeral
  - sy<symbol># - Symbol

Examples for recording subfield \$z:

aarn## (Roman numeral)

aaan## (Arabic numeral)

Note: If you wish to add \$z, use the HOL or ADM record in the Cataloging module.

### Subfield \$3

Subfield \$3 is used only in the 853X field and indicates the publication 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).

Note: the date must fall within the date range of the subscription dates from-to.

To create the following serial item records:

Description	Issue date
v.1:no.1 (2001:Spring)	03/15/2001
v.1:no.2 (2001:Summer)	06/15/2001
v.1:no.3 (2001:Autumn)	09/15/2001
v.1:no.4 (2001:Winter)	12/15/2001

Enter the data in the fields as follows:

```
853  $$a v. $$b :no. $$u 4 $$v r $$i
((year): $$j (season)) $$w q
853X $$a 1 $$b 1 $$i 2001 $$j 21 $$3
20010315
```

Note that the date entered in subfield \$3 of the 853X field (20010315) generated an issue date of the fifteenth of the month for each issue.

### Subfield \$8

Subfield \$8 is used for those cases where more than one pair of 853/853X fields exists in the same record.

It must be used in both the 853 and 853X fields to link each field to the other.

As an example, let us consider a serial title which uses both a semiannual frequency for its print version, and a quarterly frequency for the online version.

Two pairs of 853/853X should be cataloged, a semiannual one and a quarterly one. Each pair will have a subfield \$8 in both the 853 and 853X fields. A different one-digit number will be used for each pair to link together its 853 and 853X fields.

In the following example, the value "1" links the first pair, and the value "2" links the second.

```
853  $$81 $$a v. $$b no. $$u 2 $$v r
$$i (year) $$j (month) $$w f
853X $$81 $$a 1 $$b 1 $$i 2000 $$j 01
$$3 20000101
853  $$82 $$a v. $$b no. $$u 4 $$v r
```

`$$i (year) $$j (month) $$w q`

`853X $$82 $$a 1 $$b 1 $$i 2000 $$j 01  
$$3 20000101`

Each item created from either field will have the relevant Linking Number (that is, the value from subfield \$8) displayed in its Item Form.

### **Subfield \$9**

Subfield \$9 is used in the 853X, 854X, and 855X fields. It indicates a connection between the subscription copy and the relevant 853X, 854X, or 855X line in the HOL/ADM record.

## **3.2.4 Special Features**

### **Enumeration Subfields (a-h)**

To display ordinal numbers (such as 1st, 3rd or the French 1er), a '+' sign should be inserted in the relevant enumeration subfield of the 853 field preceding the enumeration text. For example,

`$$a +series`

will be displayed as 1st series, 2nd series, and so on.

Ordinal values in various languages are based on table 853\_numbering. The correct language to use is based on the language code cataloged in positions 22-24 of the 008 field in the HOL record used for registering the pattern information. If a certain language does not exist in the table, or if there is no language code in field 008, the English form is used as the default.

### **Chronology Subfields (i-l)**

Subfields i-l of both the 853 and the 853X contain chronology information. To suppress the display of the chronology captions, enclose them in parentheses.

The display of season and month names in the item description is based on the 853\_chrono table. The correct language to use is based on the language code cataloged in positions 22-24 of the 008 field in the HOL record. If a certain language does not exist in the table or there is no language code in field 008, the English form is used as default.

## **3.2.5 Key Fields for Bibliographic Linking**

There are four key fields that are used to identify the item as being a particular issue. These fields are year (subfield \$i), volume (subfield \$a), issue (subfield \$b, level 2) and part (subfield \$c, level 3).

Information about the four key fields (year (chronological level i), volume (enumeration level a), issue (enumeration level b), and part (enumeration level c)),

should be entered in the LKR field when you want to create a link between one bibliographic record and the items of another bibliographic record.

### 3.2.6 Related Features - Pattern Templates

Pattern templates are placed centrally on the server, under the ADM or HOL library's /pc\_tab/catalog directory. Templates for ADM records are in the ADM library's directory, and templates for HOL records are in the HOL library's directory.

Local templates can be also be created, in the user's profile\catalog\template folder on the workstation.

## 4 Items

Refer to the Items List section in the Items chapter of the ALEPH User Guide for an explanation of Items.

## 5 Issue Check-in

It is important for a library to be able to handle serials check-in as quickly as possible and to deal with exceptions, such as combined or never-to-be published issues. Serial check-in can be handled in one action for a group of copies (like items), or individually for each item record.

Serials check-in is performed in the Check-In or Group functions under the Control node in the Serials tab (left pane) of the Acquisitions/Serials module. A serial check-in action is performed on the ALEPH item record and it updates the item record. (In previous versions the check-in could be performed in a number of different ways. These have been combined in the version 16 interface.)

A serial can be called up quickly by one of its identifying numbers (SICI, ISSN), searched for by Acquisitions indexes (such as order number or vendor), or searched for by title or any other bibliographic information.

### 5.1 Check-in

Serials check-in can be performed either from the **Check-In** or from the **Group** nodes under Control in the Serials tab in the Acquisitions/Serials module.

In the Check-In node, single issues (items) are listed for check-in. In the **Group** node, groups of like items (that is, items that share the same enumeration and chronology) are listed for check-in.

## 5.2 Check-in Node

When the Check-In node is selected, the upper pane displays a list of serial item records and the lower pane displays an item record with data for update. There are two filters available for the item list:

- By selected sublibraries
- By all items, or only non-arrived items

To filter by sublibraries, click the **Control** root in the Navigation tree, mark the relevant libraries, and click **Update**.

To filter by non-arrived items, choose tab2 (Expected/Not Arrived) of the upper pane (Check-In List).

Note that items are automatically filtered by the operator's authorization. For example, if the operator is authorized for serials check-in for a single sublibrary, only the items of that sublibrary will be displayed in the list.

To check in a single item, select the item line and click the Arrive button; to check in a group of items, select the relevant lines and click the Arrive button. The focus transfers to the lower pane, and the Arrival Form is activated.

The screenshot displays the Check-in Node interface, divided into two main panes. The upper pane, titled '1. All' and '2. Expected/Not Arrived', shows a table of serial items. The lower pane, titled '3. Info List', '2. Arrival Form', and '3. Serial Levels', shows the Arrival Form for a selected item.

Exp. Arrive	Barcode	Sublibrary	Description	Claim	Sbs	Vendor	Dir	Arrival	
31/01/03	54310-10	Educatio n Library	v.1:no.1(2003:Jan.)		1	010	N	-----	Arrive
03/03/03	54310-20	Educatio n Library	v.1:no.2(2003:Feb.)		1	010	N	-----	UnArrive
31/03/03	54310-30	Educatio n Library	v.1:no.3(2003:Mar.)		1	010	N	-----	Claim
01/05/03	54310-40	Educatio n Library	v.1:no.4(2003:April)		1	010	N	-----	Delete
31/05/03	54310-50	Educatio n Library	v.1:no.5(2003:May)		1	010	N	-----	Add
01/07/03	54310-60	Educatio n Library	v.1:no.6(2003:Jun.)		1	010	N	-----	Duplicate

The Arrival Form in the lower pane includes the following fields:

- Check-in Note: [Text Field]
- Description: v.1:no.1(2003:Jan.)
- Arrival Date: 10/11/2003
- Barcode: 54310-10
- Sublibrary: UEDUC
- Item Status: 10
- Break Indicator: [Dropdown]
- Collection: [Dropdown]
- Item Process Status: [Dropdown]
- Material Type: ISSUE
- HOL Link: 4904
- 85X Type: 3
- 85X Link: 1
- Pages: [Text Field]
- Call Number: [Text Field]
- 2nd Call Number: [Text Field]
- OPAC Note: [Text Field]
- Internal Note: [Text Field]
- Issue Date: 01/01/2003
- Exp Arrival Date: 31/01/2003

Buttons on the right side of the Arrival Form include: Arrive, Print Label, Skip, and Cancel.

Click **Arrive** to check in the item. You can update item data before clicking **Arrive**.

If you update enumeration/chronology fields on the Serial Levels form, blank out the

description field so that the system will regenerate it using the updated data. If a group of items has been selected for being checked in, you can defer checking in a single item by clicking the **Skip** button, after which the next item's details will be displayed. Clicking **Cancel** takes you out of the check-in function; all items that were checked in before **Cancel** was clicked remain checked in.

### 5.3 Group Node

When the **Group** node is selected, the upper pane displays a list of groups of serial item records and the lower pane displays an item record with data for updating:

The screenshot shows a software interface with two main panes. The upper pane contains a table with columns: No. Items., Arrived, Expected, and Desc. The lower pane contains a form for updating item details, including fields for Issue Date, Item Status, Item Proc. Status, HOL Link, 85X Type/Linking No., Break Indicator, Pages, and Note.

No. Items.	Arrived	Expected	Desc.
2	2	0	v.30:no.1(2011:Jan.)
2	2	0	v.30:no.2(2011:Feb.)
2	2	0	v.30:no.3(2011:Mar.)
2	2	0	v.30:no.4(2011:Apr.)
2	0	2	v.30:no.5(2011:May)
2	0	2	v.30:no.6(2011:June)
2	0	2	v.30:no.7(2011:July)

The lower pane form includes the following fields:

- Issue Date:  01/02/2011
- Item Status:  02
- Item Proc. Status:  NE
- HOL Link:  0
- 85X Type/Linking No.:  3  0
- Break Indicator:
- Pages:
- Note:

The upper pane displays a summary for each line, giving the total number of copies of an issue in the group, the number of copies checked in, and the number of copies that are still expected. The lower pane displays an item record field for updating if required. Use the arrow keys to move from one copy to the next or to the previous copy.

Note that items are automatically filtered by the operator's authorization. For example, if the operator is authorized for serials check-in for a single sublibrary, only the items of that sublibrary will be displayed for check-in. Also note that the Control root filter (which can be used in check-in) does not apply to the Group view.

The tabs in the upper pane give different groupings of items:

- Tab1 (All Items) displays one line for all items that share the same enumeration and chronology.
  - Tab2 (Sublibrary Groups) displays one line for all items that share the same enumeration, chronology and sublibrary.
  - Tab3 (Sublibrary/Collection Groups) displays one line for all items that share the same enumeration, chronology, sublibrary and collection.
  - Tab4 (Vendor/Sublibrary/) displays one line for all items that share the same enumeration, chronology, vendor and sublibrary.
  - Tab5 (Vendor Groups) displays one line for all items that share the same enumeration, chronology and vendor.
  - Tab6 (Order Information) displays one line for all items that share the same enumeration, chronology, and order number.
1. To check in a single group of items, select the line and click **Arrive**. To check in several groups of items, select the relevant lines and click **Arrive**. Depending on your system setup (in the `modify_item_arrival` parameter in `pc_server_defaults`), the check-in window per single item is displayed or the check-in action is performed for all grouped items without displaying the check-in window per item. For more information, refer to the **Item Arrival Form** section of the *Aleph 21 System Librarian's Guide-Serials*.
  2. Click **Arrive** to check in the item.

If your system is set to display the check-in window per item, you can update item data on the Arrival Form before clicking the **Arrive** button. If a group of items has been selected, you can defer checking in a single item by clicking Skip, after which the next item's details will be displayed. Click **Cancel** to quit the check-in; all items which were checked in before Cancel remain checked in.

The Enumeration/Chronology tab in the lower pane displays the information relevant to the highlighted line in the upper pane. The Enumeration and Chronology fields can be updated, in which case, all items in the group will be updated. Remove the data in the Description field in order that the system can regenerate the field, using the new Enumeration and Chronology data.

## 5.4 Exceptions in the Check-in Process

Exceptions can be dealt with either in the Check-In list or in one of the Group lists. The items created, updated and/or deleted will be in relation to the list. In other words,

if a line in the Group list includes several copies, all copies will be included in the update.

#### 5.4.1 Unpredicted Issues

The library might receive an extra copy of an issue and want to add it to the library's collection. To do so, highlight the relevant line in the Check-In list and click **Duplicate**. A new issue form will be displayed in the lower pane, with all fields duplicated, including links to HOL and Subscription records.

The library might receive an unexpected extra issue (for example, special 50th anniversary issue). To create a new issue record, click either **Add** or **Duplicate**. A new issue form will be displayed in the lower pane. If **Duplicate** was chosen, all fields are duplicated, including links to HOL and Subscription records. Update the Enumeration and Chronology fields on tab3 (Sublibrary/Collection Groups), and delete the Description field. Click **Add** to add the new issue. The **Description** field will be automatically generated, provided it was unpopulated. When the Add or Duplicate actions are activated, the number of added items is the same as the number of active subscriptions. Add and Duplicate require the population of the Issue Date field, which can be edited by user at the lower pane of the form.

#### 5.4.2 Merged issues

It often happens that two issues are published together as a "merged" issue. In a Group List, choose the relevant lines and click **Merge**. The issue record of the last line is retained, and the other lines are deleted. Correct the fields in the record displayed in the lower pane to match the issue data, correct the description field, and click **Update**.

## 6 Summary Holdings

### 6.1 Summary Holdings

Summary Holdings statements are 866/7/8 fields which can be generated by the system from paired 853/4/5 (Captions and Pattern) fields and 863-865 (Enumeration and Chronology) fields in the holdings record by using the procedure `expand_doc_hol_86x`.

### 6.2 Generating 863/4/5 Fields

Using item records that are linked to the HOL record, the 863/4/5 fields can be generated by the system using the routines `expand_doc_hld_stmt` or `fix_doc_hld_stmt`.

As an expand routine, the compressed holdings statements (863/4/5 fields) are built on-the-fly when the record is displayed. When the `fix_doc_hld_stmt` routine is

performed, the 863/4/5 fields can be added to the HOL record.

Note: these two routines (`expand_doc_hld_stmt` and `fix_doc_hld_stmt`) are relevant to HOL libraries alone and can be applied only if there are 85x Publication Pattern fields in the HOL document record.

In addition, each subscription record (linked to the HOL record) must include a unique identifier in the `copy_ID` field.

The following item records are taken into consideration when generating the 863/4/5 fields:

- Items that have HOL No. in the HOL Link field.
- Items for which the enumeration field is equal to or greater than the value entered in subfield \$\$a of S63/4/5 (Starting Point field) in the HOL record. If there is no S63/4/5 field, enumeration in the item record is not checked.

### Item Groups:

All items which share the same Linking Number identifier in \$\$8 and the same Copy-ID (if there is one) are taken into consideration for a single holdings statement. If one HOL record has more than one linked Copy-ID, each Copy-ID creates a separate holdings statement. In this case, the S63 field should be registered in the HOL record for each Copy-ID.

## 6.3 Generating Summary Holdings Statements

In order to generate summary holdings statements when the record is displayed the setup of `tab_expand` of the HOL library should be as follows:

```
! 1                2                3
!!!!!!!!!!!!-!!!!!!!!!!!!!!!!!!!!!!!!!!!!-!!!!!!!!!!!!!!!!!!!!!!!!!!!!>
WEB-FULL  expand_doc_hld_stmt
WEB-FULL  expand_doc_hol_86x
```

The summary holdings statement will be displayed as in the following example:

```
Summary Holdings    v.1:no.1-2 (2002:Jan.-April), v.1:no.4 (2002:Oct.)
Summary Holdings    v.1:no.1 (2003:Jan.); v.1:no.3-4 (2003:Jul.-Oct.)
```

Note: a gap within the range caused by issues that have not yet arrived is indicated by a comma. A gap caused by units that were never published is represented by a semicolon.

863/4/5 fields also can be generated by activating the `fix_doc_hld_stmt` routine.

In order to activate the `fix_doc_hld_stmt` program, the `tab_fix` table of the HOL library (XXX60) should include the fix program, as illustrated in the following example:

```
! 1                2                3
!!!!-!!!!!!!!!!!!!!!!!!!!!!!!!!!!-!!!!!!!!!!!!!!!!!!!!!!!!!!!!>
```

HSTMT fix\_doc\_hld\_stmt

The `fix_doc.lng` table of the HOL library (XXX60) should include a line for the program.

For example:

```
! 1 2 3 4
!!!!-!-!-!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!!>
HSTMT N L New Summary Holdings
```

The `fix_doc_hld_stmt` is activated in the Cataloging module. From the edit menu click "fix record" and then select the New Summary Holdings routine in order to generate the 863/4/5 fields.

If the pattern of the title has been changed, the following steps should be taken:

- Delete the 853X field of the first pattern.
- Create the publication pattern fields 85x/85xX fields for the new pattern.

## 7 Claims

### 7.1 General

#### 7.1.1 Basic Settings

There are several factors involved in the claiming process.

- Non-arrival of an issue by its "Expected Date of Arrival".

This is the basis for detection of items that should be claimed. For this reason, expected issues should exist in the system and should have an estimated date of arrival. An exception to this is a new serials order for which a claim can be triggered even when it does not have an issue record.

- Automatic claim flag in the Subscription record.

If this flag is not checked, the serial title will be listed in a claim report, but claims will not be automatically generated. (Interactive ad-hoc claims can be generated).

- Vendor address setup

The vendor address setup determines if a claim will be printed, sent by e-mail or sent electronically using EDI.

### 7.1.2 Claiming Methods

There are three ways to initiate claiming for serials:

- Generate a claim for new orders for which an issue has not arrived within the time expected using the Claim Report for Serials Orders (acq-19) batch claim service.
- Generate a claim for all issues which have not arrived by the expected date, using the Print Claim Letters (serial-44) batch claim service. Claims are generated only for subscriptions with automatic claiming set to "Yes".
- Interactive generation of a claim from the Check-In List display in the Serials function.

### 7.1.3 Claim Dates

The first claim date is the expected arrival date of the issue, which is calculated from the issue date plus the value appearing in the First Claim field of the Subscription Info (2) tab of the Subscription Information form.

The Expected Arrival Date is calculated by the system using the publication date of the first issue in the cycle. If you are using pattern fields in the HOL or ADM record for a journal, this is the date registered in subfield \$3 of the Level-X field. If you are using the ALEPH Schedule for journal prediction, this is the Issue Date field.

In the above screen, the value entered in the First Claim field is 90 days. In the following examples, we will see how this value affects the first claim dates:

**Example 1:** A quarterly journal's Level-X subfield \$3 contains 20040301 (1st March, 2004) as the date of publication of the first issue in 2004. The subscription is to be shipped by surface mail. Since the subscription's first claim field is 90 days, the issue's first claim date will be 20040530 (May 30th, 2004).

**Example 2:** The third issue in the cycle will be published on 20040901 and is therefore expected to arrive in the library within 90 days by 20041130. Therefore, the issue's first claim date will be November 30, 2004.

#### **7.1.4 Claiming Interval**

The claiming interval is set on the second, third, and subsequent claim fields of the Subscription Info (2) tab of the Subscription Information form (as shown in the screen above).

The interval sets the number of days which elapse from the time of the previous claim.

In the first example above, the second claim will be on April 30th 2004.

In the second example above, the second claim will be on December 30th 2004.

## **7.2 Interactive Claiming**

When you click the **Claim** button on the Check-In List pane, the Claim List window is displayed. This window displays a list of claims that have already been sent (if at least one claim has already been sent). This enables you to send a new claim to a vendor by clicking **New**. You can update an existing claim (for example, to register the vendor's reply to a claim) by highlighting the appropriate line in the upper pane, updating details in the lower pane and then clicking **Update**.

The screenshot shows a software interface with two main sections. The top section, titled 'Claim List', contains a table with the following data:

Claim Date	Reply Date	Next Claim	Barcode	Desc.
18/06/03	-----	01/07/02	B42165	

Below the table is a 'Sort Options' dropdown menu set to 'Claim Date (asc)'. To the right of the table is a 'Delete' button. The bottom section, titled 'SerialClaimExpand.', contains several input fields and buttons:

- Claim Text: [Text input field]
- Claim Date: [Date input field with value 18/06/2003]
- Claim Reply: [Text input field]
- Reply Date: [Date input field with value 20/07/2003]
- Expected Arrival Date: [Date input field with value 01/07/2002]
- Buttons: 'Update' and 'Cancel'

When you have finished filling in the details, click **Add** on the lower pane.

Following is the help for each field and button:

### Claim Text

Enter text to be included in the letter to the vendor (in addition to the text that is already part of one of the standard claim letters you will choose below.)

### Claim Date

The system automatically enters the current date.

### Claim Reply

This field registers the vendor's reply to a claim.

### Reply Date

This field registers the date of the vendor's reply to a claim.

### Expected Arrival Date

This field registers the issue's Expected Arrival Date.

### Claim Format

This field is displayed when creating a new claim. Choose one of the standard claim letters prepared by your system librarian for use in your library.

### Buttons

#### Add

When you have finished filling in details of a new claim in the form, click **Add**.

#### Update

After updating an existing form, click **Update**.

## 7.3 Batch Claiming

### 7.3.1 Claim Report for Serial Orders (acq-19)

This service produces a report of serials orders that have not yet arrived. Claim letters for serials can then be sent manually by using the **Claim** button on the Check-In List.

### 7.3.2 Print Claim Letters (serial-44)

This service saves or prints out claim letters for serials. For each vendor, a letter is printed listing all late items due from that vendor.

Letters will be printed only for titles for which the Send Claims option in the Subscription Information Form was selected (that is, for those titles which were part of the automatic claiming mechanism).

## 8 Routing Lists

The routing list record contains information regarding the group leader, group members and loan procedure. If a routing list exists for a particular subscription, then when the issue item is checked in, the system displays the following message:



After clicking **OK**, depending on your system setup, the following form may be displayed:

12/05/2003  
serial-rout-list-00

---

**Serial Route List**

Ex Libris University Libraries  
222 Aleph Causeway  
Chicago, IL 60614  
thechoice@exlibris.co.il  
Tel# 773.404.5527

Henry Ambrose McCormack  
Apartment 4-L  
1365 York Avenue  
New York, NY  
10021  
2128323295

**Patron ID:** 1033

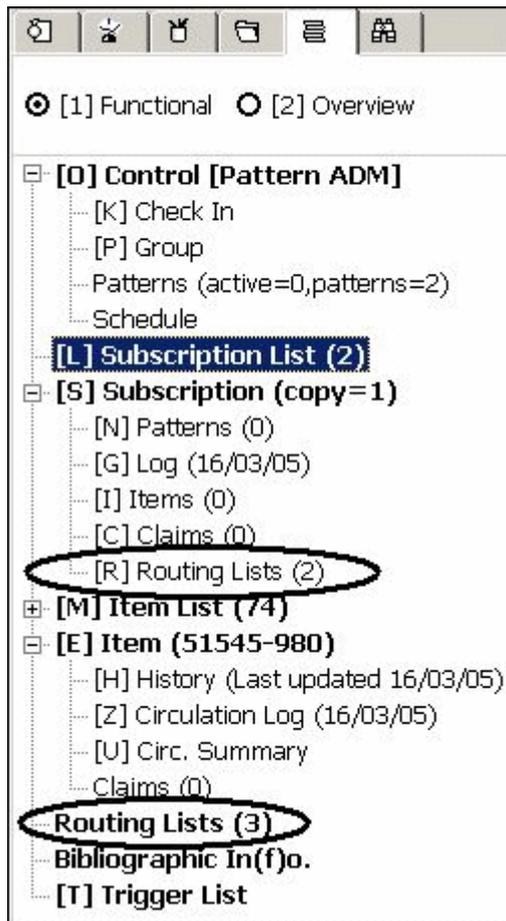
Journal of Hol Patterns including two Volumes a year..

**Description:** 000:no.17-18(2000:May-Jun.)  
**Issue barcode:** B35307  
**Subscription number:** 03  
**Number of days per member:** 05

Member ID	Member Name	Address
1033	Henry Ambrose McCormack	Apartment 4-L
1165	Murphy, Medrick D.	760 Leland Avenue

## 8.1 Creating a Routing List

Routing lists, or multiple routing lists, can be created for some or all of the subscriptions of a title. The routing list for a title is created or opened, if it already exists, by highlighting, in the navigation tree, the Routing List node under the Subscription root, or by highlighting the Routing List root.



The Routing List display (in the upper pane) will become active.

Sort Order	Group Leader	Last Trace	Last Item
1	McCormack, Allan T. Apartment 4-L 1365 York Avenue		
2	ABBOTT, EMMA ELIZABETH 234 Brush St. mevasseret	08/05/03	v.10: no.46(2002:Oct.)

This pane shows the routing lists for a particular subscription or for a serial title. For each routing group, the Last Trace shows the date when the Last Item was routed to the group.

The following buttons are available on this pane:

### New

Click **New** to add a new routing list. The lower pane will be activated in order to create a new routing list.

### Duplicate

Click **Duplicate** to copy the highlighted routing list. The details of the Routing Info will be copied and displayed for you to edit in the lower pane. The new group will be assigned a new sort order number. The Members are not duplicated.

### Delete

Click **Delete** to delete a highlighted routing group. Note that you cannot delete a group which has an item on loan.

### Print

Highlight a routing group and click **Print**, to print the list of members making up a routing group.

The following buttons are displayed when the pane is activated from the Subscription root.

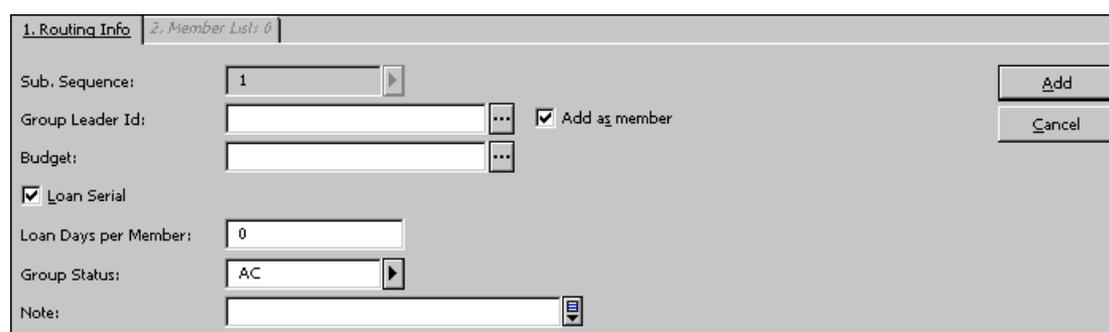
### Apply

After moving a routing list up or down a level, click **Apply** to set the routing order among the groups.

*Note: To move the highlighted routing list up a level in the list, click the Up arrow button. To move the routing list down a level, click the Down arrow button.*

## 8.2 Routing List Information

When you click the **New** or **Duplicate** button on the Routing Lists pane, the Routing List form is activated.



The screenshot shows a form titled "1. Routing Info" with a sub-tab "2. Member List: 0". The form contains the following fields and controls:

- Sub. Sequence: A text box containing "1" with a right-pointing arrow button.
- Group Leader Id: A text box with a right-pointing arrow button and a "..." button.
- Budget: A text box with a right-pointing arrow button and a "..." button.
- Loan Serial: A checked checkbox.
- Loan Days per Member: A text box containing "0".
- Group Status: A dropdown menu showing "AC" with a right-pointing arrow button.
- Note: A text area with a right-pointing arrow button.
- Buttons: "Add" and "Cancel" buttons are located on the right side of the form.
- Checkboxes: "Add as member" is checked.

This form is used to define a new routing list or to update an existing list. It has two tabs: Routing Info and Member List.

## Routing Info Tab

The screenshot shows a web interface for the 'Routing Info' tab. At the top, there are two tabs: '1. Routing Info' (selected) and '2. Member List: 1'. The form contains the following fields and controls:

- Sub. Sequence:** A text input field containing '1' with a right-pointing arrow button.
- Group Leader Id:** A text input field containing '1033' with a list icon button to its right. A checkbox labeled 'Add as member' is checked.
- Budget:** A text input field with a list icon button to its right.
- Loan Serial:** A checked checkbox.
- Loan Days per Member:** A text input field containing '5'.
- Group Status:** A dropdown menu showing 'AC' with a right-pointing arrow button.
- Note:** A text area with a list icon button to its right.
- Update:** A button located in the top right corner of the form.

The following section describes buttons and fields in the Routing Info tab.

### Sub. Sequence

This is the sequence number of the subscription to which the routing list is linked. If there is only one subscription, the system will automatically enter 1. If there is more than one, you can display a list of subscriptions by clicking the arrow  to the right of the field.

### Group Leader ID

Enter the ID of the group leader. This is the library patron (which can be a department) to which the routing list is assigned. The issue may be checked out to this user (see the Loan Serial field below). When clicking the List button  to the right of the field, the Patron List window is displayed. The Patron List offers several options that facilitate your search for the desired Patron.

### Add as Member

Insert a check mark to add the leader of the group to the list of members.

### Budget

Optional. You can link the routing list to a budget. This is for information only; the budget will not actually be debited.

### Loan Serial

If this option is selected, the system will loan the item to the Group Leader using the circulation loan function. This means that the loan will be displayed in the Web OPAC in the patron's list of loans. A due date will be displayed and the library can send the patron overdue notices. If this option is selected, the following field (Loan Days per Member) must be filled in, otherwise the Update button on this screen will not be activated. The due date is calculated as: number of days multiplied by the number of routing list members.

### Loan Days Per Member

This is the number of days that each member on the list can keep the item. The system will multiply this value by the number of members in the list in order to calculate the due date of the item.

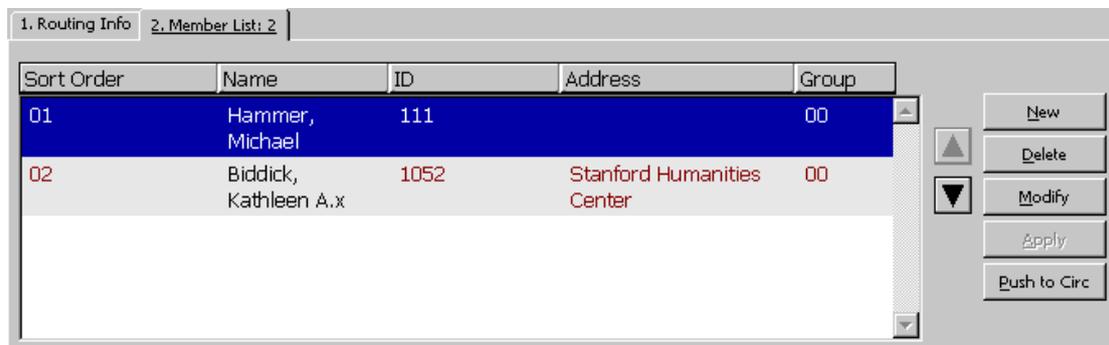
### Group Status

A routing list can be active (AC) or inactive (NA).

## Note

For internal data.

## Member List Tab



Sort Order	Name	ID	Address	Group
01	Hammer, Michael	111		00
02	Biddick, Kathleen A.x	1052	Stanford Humanities Center	00

The Member List Tab lists the members of one routing list and the position of each member in the list. Note that a user cannot be listed on more than one routing list for any one title. Each routing list is limited to 98 members.

The following buttons are available on this tab:

### New

To add a new member to the routing list, click New.

### Delete

To remove a member from the list, highlight the member's name and click Delete.

### Modify

To modify a list member's record, click Modify.

### Apply

After moving a member up or down, click Apply to save the changes.

### Push to Circ

Click Push to Circ to display the Patron record of the highlighted member in the list in the Circulation module. If you have authorization, you can display and manage related circulation functions.

*Note: To reposition a member in the list, highlight the member, and use the up or down arrows.*

## 8.3 Member Form

When you click the New or Modify buttons on the Member List tab (Routing Information form), the following window is displayed:

This form enables you to add a member to the selected routing list. When you are finished filling in the form, click **Update**.

### Member ID

To add a member to the routing list, enter the Patron ID of the member. You can select from a list by clicking the List button . to the right of the field.

## 8.4 Remove User

To select the Remove User From Routing Groups function, go to the Utilities menu and choose the function. The following form is displayed:

This window enables you to remove a user from every routing group of which he is currently a member.

Enter the user's ID or select from a list by clicking the List button . to the right of the field. When you have selected the desired user, click **OK**. You will be asked to confirm that you do, indeed, want to remove the user from all of his routing groups.

## 8.5 Return Item

To select the Return Item From Routing Group function, go to the Utilities menu and choose this function. The following form is displayed:

This window enables you to check in an item that was previously checked out to the Group Leader of a Routing List.

Enter the barcode of the item and click **OK**.

If other Routing Groups are waiting for the item, the item will be loaned automatically to the Group Leader of the next Routing Group in the list.

## 9 Binding

A library can decide for each serial subscription whether its issues should be retained (and if so, whether they should be bound), or discarded (that is, disposed of and its item records deleted from the catalog) after a certain period of time has elapsed.

In ALEPH, Binding includes two stages:

1. Identification of issues for binding or discarding
2. The binding process itself

### 9.1 Identification of Issues for Binding or Discarding

To identify whether issues are to be bound or discarded:

1. In the Discard/Binding field of the subscription form in the Acquisitions/Serials GUI, select a coded value from the drop-down menu. This code defines the set of binding or discard rules that will be applied to the subscription.
2. From the Service menu, Serials submenu, in the Acquisitions/Serials GUI, run the Bind Alert Report (bind-01) service (see description below).
3. Run the Serial Binding Slip (bind-02) service (see description below).

#### **Bind Alert Report (bind-01)**

This service generates a report that alerts staff to journal volumes and their issues that should be examined for binding readiness. It identifies the titles and volumes that, according to parameters set by the library, are ready for binding or discarding. It prepares a printed report, which lists each of the relevant issues, and an output file, which will be used as input for the Serial Binding Slip (bind-02) service.

This service retrieves issues that match the following conditions:

- The binding policy that has been set for the subscription to which the issues are linked. (in the Discard/Binding field of the subscription form). Each policy is derived from a set of rules and parameters as defined in the `tab_binding` table of the ADM library.
- The retrieval parameters that are set in this service when it is submitted.

#### **Serial Binding Slip (bind-02)**

This service produces a printed report, pick slips and hold requests for volumes and their issues that are considered ready for binding.

This service retrieves issues listed in the input file that match the following conditions:

- The binding policy that has been set for the subscription to which the issues are linked. (in the Discard/Binding field of the subscription form). Each policy is derived from a set of rules and parameters as defined in the `tab_binding` table of the ADM library.
- The retrieval parameters that are set in this service when it is submitted.

## 9.2 Binding Process

In ALEPH, the binding process is located in the Items function. Refer to the Binding section in the Items chapter of the ALEPH User Guide for a description of the binding function.

## 10 Serials Services

Each service is identified in the Batch Log and Batch Queue by its procedure name.

### 10.1 Claims

#### **Print Claim Letters/Reports (serial-44)**

This service saves or prints out claim letters or reports for serials. Letters can be sent to each vendor containing all claims or sent separately for each title per sublibrary. Reports can contain a list of claims with or without ignoring the CLAIM flag in the subscription record.

Letters will be printed only for titles for which the Send Claims option in the Subscription Information Form has been selected (that is, for those titles taking part in the automatic claiming mechanism).

The Item Process status NP (Not Published) is not included in this service.

You can create triggers for claimed items for specific departments using the Create Triggers Y/N parameter.

### 10.2 Routing

#### **Report of Routing Lists (serial-07)**

This service creates a report listing the serial titles that are routed to library users. It shows the users both in their role as Routing Group Leaders and as Routing Group Members. The report is sorted by user. You can view the report for a specific user.

### **Letters to Routing List Members (serial-08)**

This service sends a letter to each member of every Routing Group, telling them which titles are being circulated in all the Routing Groups to which they belong.

## **10.3 Serial Patterns**

### **Test Pattern Opening (serial-12)**

This service checks serial patterns, and tries to open the next cycle based on the level-x field for records listed in the input file. The level-x files contain enumeration and chronology information for the next volume/cycle that will be opened.

### **Merge and Deduplicate Serial Pattern Files (serial-53)**

This service merges serial pattern files (up to 10 files) and deduplicates identical records. The files should be sequential files which result from running the service Export 85x Records (serial-51). These files must be copied from their original location in the ADM/HOL library's \$data\_scratch directory to \$alephe\_scratch.

## **10.4 Check-in**

### **List of Serials Titles and Number of Arrived Issues (serial-16)**

This service retrieves serial titles for which issues have arrived in the specified time span. The report includes the serial titles and the number of issues that have arrived. The report can be generated for all libraries or limited to issues that belong to a particular sublibrary.

### **Print Arrived Issues Report (serial-06)**

This service creates a report listing the serial items that have arrived within the period that you define.

For a report which lists only the number of items that have arrived per title, run the List of Serial Titles and Number of Arrived Issues (serial-16) service.

### **Issues Arrival Statistics by Sublibrary - Dates (serial-09)**

This service produces a statistical report of the number of issues that have arrived within a specified range of dates. The results are grouped by sublibrary and by collection (within a sublibrary). For each sublibrary, the total of arrivals is provided. In addition, there is a grand total of arrivals for all sublibraries.

When serial\_09 is run, it can be restricted to one or more sublibraries or set to apply to all sublibraries.

### **Open Expected Issues (serial-13)**

This service opens expected issues based on the date entered in the Open Expected Issues Until field.

New issues will only be opened when there is a valid subscription in place for them and only if they have not been opened in the past.

### **List of Expected Issues (serial-17)**

This service retrieves a list of issues that are expected to arrive in a given time period. The purpose of the list is to enable the user to quickly locate an item for issue check-in. The list includes the item barcode, which can be entered into the Serials bar to directly access the particular issue.

## **10.5 Publication Schedules**

### **Export 85x Records (serial-51)**

This service is used to export serial prediction field pairs (853/853X, 854/854X and 855/855X) from your library to identical titles in another library.

For each ADM record that has one or more of those 85x pairs for publication schedule prediction, this service will write these fields, as well as MARC 21 fields 001, 022, 035 and 245, into a file called export\_85x.dat in the ADM/HOL library's data\_scratch directory.

This file can then be sent to another library for matching against its own database and for downloading the prediction field pairs when a match is found. The other library will have to run the Import 85x Records (serial-52) service.

### **Import 85x Records (serial-52)**

This service is used to add imported serial prediction field pairs (853/853X, 854/854X and 855/855X) from another library to identical titles in your library.

The system checks records from your specified BIB library against the data in the imported file export\_85x.dat (which has to be placed in the ADM library's data\_scratch directory).

The system uses tab\_85x\_import to define the way in which the input from the fields in this service is used for matching. Using the table, you can define which index or word file should be used for the match, whether the entire field from the input file or a specific subfield should be used for the match, and which subfield in the field in the database should be used. You cannot match tab\_85x\_import against a headings index.

Where there is a match of any of the MARC fields 001, 022, 035 or 245, the prediction field pairs (853/853X, 854/854X and 855/855X) from that file will be imported into the ADM records that are linked to the BIB records. Note that it is possible to specify other fields (and their relevant indexes) to match against in a table.

In that way, any MARC standard can be used for the matching process.

A log file listing all the matches found is also created by the system for viewing prior to the actual import of data.

## **10.6 Serials**

### **Bind Alert Report (bind-01)**

This service generates a report that alert staff to journal volumes and issues that should be examined for binding readiness or discard.

### **Serial Binding Slip (bind-02)**

This service produces a report, pickup slips, and hold requests, for volumes and issues that are considered ready for binding.