Holdings Records: Incorporating MARC 21 in Aleph

June 27, 2002

This document presents preliminary guidelines for Harvard Library Staff for entering holdings and location information in Aleph. The focus of the document is on fields and concepts that will be new to Harvard catalogers, on areas where a Harvard policy has been defined as an interpretation of the MARC standard, and on areas where Aleph system requirements are not fully MARC compliant.

This document is not meant to be used alone. It is a supplement to the MARC 21 Format for Holdings. For complete information on field tags, field content definitions and coding, use the MARC 21 Format for Holdings.

Use of the Holdings Record

The holdings record is designed to be a carrier of information for all types of material, whether cataloged as a serial, as a multipart item or as a single part item. Information entered in holdings records may include:

- Copy-specific holding and location information
- Information specific to the holding organization
- Information needed for local processing, maintenance, or preservation of an item
- Version information

Identification of a responsible library

All bibliographic records are required to be linked to a holdings record or an item record which includes information identifying the responsible library. This information may be present in either:

Holdings record 852 field:

- subfield b Sublibrary
- subfield c Collection

Or

Item record form, Tab 1 (General information)

- Sub-library
- Collection

Bibliographic records may be linked to both holdings and item records.

Multiple versions

Harvard’s single record approach for multiple versions will continue in Aleph. This means that holdings records for micro reproductions, photocopies, digital versions, and original versions should be linked to the same bibliographic record. Harvard has defined certain fields for version information in the holdings record. For more information, see Holdings Records fields below. For more guidelines on the use of holdings records for multiple versions, see the HUL Bibliographic Standard and Bibliographic Standards Committee’s Cataloging Networked Resources in HOLLIS.
Copies

Multiple copies of a bibliographic unit held by one library may be reported in one holdings record if they all share the same collection code and call number, and, for multipart monographs or serials, the library owns the same parts. When multiple copies are reported in one holdings record, field 008, byte 25 should be coded 1, for composite copy report. The number of copies being reported in the holdings record is recorded in the 008 field, bytes 17-19. The designations for the copies are recorded in the subfield t of the 852 field.

Separate holdings records should be made whenever there are differences in call number, collection code (when the collection code is not temporary) or holdings between copies.

See the document Copy Numbers in Holdings and Item Data: Discussion with Recommendations for more information at [http://hul.harvard.edu/ois/support/docs-aleph-cat.html](http://hul.harvard.edu/ois/support/docs-aleph-cat.html).

Example:

<table>
<thead>
<tr>
<th>Bytes 17-19</th>
<th>006</th>
</tr>
</thead>
<tbody>
<tr>
<td>Byte 25</td>
<td>1</td>
</tr>
</tbody>
</table>

852 $t$ = copy 1-6

**Holdings Record Fields**

(R) indicates a repeatable field
(NR) indicates a non-repeatable field
Holdings Leader – LDR (NR)

For cataloged titles, each element of the MARC 21 Leader of the holdings record is coded according to the definition and usage described in the MARC 21 Format for Holdings Data. While most character positions in the Leader are supplied by the system, the operator should verify and/or fill in correctly those that are not.

The Aleph screen, Form for Field LDR – Format HO, lists the leader character positions to be filled in. Values to be encoded are available in the MARC 21 Format for Holdings Data—Leader. Required elements to be filled in by the user are indicated with a question mark (?).

Required in the leader:

**Record status** – MARC 21 Leader 05

<table>
<thead>
<tr>
<th>Code</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>c</td>
<td>corrected or revised</td>
</tr>
<tr>
<td>d</td>
<td>deleted</td>
</tr>
<tr>
<td>n</td>
<td>new</td>
</tr>
</tbody>
</table>

**Type of record** – MARC 21 Leader 06

<table>
<thead>
<tr>
<th>Code</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>v</td>
<td>multipart item holdings</td>
</tr>
<tr>
<td>x</td>
<td>single-part item holdings</td>
</tr>
<tr>
<td>y</td>
<td>serial item holdings</td>
</tr>
</tbody>
</table>

**Encoding level** – MARC 21 Leader 07

The encoding level code identifies the level of specificity of the holdings report. For current cataloging holdings data must be recorded at the fullest appropriate level:

<table>
<thead>
<tr>
<th>Code</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Level 1 reporting—use for single-part items</td>
</tr>
<tr>
<td>2</td>
<td>Level 2 reporting—use for limited retention items (serials)</td>
</tr>
<tr>
<td>3</td>
<td>Level 3 reporting—use for summary information</td>
</tr>
<tr>
<td>4 or 5</td>
<td>Levels 4 or 5 reporting—use for detailed information for multi-part and serial items</td>
</tr>
<tr>
<td>m</td>
<td>a mix of level 3, 4, 5</td>
</tr>
</tbody>
</table>

**Level 3** holdings report has been used at Harvard for specific projects such as retrospective conversion. It should not be used for titles that are permanently retained. Converted Level 3 holdings records that are currently received should be upgraded to a Level 4 and the encoding level changed to 4.

**Levels 4 and 5** report a library’s holdings using a positive report, recording gap and non-gap breaks. Levels 4 and 5 are the preferred levels for holdings reporting for multipart and serial items at Harvard.

**Level m** was used at Harvard when a part of a library’s holding was converted at a summary level during the Retrospective conversion process. Following retrospective conversion, all recent receipts for the item have been recorded at the detailed levels.
HUL Standing Subcommittee on Bibliographic Standards and Policy recommends that a library upgrade a Level m holdings report to a Level 4 and change the encoding level to 4.

001 – Control Number (NR) System supplied
004 – Control number for related bibliographic record (NR) System supplied
005 – Date and Time of Last Transaction (NR) System supplied
007 – Physical Description Fixed Field (NR)

The Physical Description Fixed Field was entered in the HOLLIS holdings record as field 807. In Aleph, we will use the 007 field. Instructions for use of the field will not change. They are available at http://isites.harvard.edu/fs/docs/icb.topic259504.files/007_CRWG_12-2008.doc

008 – Fixed Field (NR)
Instructions for entering values to be encoded in the 008 field are available in the MARC 21 Format for Holdings Data—008 (Fixed-Length Data Elements—General Information). Required elements to be filled in by the user are indicated in the Aleph form with a question mark (?).

See below for instructions on the use of specific codes with new or changed meanings.

<table>
<thead>
<tr>
<th>Data element</th>
<th>MARC 21</th>
<th>Not Cataloged</th>
<th>Cataloged</th>
</tr>
</thead>
<tbody>
<tr>
<td>Receipt or acquisition status</td>
<td>06</td>
<td>Mandatory</td>
<td>Mandatory</td>
</tr>
<tr>
<td>Method of acquisition</td>
<td>07</td>
<td>Optional</td>
<td>Optional</td>
</tr>
<tr>
<td>Intent to cancel date</td>
<td>08-11</td>
<td>Optional</td>
<td>Optional</td>
</tr>
<tr>
<td>General retention policy</td>
<td>12</td>
<td>Mandatory</td>
<td></td>
</tr>
<tr>
<td>Specific retention policy</td>
<td>13-15</td>
<td>Mandatory, if applicable</td>
<td></td>
</tr>
<tr>
<td>Completeness</td>
<td>16</td>
<td>Mandatory</td>
<td></td>
</tr>
<tr>
<td>Number of copies reported</td>
<td>17-19</td>
<td>Mandatory</td>
<td></td>
</tr>
<tr>
<td>Lending policy</td>
<td>20</td>
<td>Not used</td>
<td>Not used</td>
</tr>
<tr>
<td>Reproduction policy</td>
<td>21</td>
<td>Not used</td>
<td>Not used</td>
</tr>
<tr>
<td>Language</td>
<td>22-24</td>
<td>Mandatory</td>
<td></td>
</tr>
<tr>
<td>Separate or composite copy report</td>
<td>25</td>
<td>Mandatory</td>
<td></td>
</tr>
</tbody>
</table>

**Receipt or acquisition status (06)**

Receipt or acquisition status provides coded information about an item’s receipt or acquisition status. This code is manually entered by staff.

<table>
<thead>
<tr>
<th>CODE</th>
<th>MEANING</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>Unknown</td>
</tr>
<tr>
<td>1</td>
<td>Other receipt or acquisition status</td>
</tr>
<tr>
<td>2</td>
<td>Received and complete or ceased</td>
</tr>
<tr>
<td>3</td>
<td>On order</td>
</tr>
<tr>
<td>4</td>
<td>Currently received</td>
</tr>
<tr>
<td>5</td>
<td>Not currently received</td>
</tr>
</tbody>
</table>

Some of these processing statuses may be changed automatically as a result of system activity. Staff should review this information for accuracy.
Notes:

**Code 2** – Received and complete or ceased – Indicates that all parts of a multipart or serial item have been published or that the publication is no longer issued (has ceased publication). Code 2 is used for single-part items (Leader/06, type of record, code x) and for completed multipart or serial items. In HOLLIS a code 5 was used to indicate this category of material.

**Code 3** – On order – Displays to the public in the OPAC as “On order”. This code should be consistent with the Item Processing Status the has been entered in the Item record.

**Code 4** – Currently received – Displays to the public in the OPAC as “Currently received.”

**Code 5** – Not currently received – Indicates a multipart or serial item is neither currently received nor is there intent to acquire the item. This code is used for multipart items and items for which updates are no longer being received.

**General retention policy (12)** – No default value is supplied. When coded as 6 (Retained for a limited period) along with coded information in the Specific retention policy (13-15) will not produce a display in the public catalog at this time. Staff should record limited retention information in a note in subfield z of the 852 field.

**Separate or composite copy report (25)** should be coded in conjunction with the codes in Number of copies reported (17-19). If more than one copy is to be reported on a single holdings record, code 1 for Composite copy report.

<table>
<thead>
<tr>
<th><strong>CODE</strong></th>
<th><strong>MEANING</strong></th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>Separate copy report</td>
</tr>
<tr>
<td>1</td>
<td>Composite copy report</td>
</tr>
</tbody>
</table>

**Language (22-24)** Code according to guidelines in the MARC 21 Holdings Format. **N.B.** A language code should only be used when the holdings record contains coded dates or ordinal numbers in the enumeration and chronology fields (853/854/855-863/864/865). A language code must be supplied in Aleph to enable the system to correctly translate the number supplied for a month or an ordinal number into an OPAC display in the natural language.

Example:
Possible display:

Holdings: Bd.1:Nr.1-3(1991:Jan.-März)

Blanks
Code blank indicates that the holdings statement contains no coded chronological data or ordinal numbers. To enter blanks in language code in the 008 field, hit the space bar three times. In the holdings record 008 string display, the blanks will display as ^^^.

und – Undetermined
Code und indicates that the language of the coded chronological data or ordinal numbers in the holdings statement cannot be determined.

0XX – Numbers and Codes

In MARC 21 Fields 010 through 030 contain standard numbers that identify the related MARC bibliographic record to which a separate holdings record is linked. These fields should not be input in the Aleph holdings record.

010 – Library of Congress control number (NR)
016 – National bibliographic agency control (R)
020 – ISBN (R)
022 – ISSN (R)
024 – Other standard identifier (R)
027 – Standard technical report number (R)
030 – CODEN designation (R)

5XX and 8XX Note Fields

506 – Restrictions on Access Note (R)

MARC 21 defines this as a note to be used on the Bibliographic record. In Aleph it will be used in the Holdings record.

530 – Additional Physical Forms Available –No longer in Holdings record; use in the bibliographic record

541 – Immediate source of Acquisition Note (R)
Field 541 is the appropriate place to record gift information and other information about the acquisition of an item. Prefer to record source of acquisitions notes here, rather than in the subfield z (Public note) in the 852 field.

561 – Ownership and Custodial History (R)
Follow guidelines for applying content designators in the MARC 21 Holdings Format.

562 – Copy and Version Identification Note (R)
Contains information that distinguishes the copies or versions of materials held by an archive, special collection, or manuscript repository when more than one copy or version exists. Follow guidelines for applying content designators in the MARC 21 Holdings Format. Prefer the 562 field to the subfield z (Public note) in the 852 field for archival, special collection, and manuscript material.

583 – Action Note (R)
Contains information about processing and reference actions, such as a brief statement about solicitation to acquire material, whether the solicitation is active or inactive, and the date of the last item of correspondence. Also used to record information about preservation actions relating to an item, such as a review of condition, queuing for preservation, and completion of preservation. Follow guidelines for applying content designators in the MARC 21 Holdings Format.

807 see 007 – Physical Description Fixed Field

841 – Holdings coded data values (NR) Not used at Harvard

842 – Textual physical form designator (NR) Not used at Harvard

843 – Reproduction note (R)
Continue to use the 843 field in the Holdings record to record information pertaining to a reproduction of original materials. Do not use the 533 field on the bibliographic record. Follow guidelines for applying content designators in the MARC 21 Holdings Format.

844 – Name of unit – Not used at Harvard

845 – Terms governing use and reproduction note (R)
Follow guidelines for applying content designators in the MARC 21 Holdings Format.

852 – Location (R in Aleph under certain circumstances)
Field 852 identifies the organization holding the item or from which it is available. The field may also contain detailed information about how to locate the item in a collection. In Aleph more than one 852 field is allowed in a holdings record only if the differences between the fields occur in subfield q (Piece physical condition), subfield t (Copy number), subfield x (Nonpublic note), and/or subfield z (Public note).

Indicators

1st Indicator: Shelving scheme

<table>
<thead>
<tr>
<th>Code</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>Blank</td>
<td>No information provided</td>
</tr>
<tr>
<td>0</td>
<td>Library of Congress classification</td>
</tr>
<tr>
<td>1</td>
<td>Dewey Decimal classification</td>
</tr>
<tr>
<td>2</td>
<td>National Library of Medicine classification</td>
</tr>
<tr>
<td>3</td>
<td>Superintendent of Documents classification</td>
</tr>
</tbody>
</table>
4  Shelving control number—Not used at Harvard
5  Title
6  Shelved separately
7  Source specified in subfield 2
8  Other scheme

2nd Indicator: Shelving order

<table>
<thead>
<tr>
<th>Code</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>Blank</td>
<td>No information provided</td>
</tr>
<tr>
<td>0</td>
<td>Not enumeration</td>
</tr>
<tr>
<td>1</td>
<td>Primary enumeration</td>
</tr>
<tr>
<td>2</td>
<td>Alternative enumeration</td>
</tr>
</tbody>
</table>

Subfield Codes

<table>
<thead>
<tr>
<th>Code</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
<td>Location (NR) – Not used at Harvard</td>
</tr>
<tr>
<td>b</td>
<td>Sublibrary (NR per Aleph)</td>
</tr>
<tr>
<td>c</td>
<td>Collection (NR per Aleph)</td>
</tr>
<tr>
<td>e</td>
<td>Address (R)</td>
</tr>
<tr>
<td>f</td>
<td>Coded location qualifier (R) – Not used at Harvard</td>
</tr>
<tr>
<td>g</td>
<td>Non-coded location qualifier (R) – Not used at Harvard</td>
</tr>
<tr>
<td>h</td>
<td>Classification part (NR)</td>
</tr>
<tr>
<td>i</td>
<td>Item part (NR)</td>
</tr>
<tr>
<td>j</td>
<td>Shelving control number (NR) – Not used at Harvard</td>
</tr>
<tr>
<td>l</td>
<td>Shelving form of title of an unclassified item that is shelved by title (NR)</td>
</tr>
<tr>
<td>m</td>
<td>Call number suffix (R)</td>
</tr>
<tr>
<td>n</td>
<td>Country code (NR) – Not used at Harvard</td>
</tr>
<tr>
<td>p</td>
<td>Piece designation (NR) – Not used at Harvard</td>
</tr>
<tr>
<td>q</td>
<td>Piece physical condition (NR)</td>
</tr>
<tr>
<td>s</td>
<td>Copyright article-fee code (R) – Not used at Harvard</td>
</tr>
<tr>
<td>t</td>
<td>Copy number (NR)</td>
</tr>
<tr>
<td>x</td>
<td>Nonpublic note (R)</td>
</tr>
<tr>
<td>z</td>
<td>Public note (R)</td>
</tr>
<tr>
<td>2</td>
<td>Source of classification or shelving scheme (NR)</td>
</tr>
<tr>
<td>3</td>
<td>Materials specified (NR) – Not used at Harvard for Day 1</td>
</tr>
<tr>
<td>6</td>
<td>Linkage (NR) --System supplied</td>
</tr>
<tr>
<td>8</td>
<td>Sequence number (NR) – Not used at Harvard</td>
</tr>
</tbody>
</table>

Notes:

Indicators

The 1st indicator in the 852 field must be entered and coded correctly according to the definition of values in MARC 21 Format for Holdings Data.

Examples of correctly coded indicators and call number information:
1st indicator 0: Library of Congress classification: the indicator value does not distinguish between a Library of Congress call number assigned by the Library of Congress and one assigned locally

852 0  
 b LAW  
 c GEN  
 h KFN8926.5.P73  
 i O54 2001

1st indicator 1: Dewey Decimal classification

852 1  
 b SCH  
 c GEN  
 h 641.61  
 i J95sout

1st indicator 2: National Library of Medicine classification: the indicator value does not distinguish between a National Library of Medicine call number assigned by the National Library of Medicine and one assigned locally

852 2  
 b MED  
 c GEN  
 h WO 450  
 i D2345c 2001

1st indicator 3: Superintendent of Documents classification

852 3  
 b DOC  
 c GEN  
 h HE 20.7615:R 11

1st indicator 5: Title: when 1st indicator 5 is used, the shelving title should be entered in the subfield I of the 852 field

852 51  
 b MED  
 c GEN  
 h Journal of the American Medical Association

1st indicator 6: Shelved separately: when 1st indicator 6 is used, the 852 field 2nd indicator should be coded 0. No print display is currently generated in Aleph

852 60  
 b TOZ  
 c GEN

1st indicator 7: Source of classification scheme in subfield 2: used for local classification schemes, scheme specified by a code in subfield 2. For guidelines, see 852, Subfield 2, below
1\textsuperscript{st} indicator 8: Other scheme: used for local classification schemes other than those specified for use with 1\textsuperscript{st} indicator 7. See 852, Subfield 2, below

<table>
<thead>
<tr>
<th>Code</th>
<th>Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>Blank (no information provided)</td>
<td>Single part items</td>
</tr>
<tr>
<td>0 (not enumeration)</td>
<td>Multipart or serial items with various call numbers; use 1\textsuperscript{st} indicator 6</td>
</tr>
<tr>
<td>1 (primary enumeration)</td>
<td>Multipart or serial items that will be shelved by whatever enumeration is recorded in subfields a-f of the 853/863 field; applies to most multipart and serial items</td>
</tr>
<tr>
<td>2 (alternative enumeration)</td>
<td>Multipart or serial items that will be shelved by alternative enumeration recorded in subfields g-h of the 853/863 field; applies to subseries of classed together series</td>
</tr>
</tbody>
</table>

Examples:

852 2\textsuperscript{nd} indicator Blank

Single part, multi-part or serial — LDR/06: x, y, or y; no 853/863 fields; no information provided.
Use for single part monographs and for other material when no holdings information is provided.

Note: Records converted from HOLLIS will all have default 2\textsuperscript{nd} indicator Blank

Examples:

| 852 | 2 | ZHCL |
| b | WID |
| c | GEN |
| f | CP233.5.5 |

| 852 | 8 | b | THE |
| c | GEN |
| h | TS 106.16.9 |

| 852 | 2 | b | LAM |
| c | GEN |
| h | PS3562.A316 |
| t | ISB 1999 |

| 852 | 3 | b | DOC |
| c | GEN |
| h | LC 30.25:C 56/2000 |
852 2nd indicator 0

Multi-part or serial item – LDR/06: v or y; record includes holdings in 853/863 fields; not shelved by enumeration (e.g., classed separately)

Examples:

```
852 60 b DIV
    c GEN
    z Various call numbers
853 00 8 1
    a v.
863 40 8 1.1
    a 1-4
```

```
852 60 b MAP
    c GEN
    z Various call numbers
853 00 8 1
    a v.
    i (year)
863 40 8 1.1
    a 1-14
    i 1988-2001
```

852 2nd indicator 1

Multi-part or serial item – LDR/06: v or y; record includes holdings in 853/863; shelved by primary enumeration, for example, v. 1, v. 2, v. 3 ... (e.g., classed together sets and series, serials shelved by title, serials shelved under one call number)

Examples:

```
852 81 b BIO
    c GEN
    b Serial
853 10 8 1
    a v.
    b no.
    y 12
    v r
    i (year)
    j (month)
863 40 8 1.1
    a 6-32
    i 1986-1995
```
Multipart or serial item – LDR/06: v or y; record includes holdings in 853/863 with alternative numbering recorded in subfield g (e.g. subseries of classed together series, serial with alternative numbering scheme used for shelving purposes)

Examples:

---

**852 11**
**8** SCH
**c** GEN
**h** 301.41

**853 00**
**8** 1
**a** v.

**863 40**
**8** 1.1
**a** 1-2

---

**852 71**
**2** ZHCL
**b** WID
**c** HD
**h** AL 4187.1.21

**853 00**
**8** 1
**a** v.

**863 40**
**8** 1.1
**a** 1-2

---

**852 2nd indicator 2**

852 2nd indicator 2
Subfield Codes

Subfields b and c.

The combination of subfield b and subfield c is defined as a holdings location. These two subfields must always be present in an 852 field and are defined in Aleph as non-repeatable.

Subfield t.

Subfield t contains a copy number, e.g., 2, or a copy letter, e.g., B. Less typically, subfield t may contain a range of numbers for copies that have the same location and call number.

Example:
Subfield \textit{t} does not contain the number of copies held. The number of copies held is contained in field 008/17-19 (Number of Copies Reported).

In the 852 field, subfield \textit{t} should only be used by monograph catalogers. We need more information about the processing of serials before we can make definitive recommendations for the use of this subfield.

**Subfield \textit{x} and subfield \textit{z}.

Subfield \textit{x} and subfield \textit{z} are used for note information. These subfields should not contain information that is more appropriately carried in another MARC tag.

When referring to a sublibrary and collection, the note should not incorporate the coded form of the sublibrary, but should use the expanded form of the name as displayed in the OPAC.

Abbreviations should be taken from the AACR2 list of abbreviations.

Example:

```
852 0 b WID
c WIDLC
h CB475
f .D48
z Vol. 7, no. 4 bound with the journal under its earlier title
```

**Subfield \textit{x}**. Nonpublic note formation that does not display to the public and may be written in a form that is not adequate for public display.

Example:

Prefer specific note fields when available.

Example:

```
852 __ b WID
c GEN
z OCLC export
```

```
541 __ g Gift:
a Leavitt Hunt’s daughter, Mrs. William E. Patterson
```

**Subfield \textit{z}**. Public note information that displays to the public.

Example:

```
852 __ b WID
c GEN
z Latest in Reference; next to latest in Lamont
```
For copy and version identification notes for archival, special collection, or manuscript material prefer:

Example:

562 ___ b Signed by the author

**Subfield 2.**

Classification appearing in subfield **h** and subfield **i** is identified by the first indicator in the 852 field. When the first indicator in the 852 field is 7, a subfield **2** is used to identify the library classification scheme. The following three codes have been assigned for use in Aleph:

<table>
<thead>
<tr>
<th>CODE</th>
<th>MEANING</th>
</tr>
</thead>
<tbody>
<tr>
<td>ZHCL</td>
<td>Harvard College Library (&quot;Old Widener&quot;) classification scheme</td>
</tr>
<tr>
<td>ZTOZ</td>
<td>Tozzer Library classification scheme</td>
</tr>
<tr>
<td>ZHYL</td>
<td>Harvard-Yenching Library classification scheme</td>
</tr>
</tbody>
</table>

Additional codes must be approved and set up by the staff in OIS.

For all local classification schemes that do not have a specific code identifier, e.g., Moody classification, Olivart classification, Baker old classes, and all of the Houghton classes, use 1st indicator 8.

**856 -- Electronic location and access (R)**

The 856 will continue to be used at Harvard in the holdings record. Follow guidelines for applying content designators in the MARC 21 Holdings Format. For Harvard practice see [http://hul.harvard.edu/cmtes/haac/ssssc/heg856.htm](http://hul.harvard.edu/cmtes/haac/ssssc/heg856.htm).

**853/863, 854/864, 855/865 Fields -- Paired Fields**

For current cataloging, the use of the paired fields, 853/863 (Basic bibliographic unit), 854/864 (Supplement), and 855/865 (Index) to record holdings data is required for all non-unitary works. Indicators in these fields should be encoded to accurately reflect the data entered in the field itself.

Staff should not supply captions. Parts that do not have captions should be indicated by the convention, (*), to correlate the captions in the 853/4/5 fields with related holdings data in the 863/4/5 fields.

A list of captions to be abbreviated in the 853, 854, 855 fields can be found at: [http://www.loc.gov/acq/conser/conserhold/Captababr.html](http://www.loc.gov/acq/conser/conserhold/Captababr.html) Suggestions for additions to this list should be sent to the Continuing Resources Working Group (CRWG).

For publications that are predictable, all libraries at Harvard should encode the subfields that indicate a title’s publication pattern (subfields subfield **u**-subfield **y**). Publication pattern information is used by computer algorithms to automatically expand and compress holdings information. In addition, publication pattern information is used to support the predictive check-in function of an automated system.
Publication patterns used in Aleph must follow the standards and guidelines outlined in the MARC 21 Format for Holdings Data.

Aleph has the following caveats for creating prediction records with subfields w and y:

- Subfield w must be coded with an alphabetic value in order for Aleph to predict with subfield y coded with the value of o ("omit")
- If subfield w is coded with a numeric value, then the pattern must include subfield y coded with the value of "p" ("published")
- Aleph does not support patterns containing subfield y coded with the value of pw or ow
- Aleph does not support patterns containing subfield y coded with the value of pd or od

In addition, there are several types of publication patterns that Aleph does not currently support following the standards of the MARC 21 Format for Holdings Data. These include:

- Other than annuals, the system does not seem able to correctly create check-in records for patterns where chronology is the highest level of enumeration, e.g., biennials, monthlies, quarterlies, etc. that contain a year and/or year/month, year/season designation.
- Additionally, the system cannot correctly create check-in records for certain bimonthlies that have combined issues as well as combined chronology. The Aleph Staff Training Program’s Predictive Check-In Learner's Guide, Appendix 2 provides guidance about predicting a bimonthly based on how it is published.

These pattern problems have been reported to Ex Libris.

Staff will be alerted when Aleph can produce correct check-in with these patterns in compliance with the MARC 21 Format for Holdings Data.

Various implementations of the Aleph system at other institutions include pattern capabilities that are altered from the national format. Staff at Harvard should only input prediction patterns that adhere to the standards and guidelines of the national holdings format.

In general, consider an 853, 854, 855 field to have changed enough that a new 853, 854, 855 field should be input with a new linking number when there is a change in:

- any caption
- frequency (subfield w)
- number of parts per volume (subfield u)
- numbering continuity (subfield v)

For serial publications, changes to the publication pattern often mean that changes should be made to our CONSER record on OCLC. Notification of such changes should be sent to the HUL CONSER Office, HCL Technical Services, 625 Mass. Ave.

854/864 – Supplementary fields

The 854/864 fields are required when an item described on the bibliographic record includes supplementary material and the library owns that material. If the library does not hold the supplementary material, a note for public display should be added in the 852 subfield z.

In the MARC 21 Holdings Format glossary, supplementary material is defined as: A part of a work,
physically separate from the basic bibliographic unit and frequently in a different medium.
Examples of supplementary material are maps inside a pocket inside a book cover, an answer book
accompanying a textbook, or a booklet accompanying a compact disc.

Guidelines for recording holdings of supplementary material are provided in the MARC 21
Holdings Format. When recording holdings of single-part works with accompanying material:

- If the basic unit is a printed monograph, identify it in the 863 field as “Text”
- When recording the basic unit for non-print material prefer to identify it in terms of the
  Specific Material Designation if appropriate, otherwise use the terminology on the piece
- Record supplementary material using the Specific Material Designation or terminology
  on the piece
- Always record explicitly all separable pieces that the library owns
- If the library does not own the basic bibliographic unit, make a note to that effect in the
  subfield z of the 852 field

Examples:

<table>
<thead>
<tr>
<th>300</th>
<th>a 148 leaves :</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>b ill. (some col.) ;</td>
</tr>
<tr>
<td></td>
<td>c 29 cm. +</td>
</tr>
<tr>
<td></td>
<td>d 22 col. slides</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>852 8</th>
<th>b HUA</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>c GEN</td>
</tr>
<tr>
<td></td>
<td>d HU 92.83.915</td>
</tr>
<tr>
<td>853 03</td>
<td>a (unit)</td>
</tr>
<tr>
<td>863 41</td>
<td>a 1.1</td>
</tr>
<tr>
<td></td>
<td>a Text</td>
</tr>
<tr>
<td>864 03</td>
<td>a 1</td>
</tr>
<tr>
<td>864 41</td>
<td>a 1.1</td>
</tr>
<tr>
<td></td>
<td>a 22 slides</td>
</tr>
</tbody>
</table>

Guidelines for input of data in 854/864 subfield a:

- Do not enclose information in square brackets [ ]
- In the 854 field, use only standard AACR2 abbreviations
- In the 864 field, do not use abbreviations, except for those found on the piece; follow
capitalization guidelines given in AACR2 App. A
- Use terminology as found on the piece

866-868 – Textual fields

The textual holdings fields, 866-868, contain a textual description which may include both the
captions and enumeration and chronology for the holdings of a bibliographic item in the collection
of the reporting library.

Fields 866-868 are used only in conjunction with the 853/4/5-863/4/5 paired fields when an
alternate display is needed, e.g. when there are numerous complex holdings statements. In this
situation, the 863/4/5 fields that are not used for display should have the 2nd indicator set not to
display and the subfield 8 of the 866/7/8 field should be set to replace the suppressed paired fields.

Tags 866/867/868 should not be used independently in the current cataloging environment. In the past these fields have been used at Harvard to record summary holdings statements. In Aleph, holdings should be recorded in 853/863, 854/864, or 855/865 fields as appropriate.

Holdings statements that were recorded in the subfield h in the HOLLIS LOC field have been converted to textual holdings (866 fields) in Aleph. For active titles, library staff should reformat these holdings to 853/863 pairs.

876-878 – Item information – Not used at Harvard
Harvard libraries should record item information in the item record and not in the holdings record.

LKR – Linker
The LKR is a system-supplied field that holds the Aleph system number of the associated bibliographic record.

OWN
The OWN field contains a code which is derived from the Sublibrary code (852 field, subfield b). Login authorizations identify users that are authorized to make changes in the holdings record based on the code in the OWN field. Each holdings record contains an OWN field.

RLN
Converted Receipt Lines from HULPR Order record.