SERM Learner's Guide

Introduction to the Serial Tab
and the Manual Check-in of Serial Titles

Table of Contents

1. Layout of the Acquisitions/Serials Module-Serial Tab.................................4
   2.1 Searching by the Serials bar.......................................................................6
   2.2 Searching Using the Search Tab .................................................................7
   2.3 Pushing a Title from the Search Tab to the Serial Tab ............................8

3. The Serial Tab..................................................................................................9
   3.1 Functional and Overview Modes .................................................................9
      3.1.1 Interpreting the Overview Mode Navigation Pane ..............................10
   3.2 Control Root ...............................................................................................11
      3.2.1 The Check-In Node—Upper Pane .....................................................11
      3.2.2 The Check-In Node—Lower Pane .....................................................14
   The Group Node ...............................................................................................17

6. The Subscription Information Form............................................................17
   6.1 Creating a Subscription Information Form ..................................................19
      6.1.1 Fields Defined: Subscription Form Tab 2, Subscription Info. (1) ......22
      6.1.2 Fields Defined: Tab 3, Subscription Info.(2) .......................................23
      6.1.3 Buttons on the Subscription Form .....................................................24
      6.1.4 The Subscription List-Upper Pane ....................................................25
      6.1.5 Buttons on the Subscription List, Upper Pane .....................................26
      6.1.6 Accessing the Holdings Record from the Items/Subscription Node....26

4. How to Check In A Non-Predicted Issue.....................................................27
   4.1 Using Duplicate to Create the Next Expected Issue .................................30
      4.1.1 Editing the Expected Arrival Date.....................................................33
      4.1.2 Changing the Expected Arrival Date ................................................35
      4.1.3 Number of Days in the First Claim Field of the Subscription Form ..35
   4.2 Editing Issues on the Check-In List ..........................................................35
4.3 Deleting Issues

5. Processing a New Serial Title without Prediction
   5.1 Workflows to Process a New Serial Title without using Aleph Prediction
      5.1.1 Processing a New Serial Title: Search and Discovery

7. Updating the Holdings Record
   7.1 Updating the Holdings Record for a New Serial Title
   7.2 Moving the Title from Cataloging to the Serial Tab

8. First Issue Check-In of an Item Without using Prediction
   8.1 Creation of First Nonpredicted Item – No Temporary Location
   8.2 Creation of First Nonpredicted Item-Temporary Location

9. Adding an Unexpected Supplement or Index
   9.1 Adding or Editing an 854 or 855 Tag to the Holdings Record
   9.2 Adding an 864 or 865 field
   9.3 Supplement or Index Check in Options
   9.4 Checking-In an Unexpected Supplement or Index on the Check-In List
      9.4.1 Sorting for supplements and indexes

10. Claiming Serial Titles
    10.1 Setting the Claim Date for Serial Issues
    10.2 How to View Serial Issue Claims
    10.3 Methods of Claiming Serial Issues
    10.4 Aleph Records Required for Serial Issue Claiming
    10.5 Claim Report for Serial Issues
       10.5.1 How to Print the Claim Report for Serial Issues
       10.5.2 Issues Included on the Claim Report for Serial Issues
       10.5.3 How to Process the Claim Report for Serial Issues
    10.6 Registering A Vendor's Reply to A Claim
    10.7 Arriving a Claimed Issue
    10.8 Deleting Claims in the Serial Tab

11. The Subscription Root
    11.1 Subscription Log Node
       11.1.1 When to Add an Action Date in the Log
       11.1.1 Adding Notes to the Subscription Log
       11.1.2 Changing or Deleting Action Dates or Log Entries
       11.1.3 Order/Subscription Log Report
       11.1.4 How to Print the Report
    11.2 Items Node

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1. Layout of the Acquisitions/Serials Module-Serial Tab

**Title Bar:** Name of Module, Library and Server Information

**Menu Bar:** Main menu options

**Serials bar:** Search results from searches performed in the serial bar will display on the Serial Tab. The serial bar works with the serial tab.

**Full Screen icon ( )**: To the right of the Serial Bar is the Full Screen icon used to make window panes in the Search Tab larger. Note that this icon is grayed out in the Serial Tab and can only be used in the Search Tab.

**Order bar:** Enter a search here and the results will display on the Order Tab. The order bar works with the order tab.

**Clear Order/Serials icon ( )**: This icon is found to the right of the Order Bar and can be used to clear off an order from the Order Tab or a serial title from the Serial Tab. Note that if an order or serial is cleared before complete, the data will be lost.

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Invoice bar: Search for an existing invoice by vendor code and invoice number, or to create a new invoice by entering a vendor code and invoice number information. The invoice bar works with the invoice tab.

Clear Invoice icon: This icon is found to the right of the Invoice Bar and can be used to clear off an invoice from the Invoice Tab. Note that clearing an invoice before saving it will lose data.

Upper Pane: Displays search options or records in lists

Horizontal Split Bar: Resize the upper or lower pane by moving this bar. Pane size selections will remain persistent until manually changed

Lower Pane: Displays information about whatever is highlighted in the Upper Pane

Operations Bar: Contains icons that open another module such as Cataloging or Circulation

Opens Module, Does not Push: Note that the Operations bar opens an Aleph module it does not push a record so that it displays in another module

Other icons on the Operations Bar: The bar also displays the icons used to change a password and to close Aleph completely:

Vertical Split Bar: Resize the navigation pane by moving this bar. Pane size remains persistent until manually changed

Navigation Pane: Lists functions available on a particular tab and consists of Roots (higher level) and Nodes (lower levels)

Root: Specific function on a tab

Nodes: Individual function below the Root

Main Tabs: Tabs that indicate specific functional areas within a module. In Acquisitions, there are six tabs:

- **Order tab**: Place orders and record monograph and standing order arrivals and claims

- **Invoice Tab**: Review and/or create invoice information

- **Administration Tab**: View master vendor records and create order unit vendor records. Search and view budget records. Print acquisitions and serials print products via the print daemon

- **Order Index Tab**: Search for existing orders

- **Serial Tab**: Process serials receipts and claims

- **Search Tab**: Search for bibliographic records

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2. Locating Serials Titles

Locate serials information using the Serials Bar or the Search Tab.

2.1 Searching by the Serials bar

Note that the icon to the left of the serial bar matches the icon on the Serial Tab. This means that searches performed in the Serials Bar will display results in the Serial Tab.

Use the Serials Bar to locate serials by selecting one of the indices from the drop down menu: BIB Sys No., ADM Sys. No., BIB Title, BIB Author, BIB ISSN, Barcode and SICI Barcode (note that SICI barcode is not at use at Harvard).

The following is an example of a search for a title’s ISSN:

1. Select BIB ISSN from the drop down menu in the serial bar
2. Enter the ISSN in the second field
3. Click the blue right arrow button or type the <Enter> key

Note that complete numbers, authors, words or titles must be entered in the serial bar. The serial bar will only support truncation if truncation characters are used, e.g., Harvard La?

When the system locates a record, the serial tab will open and the check-in list will display in the Upper Pane. The BIB no, SYS No, and author and title information about the record will display in the serial bar.

If a search retrieves more than one result using the Serial Bar, the system will display a dialog box that says multiple entries have been found and then gives the option to see the results:

Click Yes to open the Search Tab in the Show Node. The records will display in the Brief List in the Upper Pane. Details about first record highlighted in the Full + Link display will show on the Lower Pane:
2.2 **Searching Using the Search Tab**

The Search Tab allows users to search a wide variety of indices by Find or Browse:

- Click on the Search Tab and choose either a find or browse search
- The Brief List and Full + Link display will appear in the Upper and Lower panes respectively when the Show Node opens
- Locate a record and then click the Serial Tab button to open and display the Check-In List
2.3 **Pushing a Title from the Search Tab to the Serial Tab**

Click on the right and left arrow keys to the right of the Full + Link display to move through a set of records. Click on the Serial Tab button located to the right of the Full + Link display to move or “push” the title from the Search Tab into the Serial Tab.
3. The Serial Tab

The Navigation Pane on the left hand side of the Serial Tab displays the functions that can be performed on this tab:

Serial Tab Navigation Pane

The Pane consists of two modes. Below the modes are the pane’s Roots and Nodes. Roots are the words in bold and define a specific part of the pane. The Nodes are functions that correspond to the Root that they appear under.

3.1 Functional and Overview Modes

- The Functional radio button is selected by default when the serial tab is opened and displays the functions on the Serial Tab
The Overview Mode displays the bibliographic, holdings, item, and order information. Use the buttons on the right-hand side of the screen to push a title to another module such as Cataloging, Items or Circulation.

3.1.1 Interpreting the Overview Mode Navigation Pane

- **HVD01-[Aleph system number]**: Displays bibliographic, holdings and call number information in the center pane.

- **OBJECTS**: Beneath HVD01, you will see a pyramid icon. This represents the Aleph Digital Assets Module, or ADAM which is not in use at Harvard.

- **HVD60**: Displays the holdings records associated with the title. Beneath the holdings record is Barcode information for any item records that are linked to the holdings record.

- **HVD50**: Displays administrative data including Orders, Subscriptions, Items not linked to holdings, and Loans made on the title.

- The buttons on the right hand side of the Overview “push” or move the title from the Serial Tab to another part of Aleph. The buttons on the right are:
  - **Catalog Record button**: Click on the Catalog Record Button to the bibliographic record will be displayed in the Upper Pane.
To go directly to a holdings record in the records tab of the cataloging module, highlight a holdings record on the Navigation Pane under HVD60 on the left hand side of the Overview Node and then click on the Catalog Record button

- **Items Tab button**: Click on the Items Tab button to open the record in the Items tab of the Cataloging module
- **Circulation**: Click on this button to push the record to the Items Tab in Circulation.
- **ILL**: The ILL module is not in use at Harvard
- **Order Tab**: Click on this button to push the record to the Order Tab in the Acquisitions/Serials module
- **Serial Tab**: Click this button to return to the Functional Node on the Serial Tab
- **Push to Search**: Click this button to view the title in the search tab of the Acquisitions/Serials module

### 3.2 Control Root

The Control Root displays the list of sublibraries at Harvard. The purpose of this screen is to allow users to select the sublibraries that are authorized to check-in serials at. Since staff check-in privileges are set by logins, this screen is not in use at Harvard.

The Control Root contains two nodes: Check-In and Group.

#### 3.2.1 The Check-In Node—Upper Pane

The check in node automatically opens when a title opens in the serial tab. The Check-In node displays two tabs in the Upper Pane: **All** and **Expected, Not Arrived**.

Users see the **All** tab by default. This tab contains the list of items with all statuses (Not Arrived, Arrived, Claimed, etc.) that are associated with title. Note that the only items that display on this screen are items that have a material type beginning with ISS.

![Check-In Node, Upper Pane: All Tab](image-url)

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The Expected, Not Arrived tab will only display those items that have not yet arrived. The tab will also display items that have been claimed.

The columns on the Check-In Node are configurable by right-clicking on the gray part of any column heading. The following column choices are available on the Check-In Node:

- **Item Seq.**: Contains the barcode sequence number
- **Subn Seq.**: Contains the Subscription Sequence Number that the item is linked to
- **Hol**: Displays the holdings record number to which the item is linked
- **Hol+**: Displays the holdings record number, sublibrary code, collection code and call number to which the item is linked
- **Sublib**: Contains the full library name of the owning sublibrary
- **Sublib Code**: Contains the three-letter code of the owning sublibrary
- **Coll**: Displays the full name of the collection (except for GEN, which will display as blank)
- **Coll. Code**: Displays the three-letter collection code
- **Temp loc**: If an item has a temporary location associated with it, a checkmark will display in this column
- **Call Number**: Displays the call number
- **Descr**: Displays piece level information (e.g. v.1:no.1 (2004: Jan.)
- **Pages**: Displays the pages of a continuously numbered periodical if the staff person populated that field with the data in the Item Record
- **Copy No.**: Displays the copy number in the Copy ID field
- **Barcode**: Displays the barcode of the item
• **Notes:** If there are any notes in the OPAC Note, Circ Note or Internal field on the Item Record, the Notes column will display a checkmark.

• **Loans:** Displays the number of loans that have been made on the issue. If the issue is currently out on loan, an asterisk will display next to the number of loans.

• **Item Stat:** Displays the item status.

• **Item stat. code:** Displays the numerical value of the Item Status.

• **Exp. Arrival:** Displays the Expected Arrival Date of the item.

• **Arrival:** Displays the Arrival date of the item. If the item has not yet arrived, there will be a dashed line (------) in the column.

• **Claim:** Displays the date a claim was sent.

• **Vendor:** Displays the Vendor code.

• **Enum-a:** Displays whatever data is included in the Enum. A field on the Serials Levels tab found in the Lower Pane.

• **Call number 2:** Not in use at Harvard.

• **Direct:** Not in use at Harvard.

**Upper Pane Buttons:**

• **Select:** Highlight an issue that has not yet arrived and click this button, the Check-In List will gray out, and you will see that the focus has shifted to the Lower Pane and Tab 2, the Arrival Form is displaying on your screen to begin the Arrival process.

• **Unarrive:** This button will undo an Arrival if you processed it by mistake.

• **Claim:** The Claim button will bring up a Claim List window where you can process a new claim or edit or delete an existing claim.

• **Delete:** The delete button will delete the item that is highlighted on the Check-In List. The system will ask you to confirm that you want to delete the item. You must have authorization in your login to delete items, and the item will not delete if it is currently on loan. Note that you can also delete multiple issues from the Check-In Node; see the SERM Learner’s Guide for more information about this.

• **Add:** This button will allow you to add an arrival such as the unexpected arrival of a supplement or index. **Please note that you should not use the Add button on the check-in list to Add the first item of a non predicted title.** The reason for this is because the Arrival Form does not contain all of the fields of the Item Record and this could affect the system’s ability to accurately claim a nonpredicted title.

• **Duplicate:** This button is used to duplicate an issue on the check-in list. For issues added without prediction, this button is used to create the next expected item (see section 5.1).
3.2.2 The Check-In Node—Lower Pane

The Lower Pane contains a three-tab display of information about an item and the Arrival Form for the item that is highlighted in the Upper Pane.

**Tab 1** displays brief bibliographic and a view of the item information.

![Figure 13: Check-In Node, Lower Pane, Tab 1: Info List](image)

**Tab 2** contains the first screen of the Arrival Form. The Arrival Form contains information such as sublibrary and collection information, holdings link, item status and item processing status, Issue Date and Expected Arrival Date information.

![Figure 14: Check-In Node, Lower Pane, Tab 2: Arrival Form](image)

**Fields on the Arrival Form, Tab 2:**

- **Check-In Note**: If your library entered check-in note information on the Subscription Form, that information will display here.

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• **Description:** Piece Level information that displays to the public. Usually identifies the volume, no., year, etc. of the particular issue. Note that you cannot edit the Description Field from this tab; you will need to go to tab 3 to edit Description Information.

• **Arrival Date:** Will contain the date of arrival when the piece is checked in.

• **Sublibrary:** Sublibrary code

• **Collection:** Collection code

• **HOL Link:** Link to the holdings record number.

• **Pages:** Optional field. If the title has continuous number, you can input the page numbers of this particular issue. Note that this information is internal only; it does not display to the public.

• **Call Number:** The first box will indicate the call number scheme being used to classify the title, if any. The second box contains the call number. If the piece is linked to a holdings, this information comes from the holdings record.

• **2nd Call Number:** Fields not in use at Harvard.

• **OPAC Note:** You can add a note about this particular issue that will display to the public.

• **Internal Note:** If you are predicting a title, then this note will display any information you put in the Note field on the Subscription Form. If you are not predicting, then a staff note can be entered into this field.

• **Barcode:** The barcode for the piece (can be physical or system-generated barcode). Most serial issues will use the system-generated barcode until they are bound. Staff will then replace the system-generated barcode with a physical barcode for the bound volume.

• **Item Status:** The circulation policy for this item.

• **Item Process Status:** If the issue is not yet arrived, this field will have the status of NA for Not Arrived. If the item is claimed, then this field will have the status of CL. If the piece has arrived and is sent to the Harvard Depository, then this field will have the status of HD. If the piece has arrived and is not being sent to the Harvard Depository, then the field will be blank. The status of the piece will then be determined by the Item Status field.

• **85X Type:** A 3 in this field means that you are checking in a regular issue. A 4 in this field means that you are checking in a supplement, a 5 in this field means you are checking in an index. For more information about how these links work, see section 8.1.

• **85X Link:** The $$8 value from the 853, 854, or 855 field from the holdings record that this item is linked to will display in this field. See section 9 for more information.

• **Gap Indicator:** Not in use at Harvard.

• **Material Type:** this field contains the material type code representing the physical piece you are checking in. Only Material Types beginning with ISS can be viewed in the Check-In Node. The material type codes available for serial issues are:

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ISSUE – used for regular serial issues
ISSCD – used for serial CD-ROMs
ISSLL – used for serial Looseleafs
ISSMF – used for serial microforms
ISSPP – used for serial pocket parts
ISSBD – used for bound serial volumes

- **Temp Loc:** If you are predicting issues and set Temporary Location in the Subscription Record, this box will be checked off. If you are not predicting, then you will have to check this box off, and then change the collection to the appropriate temporary location. For more information about setting temporary location, see section {…}.

- **Issue Date:** Used to set the expected arrival date of the piece. For more information about this field, see section 8.1.

- **Expected Arrival Date:** The Expected Arrival Date of the issue. If the issue does not arrive by the date, a claim report will be generated for the issue.

**Tab 3** contains Serial Levels Information that shows the enumeration and chronology, as well as the description field.

![Figure 15: Check-In Node, Lower Pane, Tab 3: Serial Levels](image)

The fields on Tab 3:

- **Enum.Level.1(A) (Vol):** Used for recording the highest level of enumeration for a serial or multiple volume work.

- **Chron.Level.1(I)(Year):** Used for recording the highest level of chronology for a serial or multiple volume work.

- **Enum.Level.2 (B):** Used for recording the second level of enumeration for a serial or multiple volume work.
• **Chron. Level.2 (J)**: Used for recording the second level of chronology for a serial or multiple volume work.

• **Enum.Level.3 (C)**: Used for recording the third level of enumeration for a serial or multiple volume work.

• **Chron.Level.3 (K)**: Used for recording the third level of chronology for a serial or multiple volume work.

• **Enum.Level.4 (D)**: Used for recording the fourth level of enumeration for a serial or multiple volume work.

• **Chron.Level.4 (L)**: Used for recording the fourth level of chronology for a serial or multiple volume work.

• **Enum.Level.5 (E)**: Used for recording the fifth level of enumeration for a serial or multiple volume work.

• **Enum.Level.6 (F)**: Used for recording the sixth level of enumeration for a serial or multiple volume work.

• **Alt.Chron.(M)**: Used for recording the highest alternate chronology for a serial or multiple volume work.

• **Alt.Enum.1 (G)**: Used for recording the highest alternate enumeration for a serial or multiple volume work.

• **Alt.Enum.2 (H)**: Used for recording the second alternate enumeration for a serial or multiple volume work.

• **Supp.Index (O)**: Used for recording the title of a supplement or index.

• **Description**: Piece Level information that displays to the public. Usually identifies the volume, no., year, etc. of the particular issue. You can edit description information that will display to the public in this field.

**The Group Node**

Beneath the Check-In Node on the Navigation Pane is the Group Node. The Group node is used to check in multiple copies of the same issue all at once. Since most libraries only have one subscription to a title, this is not a useful node. Even if you do own more than one copy of a title, it is recommended **NOT use the Group Node in Serials**. The way that the Group Node is organized is based on the way that other Aleph customers, outside of Harvard, process serial issues. It does not provide enough information to adequately process an arrival. It is therefore not used at Harvard.

6. The Subscription Information Form

Now that we have determined that this is a new order, we will now review the order and create a subscription information form.

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1. From the **Overview Node**, click on the **Order Tab button** on the right hand side, or press the F2 function key to open the **Order Tab**.

![Order Tab](image)

**Figure 34: Order Tab, Serial Order**

If you highlight your library’s order in the Upper Pane, you will be able to see more information about that order in the Lower Pane.

On **Tab 1** of the Lower Pane, you will be able to see **Library Note** information. Sometimes this will contain valuable processing instructions for the first issue. In this case, our example says “Show first piece to Supervisor.” The Supervisor will determine if the piece will be predicted or will be checked in without prediction.

For this guide, the title will be checked in without prediction.

The next step in the process is to create the Subscription Information Form for this title. This step must precede check-in of the title.

**The role of the subscription information form:**

- The form contains serial order information including vendor and order number. This information is used by the system for claiming serial issues that is checked in on the Serial Tab.

- The **Subscription Information Form** also contains the claims interval, which is also carried over from the **Serials Order Record**, which is turn gets this information from the **Aleph Vendor Record**. You have the option of changing the number of days in this field.

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• The **Subscription Information Form** has an additional role to play in predictive check-in, which will be covered in the *SERP* class.

Each sublibrary should have one Subscription Information Form per copy. This means that if the library owns two copies of a serial title, there should be two subscriptions, one for each copy.

We will now proceed with the creation of a **Subscription**

### 6.1 Creating a Subscription Information Form

Aleph provides two places to create the **Subscription Information form**:

- **The Order Tab**
- **The Serial Tab**

When creating a new subscription, the recommendation is to create the form in the **Order Tab**, _NOT_ in the **Serial Tab**. The reason for this is because the Aleph will add important order data from the **Serial Order** to your **Subscription Information Form** when you create it in the **Order Tab**. Aleph will _NOT_ add this data when you create the subscription in the **Serial Tab**. Thus, for accuracy and to save typing, we will create our subscriptions in the **Order Tab**.

To create a new **Subscription Information Form**:

1. **Highlight your order on the Order List**

2. **From the Navigation Pane on the left hand side, click on Items/Subscriptions or press the <Ctrl>+<Alt>+I keys.** Since we have highlighted a Serial Order, the system will open up a **Subscription List** in the Upper Pane and a **Subscription Information Form** in the Lower Pane. If there are no subscriptions associated with your title, the list will be blank and form will be grayed out.

![Image of items/subscription node](image)

**Figure 35: Items/Subscription Node**

3. **On the right hand side of the Subscription List, click Add.** The Lower Pane will open to **Tab 2, Subscription Info (1)**:

    - **To add a new subscription, click the Add button**

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You will see that many of the fields on the form have already been filled in for you. This is because we are creating the form from the Order Tab, and the system has brought over many fields from the order form into the subscription form. The fields that will be populated on the subscription form from the item form include:

<table>
<thead>
<tr>
<th>Serial Order Record</th>
<th>Subscription Information Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sublibrary</td>
<td>Sublibrary</td>
</tr>
<tr>
<td>Vendor Code</td>
<td>Vendor Code</td>
</tr>
<tr>
<td>Order Number 1</td>
<td>Order Number</td>
</tr>
<tr>
<td>Vendor Reference</td>
<td>Vendor Order Number</td>
</tr>
<tr>
<td>Subscription Start</td>
<td>From Date</td>
</tr>
<tr>
<td>Subscription End</td>
<td>To Date</td>
</tr>
</tbody>
</table>

4. Fill in the following fields on the **Tab 2, Subscription Info (1) Tab**:

- **Item Status**: select the correct item status for your title

- **HOL Link**: click on the drop down arrow and double click on your library’s holdings record.

5. Click the **Refresh** button. The collection, call number type and call number, if any, will come into the Subscription Info (1) Tab.
Optional: Add Temporary Location by checking off the Temp. Location Box and then selecting the temporary location collection from the collection list. Note that if you select Temporary Location, you will need to follow a slightly different workflow when you check in the first nonpredicted item. See section 8.2 for the workflow.

6. Click to Tab 3, Serial Info. (2)

7. Fill in the following fields:

- **First claim**: change if the number of days is not appropriate for your piece.

- **Second Claim, Third Claim and Subsequent Claims**

- **Optional**: Note field

- **Check-In Note field**

- **Copy ID field**

- **Optional**: Remote Storage ID field (if issues are going to be sent to the Harvard Depository).
6. Click the **Add** button to add the subscription. You will see the Subscription appear in the Subscription List in the Upper Pane.

### 6.1.1 Fields Defined: Subscription Form Tab 2, Subscription Info. (1)

- **Sublibrary**: Your library code, carried over from the Serial Order

- **From Date** and **To Date**: These are the same dates seen on the **Serials Order Record**, in the **Subscription Start** and **Subscription End** fields. Confirm that these dates are correct.

- **Item Status**: This is the circulation policy for your title. Select the appropriate status by clicking on the arrow and choosing it from the list. The list of item statuses you will see depends on the Sublibrary code indicated in the **Sublibrary** field.

- **Collection**: Collection where the title exists in your library. When we link the subscription to the holdings record, the collection field will automatically be populated with collection information.

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**Revised: January 29, 2009**
• **Call Number Type** and **Call Number**: Call number type is the classification scheme used for the call number. Both of these fields come from the **holdings record** when we link the subscription to the holdings information.

• **Temporary Location**: This box currently only has functionality for predictive check-in. Setting a temporary location for items checked-without prediction must be set item-by-item. See section 8.2 for information on how to set a **Temporary Location** in the **Item Record**.

• **2nd Call Number Type** and **2nd Call Number**: Will be blank and is not used at Harvard.

• **Vendor Code**: The vendor code from the order record

• **Order No.** This is the Aleph Order number for the Serials Order. This appears as **Order Number 1** in the **Serials Order Record**. This field links the **Subscription Information Form** to the **Serials Order Record**.

• **Vendor Order No.** This field will contain the **Vendor Reference** field information from the **Serials Order Record, if the record had this information.**

• **Delivery Type**: This also comes over from the **Serials Order Record**. Delivery Type will indicate how this piece is delivered to your library. "S" indicates surface mail, "A" indicates airmail, etc.

• **HOL Link**: We will link the **Subscription Information Form** to the sublibrary's **holdings record** in the next step. Once this link is entered, **Sublibrary, Collection, Call Number Type** and **Call Number** information all fill in from the holdings Record.

### 6.1.2 Fields Defined: Tab 3, Subscription Info.(2)

• **Patron ID** and **Deliver Directly**: These fields would be used if you were sending the serial directly to a user. It will not be used at Harvard, as inputting a user's ID in this field prevents the library from checking in the title.

• **Print Label**: This label produces a half-page printout with some bibliographic information about the title, or the equivalent of an Arrival Slip. It is not used to generate spine labels for serials. Do not check off the box

• **Send Claims**: This box is used by the system to determine whether or not you want the system to automatically generate claim letters or if you will evaluate the claim report on a title by title basis. No matter what you select here, your library can still request and receive the serial issues claim report; see section 10. You will find three values in this box:

  • **Yes**: This means you wish to batch claim letters for this title, meaning that the system will produce a claim letter automatically if the issue does not arrive by its Expected Arrival Date.

  • **No**: When this box is checked off, this means that you will send a claim title by title in Aleph following the process outlined in section 11.

  • **Irregular**: This field has the same value as No. It can be used by libraries to identify those titles that they are not checking in via prediction. It may be possible to generate a report from this field at some point in the future.

Revised: January 29, 2009
- **First Claim:** For new subscriptions, the value in this field will come from the Delivery Delay Field of the Aleph Vendor Record (see the ACQP class for more information). The number of days in this field is what is used by Aleph to set an Expected Arrival Date for anticipated items. You will need to know the number of days in this field in order to accurately set your items with an expected date so the system can track them for claiming. You can change this value by simply typing in whatever number of days you feel is appropriate between issues.

- **Second, Third and Subsequent Claim:** These fields record the period of time that elapse between claims for serial titles in Aleph. For example, the second claim date represents the number of days after the first claim that the second claim should be sent to the vendor. The third claim date is the number of days after the second claim date that the third claim should be sent to the vendor, etc. For more information about how these fields are used, see section 10.5.1.
  - If the Send claims box is checked off, you must supply the system values in the second, third and fourth claim fields. The number of days in each of these fields can be changed to reflect how often you wish to claim your title in Aleph.

- **Discard Routine:** This field can be used to note a discard routine used for this subscription, as selected from the pull-down menu. For example, if you keep the print version of this title until the microfilm arrives, this field can be coded to indicate that situation. You could then use a reporting tool to get a list of titles that have this discard routine. This field is for optional and is intended for information only; there is no functionality associated with it.

- **Note:** You may enter a note for the library staff. This is an internal note. If predicting issues, the system will add the contents of this field to the Internal Note field on the Arrival Form. **The system will not add the contents of this field when checking in issues without prediction.** Therefore, put information required by staff for the processing of the title into the Check-In Note field.

- **Check-in Note:** This note contains check-in and processing information for serials receipts.

- **Item Statistic:** Local reporting or statistical information can be entered into this field. This is a local library policy decision as to how this field will be used.

- **Copy ID:** Denote the specific copy of the title here (even if it is copy number 1). For predicted titles, this copy ID will carry forward to items checked in.

- **Remote Storage ID:** For predicted items, selecting HDEP from the dropdown list will indicate that all issues are to be sent to the Harvard Depository.

### 6.1.3 Buttons on the Subscription Form

There are four buttons on the right hand side of the Subscription Form:

- **Add:** Adds the new subscription

- **Set as Default:** You can save the information you added for the claim fields, note information, item status, etc. as defaults that will always be filled in when you create a new subscription. If you wish to clear subscription defaults, select the ALEPH menu, then click on Delete Subscription Defaults.

- **Refresh:** Will refresh information from the holdings record.

Revised: January 29, 2009
• **Cancel**: Will cancel the creation of this form if the button is pressed before the Add button.

### 6.1.4 The Subscription List-Upper Pane

**Column Heading Configuration**: To see all column headings associated with the Subscription List, point your mouse next to one of the words on the column list (such as "Seq.") and right-click. You will get a header configuration box that will allow you to add or subtract columns on the list.

![Header Configuration](image)

**Figure 40: Subscription List Column Headings**

The column headings available:

- **Seq.**: This is the **Subscription Sequence Number**. The subscription sequence number should match the sequence number found in Order Number 1 of the **Serials Order Record** in Aleph (in other words, the suffix of the order number). Staff will link the sequence number to the item record when a title is checked in without prediction.

- **Sub-lib**: The sublibrary owning the subscription.

- **Call No.**: The call number from the **HOL record**

- **Vendor**: The vendor associated with the library's subscription.

- **From**: The start date of the subscription.

- **To**: The date the subscription is going to end. This is an open ended-date, the recommended practice is to give all currently received serials titles the date of 12/31/2099. When a title ceases, changes title or is canceled by the library, the library should change this date to reflect the date that it is no longer receiving issues.

- **HOL No**: This is the holdings record number that is linked to the Subscription.

- **Direct Delivery**: Not in use at Harvard

Revised: January 29, 2009
6.1.5 Buttons on the Subscription List, Upper Pane

- **Delete**: Used to delete a subscription. All items that have been created and/or checked in that are attached to the subscription must be deleted or unlinked from the subscription before you can delete a subscription.
- **Add**: Used to add a new subscription.
- **Duplicate**: Used to duplicate an existing subscription.
- **Print**: Used to print out the Subscription Form
- **Open All**: Used to open up a set of predicted issues. This button will be explained more in the SERP class.

6.1.6 Accessing the Holdings Record from the Items/Subscription Node

Now that we have created the Subscription Form, we need to update information in the holdings record.

To access the holdings record:

1. Click on **Tab 4, HOL links**, on the Lower Pane. This will open up a Holdings List, and you will see that your library's subscription is linked to the holdings by the appearance of a red checkmark.

![Figure 41: Subscription Form Tab 4, HOL Links](image)

To update the holdings record, click the **Edit** button on the right hand side. The Cataloging Module will open up to the Records Tab, and your holdings record will appear in the Upper Pane.

Revised: January 29, 2009
4. How to Check In A Non-Predicted Issue

Most serial work focuses on checking in an issue that has arrived in the mail or other delivery method. This lesson will demonstrate the recommended workflow for checking in an issue without using prediction. The issue we are about to check-in has all of the following components in place:

- A bibliographic record
- A holdings record with an 853 tag containing basic enumeration and chronology data
- A serial order record
- A subscription record
- An item record with the item processing status of “NA”, not arrived

The next lesson will explain how each of the component pieces mentioned above is created in order to check in a new serial title without prediction for the first time.

When you check in an issue without using prediction, you need to do two things:

1. Check in the piece in hand
2. Create an item for the next anticipated issue

The reason you need to do this is because Aleph must have an item to track the title in the system. This is primarily used for claiming issues. If there is no item with an Expected Arrival Date in Aleph, the system will not track the issue for claiming.

Revised: January 29, 2009
To Check In an Issue

1. **Search title** using Serials Bar or push title from Search Tab into Serials. You will be brought to the check-in list:

![Check-In List](image1)

Aleph does not provide you with any information that the title is being predicted or not predicted on the **Serial Tab**. The most reliable way to determine this is to look at the barcode display on the **Check-In List**.

If the title is *predicted*, then the barcode will contain a **suffix**

![Predicted Issue: Barcode contains suffix](image2)

If the title is not predicted, then the barcode will not include a suffix:

![Suffix Example](image3)
In our example, the barcode does not contain a suffix, so the title is not being predicted.

2. With the issue highlighted in the Upper Pane, click the Select button. The upper pane will change to gray and the lower pane will open to Tab 2, the Arrival Form

3. Check the Arrival Form to confirm that the data is correct:
   - Follow any processing instructions that you see on the Check-In Note
   - Check that the Description Field matches the enumeration and chronology on your piece. If you need to make changes, see section 4.2.
   - Check that the Sublibrary and Collection are correct
   - Check that the Item Process Status field is blank, unless the issue is being sent to the Harvard Depository. If it is being sent to the Depository, check that the field says HD.
   - Check that the material type is correct

Revised: January 29, 2009
If necessary, add Temp Location by checking off the Temp Location box and then changing the Collection field.

4. If everything is correct click **Arrive** or press the <Alt> + R keys. The issue will be checked in; you can see the **Arrival Date** in the **Arrival** column in the Upper Pane.

![Figure 20: Arrived Issue](image)

If you had started check-in on the **Expected, Not Arrived** Tab, the issue would disappear from this tab, because it has now arrived. To see the issue, click on the **All** Tab.

You now need to duplicate this item to create the next expected issue.

### 4.1 Using Duplicate to Create the Next Expected Issue

To create the item for the next expected issue:

1. Click the **Duplicate button** on the Upper Pane, or press the <Alt> + L keys. The Lower Pane will be in focus and Tab 2, the Arrival Form will be opened.
2. On Tab 2, add the following information:

- **Item Process Status**: Set to NA, “Not Arrived”

- **Change the date in the Issue Date field to today’s date** by clicking in the field and typing in the date. You can also select the date by clicking on the right arrow. A calendar will appear and you can set the calendar to today’s date.
Figure 22: NA Item Process Status and Issue Date Fields Changed

Note that you cannot change the Description Field from Tab 2. You will change this information on Tab 3.

3. Click to Tab 3 or press the <Alt>+3 keys to bring up **Serial Levels**. The enumeration, chronology and description fields from the item you just checked in will display.

4. Change the appropriate values in the Enum and Chron fields to reflect the next expected issue. In this case, we will change the **Enum.Level.2** (B) field from 2 to 3, and the **Chron.Level.2** (J) field to 11, for November.

5. Delete the **Description field**. Aleph will populate the Description field with the correct enumeration and chronology for the issue after you click the **Add** button.

6. **Click Add**. The next expected item will appear in the Upper Pane with an **Expected Arrival Date** that has been calculated by the system based on the following formula: Date in **Issue Date** field of the Arrival Form + the number of days found in the **First Claim** field of the Subscription Information Form. For more information, see section 4.1.1.
4.1.1 Editing the Expected Arrival Date

As mentioned in the previous section, the Expected Arrival Date for our duplicated item was calculated based on the Issue Date in the Arrival Form + the number of days found in the First Claim Field of the Subscription Information Form.

The Issue Date field is found on Tab 2 of the Arrival Form. When we duplicated the issue we checked in to create the next expected issue, we changed the Issue Date field to today’s date.

Aleph will then add to today’s date the number of days found in the First Claim field of the Subscription Information form. The number of days in the First Claim field represents the claim interval between the piece you checked in today and when you anticipate to get the next expected piece.

To see the number of days in the First Claim field:

1. From the Navigation Pane, click on the Subscription List. This will open up the Subscription List Root, which will display all of the libraries that have subscriptions for this title.
2. Highlight your library’s subscription in the Upper Pane and click on Tab 3, Subscription Info 2 Tab, in the Lower Pane. Here is where you will see the First Claim field and the number of days that has been entered in the field.
4.1.2 Changing the Expected Arrival Date

If you wish to change the Expected Arrival Date on the piece you just created, follow these steps:

1. Bring up the **Check-In Node** and highlight the issue.
2. In the Lower Pane, click to Tab 2 and change the date in the **Expected Arrival Date** field.
3. Click the **Update** button on the right hand side of the Arrival Form.

4.1.3 Number of Days in the First Claim Field of the Subscription Form

If you want to permanently change the number of days that will be used to calculate the **Expected Arrival Date** of all future issues, you will need to change the number of days found on Tab 3 of the **Subscription Information Form**. See section 6.1 for more information on how to change this value.

4.2 Editing Issues on the Check-In List

Let’s say that the issue you received was slightly different than what you had expected (for example, issue 3 arrived as issue 3/4). Here’s how to edit issues on the **Check-In List**:

1. From the **Check-In List**, highlight the issue you wish to edit. The **Arrival Form** for the issue will display in the Lower Pane.
2. On the Lower Pane, click to **Tab 3**. Change the following fields:
   - **Enum.Level.2(B)**: change from 3 to 3/4
   - **Chron.Level.2(J)**: change to appropriate months or seasons.
   - Delete the text in the **Description Field**.

![Figure 27: Serial Levels Tab 3-Change in Enum, Chron Fields; deleted Description Field.](image)

3. Click **Update** to save the changes. This will return you to the **Check-In List**.

Revised: January 29, 2009
4.3 Deleting Issues

1. Highlight the issue you wish to delete and click the Delete button. Note: you must have authorization in your login to delete items. If the item is out on loan, you will not be able to delete it. You will be asked to confirm that you wish to delete the record.

2. Click Yes and the item will be deleted.

If you wish to delete selected items, highlight the first issue you wish to delete, hold down the <Shift> key on your keyboard and select the last issue you wish to delete. Then click the Delete button.

Note that you will not be able to delete an issue if it is on loan. Note that when you use the Delete button, there is no way to retrieve the item after it has been deleted. Any loan history will also be deleted.
5. Processing a New Serial Title without Prediction

The previous section focused on the normal processing of currently received serial titles. The title had all of the component records in place prior to check-in, thus making it possible to simply process the issue in hand.

Sections 5-8 of this guide will focus on the creation and editing of the component records needed to set up a serial title to be checked in without using Aleph’s predictive functionality.

The component records are:

- A bibliographic record
- A holdings record with an 853 tag containing basic enumeration and chronology data
- A serial order record
- A subscription record
- An item record with the item processing status of “NA”, not arrived

In this section, we will find a new serial title and verify its order status.

Usually, at least three records are already in place before you receive the first issue of a new serial title:

1. **Bibliographic Record**

2. **Holdings Record** with Receipts or Acquisitions Status of “On Order” displaying in the public catalog

3. **Serial Order Record**.

See the *ACQO: Acquisitions: Ordering Monographs, Standing Orders and Serials* guide for information on how to create a serial order and holding record.

Some libraries may also create a **Subscription Information Form** at point of order; this is optional. Other libraries create both a Subscription Form and the first item at point of order.

### 5.1 Workflows to Process a New Serial Title without using Aleph Prediction

Here are the recommended workflows for processing a new serial title without using Aleph prediction:

**Workflow 1: No Subscription Record or Item Created at Point of Order:**

1. Search for title and move into the Serial Tab

2. Check for the existence of an item on the Check-in Node. If there is no item awaiting check-in, check the Subscription List on the left hand side to see if your library has a subscription record in place.

Revised: January 29, 2009
3. If there are no items nor a subscription record, click on the Overview Mode and highlight your library’s holding record. This will display if the title is “On Order.”

4. Move the title to the Order Tab and create a subscription record.

5. Move the title to the Cataloging Module and update the holdings record with order and 853 field information.

6. Move the title back to the Serial Tab and create the first nonpredicted item.

7. Duplicate that item to create the next expected issue.

8. Route piece to Cataloging for classification, if necessary.

**Workflow 2: Subscription Record created at Point of Order (no item):**

1. Search for title and move into the Serial Tab

2. Check for the existence of an item on the Check-in Node. If there is no item awaiting check-in, check the Subscription List on the left hand side to see if your library has a subscription record in place.

3. Check the Subscription Record for processing instructions.

4. Move the title to the Cataloging Module and update the holdings record with order and 853 field information.

5. Move the title back to the Serial Tab and create the first nonpredicted item.

6. Duplicate that item to create the next expected issue.

7. Route piece to Cataloging for classification, if necessary.

**Workflow 3: Subscription Record and first Item created at Point of Order:**

1. Search for title and move into the Serial Tab

2. Check for the existence of an item on the Check-in Node.

3. Check-in first item using process described in Section 4.

4. Duplicate that item to create the next expected issue.

5. Route piece to Cataloging for classification, if necessary.

This guide will follow the steps in Workflow 1.

**5.1.1 Processing a New Serial Title: Search and Discovery**

1. Search for the title in hand using the Serials Bar or the Search Tab. If necessary, move the tile into the Serial Tab.
Figure 30 Serial Tab: New title (no issues appear on All Tab)

From the **Functional Mode**, the **Serial Tab** does not provide you with any visual clue that this is a title that your library has recently ordered. When you see that there are no issues in the Check-In Node, you should assume you will need to investigate the title further to determine its status.

1. Check the **Subscription List** to see if there is a subscription for your library. In this workflow, there is no subscription record.

2. Click on the **Overview Mode** to see summary information about the bibliographic record, holdings, orders, subscriptions and items associated with this title.
The bibliographic information will tell you if your library has holdings for this title. If your library has a holdings record, click on the holdings record from the Navigation Pane on the left hand side.

As you can see from Figure 32, the Order Status is displaying from the holdings record, indicating that this title is on order for your library.

You can also view the Order Record from this display by clicking on it under the ORDERS Node on the Navigation Pane.
Reviewing the order information is important because the order will tell you if this title has been ordered as a Serial or as a Standing Order (see the Order Type field on the display).

- If your library has ordered this title as a Standing Order, then follow the processing instructions provided in the ACQR guide.

- If your library has ordered this title as a Serial Order, then follow the rest of the processing steps in this guide to edit and create the rest of the serial component records.
7. Updating the Holdings Record

The holdings record is used to record library location and call number information, as well as to record detailed holdings information about the volumes of a title owned by a library. This information is displayed to the public in the Holdings display in the OPAC.

To see how serial holdings display to the public, please see section 17.

7.1 Updating the Holdings Record for a New Serial Title

We are working with a new title. When the serial order was placed, a holdings record was created at the same time. Let's look at the display of our holdings record in the public catalog:

![Figure 43: Public Display of New Serial Title Holdings](image)

We need to update the holdings record with the following information:

1. Update the **Receipt or Acquisitions Data** byte in the **008 field** to indicate that the title is now **Currently Received**.

2. Add a **853 field** with basic enumeration and chronology information. If you were going to predict the arrival of issues, you would also add publication pattern subfields to the 853 field so that Aleph will create a set of issues for you. The addition of publication pattern subfields is found in the SERP class documentation.

   You must add the **853 field in order to display currently received issues in the holdings record in the public catalog**.

A complete description of the MARC21 Holdings Format can be found in the document entitled: Training guide: MARC21 Holdings Workshop, which can be found at the Aleph documentation site at http://hul.harvard.edu/ois/systems/aleph/docs/train_m21h.doc. This lesson will focus on the addition of data to certain MARC21 fields.

To update the holdings record:

1. With the holdings record on your screen,
2. Highlight the **008 Form** and press the <Ctrl>+ F keys to open the form.

![008 Form](image)

Figure 45: 008 Form

3. Change the **Receipt or Acquisitions Status** Field from 3 to 4. This will change the public display from **On Order** to **Currently Received** in the public catalog.

4. Click **OK** to close the **008 form**. This will return you to the holdings record.
We will now add the **853 information** to your holdings record. To do this, we will use a **holdings template** and edit it to meet our needs.

5. **Point your mouse next to the last character in your 852 field.**

6. From the **Cataloging Menu**, choose **Expand from Template**, or press the `<Ctrl>` + `E` Keys. A list of holdings templates will appear on your screen.

![List of Holdings Templates](image)

**Figure 47: List of holdings templates.**

The list includes a number of pattern templates that are used to create prediction patterns in the system. We will choose one of these and edit it to meet the requirements of our nonpredicted title.

7. **Highlight the template for quarterly** and hit the **OK** button. An **853 field** and an **853X field** will appear on your screen.

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Since we are not predicting the arrival of issues, we will edit the 853 tag only and then delete the 853X field. The 853X field will be covered in the SERP class.

8. Next to the 853 field, click on the first indicator value (the first character on the blue line to the right of the 853 field.). When not predicting the arrival of issues, you will need to change the first indicated to 1. Keep the second indicator as 0.

- **1** Indicates that you can compress, but not expand issues. This means that you do not have enough information to code the 853 with sufficient publication pattern data to predict issues (predicting issues in an example of "expansion"). If your 853 tag had enough information to expand issues, the system could generate a set of expected issues for you. This is prediction. If you do not have enough information to do this, you cannot use prediction in Aleph.

- **0** indicates that you verified that the issues has all of the caption information that you are about to add to the 853. Since we are checking in an issue that is in hand, we will be verifying the issues.
The first subfield of the 853 is 8. This is the linking field. This linking field is used by Aleph in a variety of ways:

- It links the caption data in the 853 to the data in the 863 for the display of bound volumes.
- It is used by the system to link check-in in the Serial Tab with the holdings record. (See section 8.1 to see where this happens in the Item Record.)

9. **Enter the value of 1 next to the subfield 8 field.**

The next subfield is subfield a. This subfield defines the highest level of enumeration on your piece. In this field we will record the highest caption level. In the template, this will have the caption value of v. for volume.

Keep v. as the value of subfield a. If your piece is published in Bands or Tomes, or some other caption convention, you would change this value and use the appropriate caption abbreviation. A list of abbreviation values can be found on the web at this location [http://hul.harvard.edu/cmtes/haac/ssssc/caption_abbreviations_supplementing_AACR2.pdf](http://hul.harvard.edu/cmtes/haac/ssssc/caption_abbreviations_supplementing_AACR2.pdf).

The next subfield is subfield b. This indicates the second level of enumeration, such as number, heft, etc. You will add second level enumeration data only if your piece contains this data. If the title is an annual, or only has a single level of enumeration, you would not enter any information in this field. The template is using no. for number in this field.

10. **Keep no. as the value of subfield b.** If your piece is published in Hefts or some other kind of secondary caption convention, you would use the appropriate caption abbreviation. If you do not have second level enumeration, delete no. from the subfield.

Revised: January 29, 2009
It may be possible to have additional levels of enumeration. If your piece is published in volume, number, part, for example, then you would have to add another enumeration subfield, subfield c, and indicate the part. It is possible to have up to 8 levels of enumeration for a single title.

If you need to add a subfield, hit the F7 following subfield b to create a new subfield. The system will give the subfield the default value of a; change this to c and then add the appropriate third level enumeration pattern (e.g. pt. for part).

11. The next subfields following subfield b are subfields u and v. These are examples of publication pattern subfields, and are used for prediction. These subfields will be covered in the SERP class. Delete the values of subfield u and v. When we save the holdings record, Aleph will delete these subfields automatically.

12. The next subfield is subfield i. This field indicates the highest level of chronology, which is usually year. The template will have the word (year) in parenthesis. Keep this field. This means that only the year will display to the public, not the word "year."

If your piece does not have any chronology data (that is, it is just published with v. and no. information only), then you would leave this subfield blank.

13. The next subfield is subfield j. This field indicates the second level of chronology, usually month or season. The template will contain the value of (month) Keep month for this example or change month to season if appropriate. This means that only the month will display to the public, and not the word "month" or "season."

It may be possible to have additional levels of chronology. If your piece is published in year, number and day, for example, then you would have to add another enumeration subfield, subfield k, and indicate the day. It is possible to have up to 7 levels of chronology for a single title.
14. The next subfields, w, x and y are also publication pattern subfields that we will not be filling in today. **Delete the q from subfield w and leave subfields x and y blank.** These subfields will be covered in the SERP class.

15. **Highlight the 853X field and hit the <Ctrl>+F5 keys to delete this field.** We will cover this field in the SERP class.

16. Hit the **Enter** key. You will see that the 853 now contains indicator values and subfields 8, a, b, i and j.

![Figure 51: 853 with all remaining subfields filled in](image1.png)

17. Save your changes to the server. Click on the **Save to Server and Local Drive icon** to save your changes to the server.

### 7.2 Moving the Title from Cataloging to the Serial Tab

We will now move our title from the **Cataloging Module** back to serials in order to check in the piece in hand.

1. From the **Cataloging Menu**, choose **Open Serials Record**. This will push the title from **Cataloging** to the **Acquisitions Module**. The title will display on the **Serial Tab** and the check-in node will be open.

![Figure 52: Cataloging Menu, Open Serials Record](image2.png)

Revised: January 29, 2009
8. First Issue Check-In of an Item Without using Prediction

If you receive a new serial title and decide not to use Aleph’s predictive functionality, you need to alter the way you check in the first issue. Please note that this is the process you follow in this section is for the first issue only; for subsequent check of new serial titles, follow the procedure outlined in section 4.1 of this document.

When we create an item that is being checked in for the first time without prediction, we must create an Item Record in Aleph. This item record serves as the basis that all subsequent check-in will follow. The Item Record is different from the Arrival Form that you see in the Check-In Node. The Item Record contains information that is critical to the successful check-in of serial titles.

You cannot use the Add button on the Check-In List to create the first item. This is because the Arrival Form does not contain all of the fields required for setting up a title that is going to be checked in without prediction, such as the Subscription Link field and the Order Number field.

Therefore, we will check in the first issue not as an Arrival, but as an Item. Please note that this is the process you follow for the first issue only; for subsequent check of new serial titles, follow the procedure outlined in section 4.1 of this document.

Temporary Location: If you use Temporary Location for your current issues, follow the workflow found in section 8.2.

As you recall, you will see no current check-in on the Check-In Node.

![Image of Check-In Node](image-url)
8.1 Creation of First Nonpredicted Item – No Temporary Location

1. **Click on Subscription List in the Navigation Pane** (or press the <Ctrl>+<Alt>+L keys). You will see the subscription record that you created in section 7 of this document.

2. **Highlight your library’s subscription on the Subscription List** (if your library is not the only library that owns the title). You will see that the Subscription Root on the Navigation Pane now contains information about your Subscription, including Log information, items, claims and routing lists.

3. Under the **Subscription Root** on the Navigation Pane, click on **Items** or press the <Ctrl>+<Alt>+I keys to open the **Items Node**

![Subscription Node selected](image)

![Subscription Root becomes activated](image)

Figure 54: Subscription List

Revised: January 29, 2009
4. **Click the New button on the Upper Pane** (or, with the Upper Pane in focus, press the <Alt>+N keys). The focus will shift to the Lower Pane and Tab 2 will open.

5. To start periodical check-in, **click to Tab 4** or press the <Alt> + 4 keys to open up the **Serial information Tab**
6. Fill in the following fields on Tab 4
   a. Select your library’s subscription from the drop down menu on the Subscription Field
   b. Fill in the Issue Date, Expected Arrival Date and Arrival Date fields with today’s date.

7. **Click to Tab 5**, Serials Information (or press the <Alt>+5 keys)

   Fill in the Enumeration and Chronology Fields with the volume number, issue number, year and month or season information.

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- Put the volume number, or highest level of enumeration, in the Enum.Level.1(A)(Vol.) field.

- Put the issue number, or second level of enumeration in the Enum.Level.2(B) field

- Put the year in the Chron.Level.1(I)(Year) field

- Put the month or season in the Chron.Level.2 (J) field.

Figure 58: Serials Level Tab filled in

8. Click to Tab 2 or press the <Alt>+2 keys to open the tab

The following values will already be filled in:

- **Enum.Level.1(A) (Vol)** and **Enum.Level.2 (B) fields** - this information came over from Tab 5.

- **Item Status**: This value came from the Subscription Record, and was added when you clicked on the Subscr Defaults button.

- **Copy Number**: If you entered a copy number in the Subscription Record, this field will display that copy number. This information was added when you clicked on the Subscr Defaults button.

- **Item Process Status**: If you added the Remote Storage ID to your Subscription Record, the Item Processing Status of HD will display in this field. This information was added when you click on the Subscr Defaults button.

9. Fill in the following information on Tab 2:

- **Material type**: Set the appropriate serial Material Type:
  - ISSUE – used for regular serial issues
  - ISSCD – used for serial CD-ROMs
  - ISSLL – used for serial Looseleafs
  - ISSMF – used for serial microforms

Revised: January 29, 2009
- **ISSPP** – used for serial pocket parts
- **ISSBD** – used for bound serial volumes

- **HOL Link**: link the item to your library’s holdings record
- **Item Status**: Fill in the library’s item status—the circulation policy of the title.
- **85X type/Linking Number**: Select the appropriate link in the first field and the 853 pattern in the second field. This field will display the 853 field we created in section 7. This will also allow this issue to display to the public in the Holdings Display of the OPAC.

At this point, depending on the workflow in your library, it may be appropriate to set the **Item Processing Status** to **RE**, Order Received. This is if you intend to send the title to Cataloging for a call number.

![Image](image.png)

**Figure 59: Fields filled in on Tab 2**

10. **Click the Subscr Defaults button**. This will bring in values from the Subscription Record, such as Item Status on Tab 2 and Order Number on Tab 3.

11. **Click the Refresh button** (or press the <Alt>+R keys). The Barcode, Sublibrary, Collection, Call Number Type, Call Number and Description fields will all fill in on Tab 2.

- **Barcode** is system supplied
- **Sublibrary, Collection, Call number type and Call Number fields** are all coming from the 852 field in the Holdings record [based on HOL link].
- **Description** is coming from the 85X link field [captions defined in the 853 field] and from Tab 5 of the item form [issue data]
12. **Click to Tab 3** or press the <Alt>+3 keys to open the tab

The following information will be filled in:

- **Order Number field:** this was added when you click on the Subscr Defaults button

- **Remote Storage ID:** If you selected the Remote Storage ID field on your subscription record, this field will be filled in. The information was added when you click on the Subscr Defaults button.

13. **Optional:** You may add notes to the OPAC Note, Circ Note or Internal Note field if you need them.

14. **Click Add** to add the Issue. You will be brought back to the Items List in the Items Node.
14. **On the Navigation Pane, click on Check-In**, or press the `<Ctrl>+<Alt>+K` keys to open the Check-In Node. You will see the item you have just created in the All Tab.

---

Revised: January 29, 2009
15. Click on the Duplicate button to create the next expected issue, following the instructions found in section 4. Note that if this title needs to be cataloged, you may need to add the Item Process Status of RE to the item.

8.2 Creation of First Nonpredicted Item-Temporary Location

If your library uses Temporary Location for its current issues, use this workflow to create the first nonpredicted item:

1. Click on Subscription List and highlight your library’s subscription.
2. Click on Items on the left hand side under the Subscription Root
3. Click New to add a New Item
4. Click to Tab 4 and fill in Subscription No. field with your library’s subscription. Then fill in Issue Date, Expected Arrival Date and Arrival Date fields with today’s date.
5. Click to Tab 5 and fill in appropriate enumeration and chronology fields.
6. Click to Tab 2 and fill in Material Type, HOL Link and 85X link fields.
7. Click Refresh button. You will receive an error message. You can ignore this. The system will fill in the Barcode, Sublibrary, collection, Call Number Type and Call Number fields.
8. Click on the Subscr Defaults button. Item Status and the Temporary Location Box will be checked off. But notice—the collection has NOT changed in the Collection field. You will need to manually change this.

9. Select the correct Temporary Location from the Collection field.

10. Check Tab 3 to confirm that the order number has been added and/or to add additional note fields.

11. Click Add to add the item.

12. Click on the Check-In Node to come to the Check-in List.

13. Duplicate item for next expected issue.

9. Adding an Unexpected Supplement or Index

The process for checking in a supplement or index is not much different from processing an issue without prediction in Aleph. However, your library does have check-in options concerning supplements and indexes.

A supplement is a piece that is published in addition to the regularly published issues. An index is an index to the particular title itself; it is not part of a larger, aggregate index.

If you wish to add supplement information to your holdings, you record this information in the MARC tags 854/864, using the same coding conventions as the 853/863.

If you wish to add index information, you record this information in the MARC tags 855/865, using the same coding conventions as the 853/863.

The first step to adding supplement or index information is to check the holdings record to see if there is an existing 854 or 855 field in the holdings record.

9.1 Adding or Editing an 854 or 855 Tag to the Holdings Record.

1. From the Navigation Pane, click on the Subscription List. When the Subscription List opens, highlight your library's subscription and click on Tab 4, HOL Links, in the Lower Pane.

![Figure 64: Subscription List and Tab 4, HOL Links](image)

Revised: January 29, 2009
2. Click **Edit** to open the **Cataloging Module**. The **Holdings Record** will appear on your screen.

![Holdings Record](image)

**Figure 65: Holdings Record**

3. Check your holdings record to see if there is an existing 854 or 855 tag. If there is, then compare the pattern data in the 854 to see if the captions match the piece in hand. If they do, then update the 864 or 855 field (see section 10.2 for editing the 86X fields) with the supplement information. If there is no 854 or 855 field, you will need to add the 854/864 fields to the holdings record.

**Note that if there is an existing 854 or 855 field and the pattern is different on the piece you have in hand, you will need to add a new 854/864 field or 855/865 field in addition to the existing 854/864 and 855/865 field to reflect a pattern change.** For more information on doing this, see the SERP guide for information about recording pattern changes.

To add an 854 or 855 field, we will copy our 853 field and make appropriate changes to reflect the supplement.

**To add an 854 or 855 field.**

1. Highlight the **853 field** on your holdings record and then click on the **Edit menu**.

2. From the menu, choose **Copy**, then **Copy field**.

3. Click your mouse next to the last character of your 853 field or 863 field, if you record has an 863 field.

4. From the **Edit menu**, choose **Paste**, then **Paste field** to paste in the 853 field.

5. **Change the 853 tag to 854 (or 855, if you are adding an index).** Keep the indicators as 1 and 0. (Note: if you are creating an 855 tag, delete the indicator values, as there are none for the 855 field). Keep the subfield 8 as 1.

Revised: January 29, 2009
6. **Verify the caption for subfield a.** If the supplement has a volume caption, keep this the same. If not, change it accordingly.

7. **Verify the caption information for subfield b.** If there is no second level enumeration, delete the field by clicking on the subfield b and pressing the <Ctrl>+F7 keys to delete the subfield.

8. **Verify chronology information (subfield i and j) and add or delete data accordingly.**

---

**9.2 Adding an 864 or 865 field**

The next step is to add an 864 tag that will record the numeric data of your supplement. Again, the easiest way to add the 864 is to copy and paste from an existing field and edit it.

**To add the 864 or 865 field:**

1. Highlight the 854 or 855 field on your screen. Click on the **Edit menu** and choose **Copy, Copy field.**

2. Click next to the last character in the 854 field, then click on the **Edit menu** and choose **Paste, Paste field.** The 854 field will duplicate below the 854 field.

Revised: January 29, 2009
3. **Change the 854 to an 864 field**, or change the 855 to an 865 field as appropriate.

4. **Change the indicators to 4 and 0**. The value 4 indicates that the library is recording detailed holdings and matches the encoding level of the holdings record.

5. **Change the subfield 8 value from 1 to 1.1**. The first value 1 links the 864 to the 854. The second 1 is the line number.

6. In subfield a, record the highest level of enumeration. For example, if this supplement calls itself v.15, 2003, 15 is the highest level of enumeration.

7. Add additional enumeration levels to subfield b, etc. if appropriate.

8. Add chronology data in subfield i and j as appropriate.

9. If the supplement has its own title, you can add this title information by adding a subfield o to the 864 or 865. After the subfield j, hit the F7 key to add a new subfield. Change the subfield from a to o, and type in the title of your supplement.

10. Save your changes to the server by clicking on the **Save or Server and Local Drive icon**.
9.3 **Supplement or Index Check in Options**

Now that we have created the 854/864 fields, we can stop here. Or, you can check in the supplement in the **Serial Tab**. This lesson will demonstrate adding the supplement check-in to the Check-In Node.

If you wish to note the date you received the supplement or index, or if you wish to track the piece for some reason (e.g., routing), you can check them in on the Check-In List following the procedure described in this lesson.

If you do NOT want to track the date your library received the supplement, you can simply stop here, because you have recorded the supplement and this information is displaying to the public.

9.4 **Checking-In an Unexpected Supplement or Index on the Check-In List.**

1. After adding the 854/864 information to your holdings record, click on the **Cataloging Menu** and select **Open Serials Record** from the menu. This will bring up the title in the **Serial Tab**.

2. Highlight an existing issue and click on the **Duplicate button**. The **Arrival Form** will open to Tab 2.

3. On Tab 2, add today's date to the **Arrival Date field**.

4. Check the **Item Processing Status** and make sure it is blank.

5. Click on the **85X link** and choose 4 (854), to indicate that this is a supplement. In the second field, select the 854 field you just created in the Cataloging Module.
6. Click to **Tab 3**.

7. Edit the **Enumeration and Chronology fields** to indicate the enumeration and chronology of the supplement. If the supplement has a title, enter this in the subfield o field.

8. Edit the **Description field** to reflect the supplement.

9. Click the **Arrive button** to add the Supplement. The supplement will display on the Check-In List.

9.4.1 Sorting for supplements and indexes

You can modify the sort of your supplements or indexes if you wish them to display with your checked-in issues. For example, let's say you have a monthly and have checked-in issues for January-April. If you receive a supplement dated "March", you can set the value in **Enum. Level.2 (B)** to "3.1". By doing this, your supplement will display between the Jan. and April issues on the **Tab 3 of the Arrival Form**
Figure 74: Arrival Form-Tab 3-Supplement Check-In-Sorting Supplements
10. Claiming Serial Titles

There are two kinds of claims for serials:

- **Serial Order Claims** – These claims are made if you do not receive the first piece of a new serial order. See the ACQO Guide for more information about these kind of claims.

- **Serial Issue Claims** – These claims are for currently received serial issues. This document will focus on serial issue claims. All serial issue claims take place in the Serial Tab.

10.1 Setting the Claim Date for Serial Issues

The First Claim Date is the Expected Arrival Date of the issue.

The Expected Arrival Date is calculated based on the date found in the Issue Date field (Tab 4 of the Item Form/Tab 2 of the Arrival Form) plus the number of days found in the First Claim field of the Subscription Information Form.

![Figure 75: Check-In Node, Arrival Node, Tab 2, Issue Date and Expected Arrival Date fields](image)

Revised: January 29, 2009
Introduction to the Serial Tab and the Manual Check-in of Serial Titles

When creating a Subscription Record from the Acquisitions Tab (as is the recommended practice), the number of days in the Delivery Day field of the Master or Order Unit Vendor Record is inserted into the First Claim field found on Tab 3 of the Subscription Form. This number of days in the First Claim field can be changed manually at any time. Note, however, that changing the number of days will impact issues created in the future—it will NOT change existing Expected Arrival Dates. Users will have to change those manually.

For nonpredicted items, the Issue Date is set by the user.

- For the first issue, the date is set in Tab 4 of the Item Form and is usually the date the piece is checked in.
- For subsequent issues, the Issue Date is set in the duplicated item on the Arrival Form, and is usually the date of the issue that has just been checked in.

See the SERP Guide for information on how the date is set for predicted items.

### 10.2 How to View Serial Issue Claims

There are 4 different places here to see claim information on the Serial Tab:

Claim button on Check-In List: Claims for a specific issue can be created, edited on deleted by clicking on this button. Each time a claim is sent, the claim date appears next to the issue in the Check-in List (claims column must be present to see this). To see claim details click the Claim button and the Claim list will appear.
Check-In Node selected

Claim column shows date of claim

Click on the Claims button to create a new claim or review an existing claim for the issue highlighted on the Check–In list

Figure 77: Check-In Node, Claim Column, Claim button produces Claim List

**Log Node under Subscription Root**: A log entry is created each time a claim is created, edited or deleted. Replies to claims by vendors are also logged here.
Introduction to the Serial Tab and the Manual Check-in of Serial Titles

Figure 78: Log Node, Claim letter information automatically added when claim is sent

Claim node under Subscription root: All claims for all issues belonging to this subscription can be seen from here. Claims can only be edited or deleted from here.

Figure 79: Claims Node Under Subscription Root

Claims Node under Item Root: Claim(s) for a specific item only can be seen here. Claims can be created, edited or deleted from here.

Revised: January 29, 2009
Monograph and Standing Order claims can NOT be created or viewed from the Serial Tab.

### 10.3 Methods of Claiming Serial Issues

There are three ways to produce a claim for serial issues:

1. **Issues can be manually claimed in the Serial Tab** if a user discovers expired Expected Arrival Dates during check-in.

2. **Using the Claim Report for Serial Issues**, a claim can be manually sent for the issue.

3. **Batch Claiming. Not Yet Available.** In addition to receiving the Claim Report for Serial Issues, the system produces a claim for non-arrived issues. Checking off the Yes radio button in the Send Claims box of the Subscription Information Form, Tab 3, activates batch claiming. Watch the HULINFO mailing list for information about batch claiming for serial issues when it becomes available.
10.4 Aleph Records Required for Serial Issue Claiming

- **Serial Order Record**: this record contains Order Unit information and will produce the correct "reply to" address on the Claim. When a subscription record is created, the Order Number is added to the Order No. field. When the first nonpredicted item is created and the Subscr Defaults button is pressed, the Order Number populates the Order Number field on Tab 3 of the Item Form. Aleph then takes this information and produces the correct reply to address when a claim is issued.

- **Subscription Record**: This record contains the vendor information and claim interval information for the library's subscription. It is also linked to the serial order record.

- **Item Record**: contains the details of the issue that needs to be claimed. The item must be linked to both the order and subscription record in order for a claim letter to be produced in Aleph.

10.5 Claim Report for Serial Issues

This weekly report lists all issues that have expired expected arrival dates. The details of the report:

- The report is run by sublibrary - it is not possible to run by Order Unit
- The report can be sorted by vendor or by title
The report is run weekly

The report is available for printing on Friday

More information about the report is available at the Aleph Documentation Site at http://hul.harvard.edu/ois/systems/aleph/docs/claim_rept_serial.pdf

To request the Claim Report for Serial Issues for your sublibrary:

- Submit the initial request through the Aleph Support Center using the category Printing/Products
- Include the name of the person(s) authorized to print report
- The URL for the Aleph Support Center category Printing/Products is: http://hul.harvard.edu/ois/system/aleph/forms/f-supp-prod.htm

Figure 82: Claim Report for Serial Issues

10.5.1 How to Print the Claim Report for Serial Issues

Someone in your unit will be authorized to print acquisitions reports. Order Units must designate someone as a Print Operator (most units have at least one, if not several people assigned as Print Operators).

Activate the Print Daemon in the Task Manager in the Acquisitions Module.

Two documents are available from the Aleph Documentation Site that explains printing reports:

Revised: January 29, 2009
10.5.2 Issues Included on the Claim Report for Serial Issues

- The claim report includes issues where the Expected Arrival Date or Claim date has passed.

- The item must be linked to a subscription and order for your library.

- When a first claim is sent, the number of days that a vendor has to reply to the claim or send the issue is set in the Second Claim field of the Subscription Form, Tab 3.

- If there is no response to the first claim, the issue will again appear on the report. If another claim is sent, the number of days that a vendor has to reply to this claim is set in the Third Claim field of the Subscription Form, Tab 3.

- If there is no response to the second claim, the issue will again appear on the claim report. If another claim is sent, the number of days that a vendor has to reply to this claim is set in the Subsequent Claims field of the Subscription Form, Tab 3. If there are any additional claims sent beyond this date, the number of days between intervals will be that set in the Subsequent Days field.

- The numbers of days in the Second, Third and Subsequent Claim fields are set manually by users, subscription by subscription.
10.5.3 How to Process the Claim Report for Serial Issues

1. Review issues listed on the report. If a claim is needed:

2. Highlight the issue you wish to claim on the **Check-In list** on the Upper Pane and click the **Claim** button. A **Claim List** window will appear on your screen. Here you can add a claim, delete a claim, or edit an existing claim.
Highlight issue on check-in list and click Claim button.

Claim List window will appear.

3. From the Upper Pane, click the New button. The Claim Expand Form will open in the Lower Pane. There are five fields on the form:

- **Claim Text**: This is text you will add to the claim in addition to the standard claim letter information. You can also leave this field blank.

- **Claim Date**: This will default to today's date. You can change the date by clicking on the right arrow and changing the calendar.

- **Claim Reply** and **Reply Date** fields: Leave blank; these fields are used for recording a vendor reply; see section 11.2.

- **Expected Arrival Date**: You can change the Expected Arrival Date of the issue; this is usually done after the recording of a vendor reply.

4. If you wish, add text to the **Claim Text field** and then click the **Add button**. The claim will appear on the claim list in the Upper Pane.

Revised: January 29, 2009
If a claim is NOT needed:

1. Change the Expected Arrival Date on the Issue in Tab 2 of the Arrival Form, so the issue will not appear on next week's report.

### 10.6 Registering A Vendor's Reply to A Claim

To post a reply to an existing claim:

1. From the Check-in Node, click on the Claim Button in the Upper Pane.

2. Highlight the claim in the upper part of the window and type in the reply text in the **Reply field** on the Lower Pane.

3. Then add the Reply Date and, if appropriate, change the **Expected Arrival date** of your issue at the same time.

4. Click the **Update** button to add the reply.
To add a reply if no claim has been sent:

1. **Highlight** the issue on the Check-In Node

2. Click the **Claims** button

3. Click **New** button from Claims list

4. Type in Reply in the **Reply field**

5. Type is reply date in the **Reply Date field**

6. Change **Expected Arrival Date**, if necessary,

7. Click **Update**

### 10.7 Arriving a Claimed Issue

When you claim an issue, Aleph will add the Item Processing Status CL to the claimed issue.
Figure 86: CL Item Processing Status added to claimed issue

If the issue is subsequently received, arriving it in the Check-In Node as usual will delete the CL status. The issue will no longer appear on the Claim Report for Serial Issues.

10.8 Deleting Claims in the Serial Tab

Even though you arrive a claimed issue, the claim itself does not delete. Only the claim date will be deleted from the claim on the Claim List.
Figure 87: Arrived Issue; claim date deleted from Claim List but Claim remains

You can manually delete the claim from the Claim List by highlighting it and clicking on the Delete button.

11. **The Subscription Root**

If you highlight a Subscription on the Subscription List Root, information about that Subscription will appear in the Subscription Root and its related nodes.

You can access the Subscription Root by clicking on it from the Navigation Pane or pressing the <Ctrl> + <Alt> + S keys.
From the Navigation window, you will see that the Subscription Root will tell you the Subscription Sequence number and the Call number of the title from the Holdings Record. The Upper and Lower Panes feature a display of Subscription Information. To edit information found on this display, you will need to return to the Subscription List and edit the information on the Lower Pane in the Subscription Forms.

### 11.1 Subscription Log Node

The first node under the Subscription Node is the Log.

The log contains information about the serial order and subscription for a library. All information found in the Serial Order Log in the Order Tab is also found in the Log here in the Serial Tab.

For serial orders converted from our legacy system HULPR, many action dates came from our old Order/Pay/Receipt Record.

When you bring up a serial on the Serial Tab, check the Nav Tree to see if an Action Date appears next to the Log (the earliest Action Date, or AD, appears here).

If there is a date, check the Log and remove the date if it is no longer needed.

#### 11.1.1 When to Add an Action Date in the Log

Optional: When you first create a new serial order. This is a workaround in place until Harvard starts to run the Claim Report for Serial Orders; see the ACQO Guide for more information.

Set a date when you want to be reminded about a serial order on a date other than the claim date.
You can access the Log by clicking on it in the Navigation Pane or pressing the Ctrl + Alt + G keys.

Figure 89: Subscription Log Node

The **Subscription Log** contains:

- Information when a subscription is created or changed
- Order information from the Aleph Serials Order
- Payment information from invoices paid in Aleph
- Claim information when a claim is made in the system
- For converted orders, a snapshot of the old order record from the previous system.

A table detailing the fields converted from order information from HULPR (the old system) and now appearing in the Subscription Log can be found in Appendix 1 of this guide.

### 11.1.1 Adding Notes to the Subscription Log

Four types of free-text notes can be added by users to the **Subscription Log**: each can be up to 2000 characters long. You can enter any information you wish to record about the subscription over and above the automatic transactions created by the system.

The following options are available:

- General note
- Subscription history note
• Correspondence from vendor (record here any correspondence from the vendor)

• Note to vendor (summarize here any correspondence you have sent the vendor)

To add a note to the Subscription Log:

1. Enter the text of a General, History, Reply from Vendor or Note to Vendor in the Enter Text field. You can create a line break at any time by pressing Ctrl+Enter.

2. If you wish to set an Action Date on the note, you can add this by typing in the date or clicking on the arrow next to the Action Date field and selecting an appropriate date.

Figure 90: Adding a Note to the Subscription Log

Figure 91: Action Date Input into Subscription Log

When you have finished entering your text and any action date in the Log Text field, click Add for the transaction to be added to the transaction list.

Figure 92: New Note with Action Date Added to Subscription Log

Revised: January 29, 2009
11.1.2 Changing or Deleting Action Dates or Log Entries

Action dates cannot be changed. Dates can only be removed. Highlight the log entry containing the Action Date and click on the Remove A. Date button.

If a new Action Date is needed on an existing log entry, a new log entry must be created with a new Action Date.

Log entries can not be deleted. User notes can be added or changed to a log entry; users can also type "NOTE DELETED" or "IGNORE" if they wish to eliminate information about an old entry.

Note that if Action Dates are not removed, the issue will show up on the Order Log Report

11.1.3 Order/Subscription Log Report

Libraries can request the Order Log Report be run for their unit. The report will list those orders/subscriptions that have expired Action Dates. Here are the details of the Order Log Report:

Separate reports are run for each order type (M-monograph, O-Standing Order, S-Serial)

The report is run by Order Unit

The order will appear multiple times on the report if there are multiple action dates in the log

The report is sorted by sublibrary, then action date (can be run in ascending or descending order)

The report is run weekly. If the report is not printed one week, the new report issued next week will overlay the old one.

The report is available for printing via the following schedule: M Orders, Thursday, Serials, Friday, Standing Orders, Saturday

More information about the Order Log report can be found via the Aleph Documentation Web Site at: http://hul.harvard.edu/ois/systems/aleph/doc/order_log_report.pdf

Requesting the report or reporting problems or questions about the report should be sent to the Aleph Support Center, category Printing/Products: http://hul.harvard.edu/ois/systems/aleph/forms/f-supp-prod.htm.
Order Log Report

<table>
<thead>
<tr>
<th>Order Type:</th>
<th>Monographs</th>
</tr>
</thead>
<tbody>
<tr>
<td>Order Unit:</td>
<td>DES01</td>
</tr>
<tr>
<td>Sort Key:</td>
<td>Sublibrary and Action-Date</td>
</tr>
</tbody>
</table>

**Vendor:** YANKEE  
**Order No. 1:** 7626358-1  
**Order Group:** uu  
**Order No. 2:** 18070895  
**Sublibrary:** Loeb Design  
**Order Date:** 02/01/1998  
**Type:** MEGO  
**Action Date:** 05/28/2002  
**Text:** 005 M press volume 2 only; Emily Scudder; MD: 09/30/1999 RD: 09/22/2002

*Olmsted, Frederick Law, 1822-1903.  
The papers of Frederick Law Olmsted. Supplementary series.  
Baltimore : Johns Hopkins University Press, 1997-  
1 v. ill. 25 cm.*

**Vendor:** YANKEE  
**Order No. 1:** 8404729-1  
**Order Group:** uu  
**Order No. 2:** 180008304  
**Sublibrary:** Loeb Design  
**Order Date:** 05/29/2000  
**Type:** NOTE  
**Action Date:** 11/09/2002  

Chicago : Art Institute of Chicago, 1997  
(Architecture in context)*

---

**Figure 93: Order Log Report**

### 11.1.4 How to Print the Report

Someone in your unit will be authorized to print acquisitions reports. Order Units must designate someone as a Print Operator (most units have at least one, if not several people assigned as Print Operators).

Activate the Print Daemon in the Task Manager in the Acquisitions Module.

Two documents are available from the Aleph Documentation Site that explains printing reports:

*Initial Set Up for CIRC-ACQ Print Operators:*

[http://hul.harvard.edu/ois/systems/aleph/docs/print-setup-circacq.pds](http://hul.harvard.edu/ois/systems/aleph/docs/print-setup-circacq.pds)

*Printing Batch products in Aleph:*


### 11.2 Items Node

The Items Node contains a list of all items associated with the Subscription that appears on the Subscription Root; you will not see items associated with any other library nor any other subscription on this display.

You will also not see any items that are not specifically linked to this subscription. For example, if your library had been subscribing to a title for several years and you have many item records

Revised: January 29, 2009
for old bound volumes, you will not see these volumes in this Items List display unless you have linked them to your library’s subscription.

On the Navigation Pane, the number of items associated with the Subscription that appears in the Subscription Root will display in the parenthesis to the right of the Items Node.

If you have highlighted an issue on the Check-In List and then clicked to the Items Node, you will see that the same item is highlighted in the Item Node Display.

To access the Items Node, click on it from the Navigation Pane or press the Ctrl + Alt + I keys.

11.2.1 When to Use the Items Node under Subscription

Most libraries will use this node for two purposes:

1. To create the first nonpredicted item for their library (see section 8 of this guide

2. To use the Bind/Change Function to merge issues of a serial title into a single item record for the bound volume.

11.2.2 The Bind/Change Function

Once you have received a full volume of issues, the title can be called up for binding. At the moment, the recommendation is that libraries use their current system for manually calling up volumes for binding. It is hoped that a report using the Completed Vols. Button on the Items List will become available in the near future.

The process of merging items will be used when a set of pulled issues are sent to the bindery.

Revised: January 29, 2009
In some libraries here at Harvard, End Processing staff handles this process. How your library will handle this is a local library decision.

When there is a full year's worth of checked in issues, you can merge the issues for this title into a single item to represent a bound volume in Aleph.

To do this:

1. From the Navigation Pane, click on the Subscription List. Highlight your Library's subscription. When you do this, you will see that the Subscription Root on the Navigation Pane will populate with Subscription information.

2. Under the Subscription Root, click on the Items Node. This will open up the Items List associated with your library's subscription.

3. Highlight the first issue you wish to bind in the Items List and click on the Bind/Change button on the right hand side of the Items List. The Bind/Change Window will open.

Figure 95: Subscription Root, Items Node, Items List
Figure 96: Bind/Change Window

The item records associated with your sublibrary will appear on the left hand side of the list. Click on the first issue and click on the right arrow button to move the issue into the left hand side of the screen. Repeat this process for all of the issues.

Figure 97: Moving Issues into Bind Window

If you inadvertently select the wrong issue, you can simply click on it in the right hand window and click on the left button to return to the left hand side of the Bind/Change List.

4. Click on the Bind button. This will open up the item record for the first issue selected. If all issues had not yet arrived and/or had been claimed, the system would have given you an error message.

5. On Tab 5 of the item, delete 2nd level enumeration and chronology (unless you are binding incomplete volumes)
6. On Tab 2, highlight the Description field and delete it.

If you have had the issues at a Temporary Location and will be sending the volume to a permanent location, uncheck the Temporary Location box so that the permanent location will be set in the Item Record.

7. Click Update to save the changes.

You will return to the Items List. Note that you only have an item for your bound volume; all of the other Items have been deleted.
Note that once you press the **Update** button, the issues will be deleted and there is no way to restore them.

Note also that Aleph adds the **Item Processing Status** of **BD**, which displays in the status field as **At Bindery**. *If you do not wish to have this item status, remove the BD status from Tab 2 in the Lower Pane and click the Update button to save your changes.*

### 11.2.3 Adding an 86X Field to the Holdings Record

If you wish to add bound volumes to the **Holdings Record** from the **Serial Tab**.

1. From the **Items List**, click on **Tab 6, HOL Links**. You will see the holdings list with your library's holdings.

2. Click on the **Edit button** to open the **Cataloging Module**. The **Records Tab** will open and the holdings record will display in the Upper Pane.

To add the bound volume to an existing 863 field, simply add the volume and year. If you need to create a new 863 field, see section 11.2.4.
11.2.4 Creating an 863 field using the Create 86X Function

Aleph can create an 863 field for you, using the Create 86X Function. To add an 863 field:

1. Hit F6 to create a new MARC tag
2. Give the tag the value of S63.
3. Position the cursor to follow subfield $$a.$$
4. Type in the volume number of the item you wish to create.
5. Select the Edit..Fix Record menu. A dialog box will appear.
6. Select Create 86X Function from the menu and click OK.
7. Aleph will create an 863 field with the correct values from the bound item record.
8. Save the record to the server.

Figure 102: Use of S63 field to Create 863 field

Once you add the S63 field to the record, you will not need to change or add values to it to update the 863. The subfield $$9$$ value, set to Y, allows Aleph to update this volume next year.

Revised: January 29, 2009
To add the next year’s volume:

1. After you bind next year’s volume, open the holdings record and choose the Edit…Fix record menu.

2. Highlight Create 86X field

3. Click OK

The volume will be added to the 863.

Figure 103: Next year, just choose Edit…Fix Record from menu to add volume

To record gaps, see the SERP Learner's Guide

11.2.5 Deleting RLN Fields

If you have any old RLN fields, you should delete the RLN fields after you update your 863. (See Section 17 for more information about RLN fields.) To do this:

A. Highlight the RLN field you wish to delete

B. Choose Edit>Delete>Delete field(s) from the Main Menu. This will delete the RLN field from the HOL record.

Revised: January 29, 2009
C. Save your changes to the Server.

11.3 The Claims Node

See section 10.2 for more information about the Claims Node and how it is used.

11.4 Routing Lists Node

It is possible to create routing lists. Please consult the following document at the Aleph web site for more information about routing lists:


![Image](image_url)

Figure 102: Routing Lists Node

11.4.1 The Upper Pane of the Routing List Node

The Upper Pane will display a list of Routing Lists that appear for this subscription.

**Buttons on the Upper Pane:**

- **New**: Use this button to create a new routing list. When you click on New, the Lower Pane will open and Tab 1, Routing Info will open.
- **Duplicate**: Use this button to duplicate an existing routing list.
- **Delete**: Use this button to delete a routing list. Note that issues cannot be out on loan if you wish to delete a routing list.

Revised: January 29, 2009
• **Print**: Use this button to print out a routing list. Note that if you create a routing list, the system will automatically print out a routing list for the issue when you check the issue in on the Check-In Node.

• **Apply**: If you have more than one routing list for a subscription, you can select which routing list group will receive the routed issue first. Use the up and down arrow keys to the right of the Routing List window in the Upper Pane and click the Apply button.

### 11.4.2 The Lower Pane of the Routing List Node

The Lower Pane will allow you to add or edit an existing Routing List. The

If you click New on the Upper Pane, the Lower Pane will open and tab 1 will be open.

• **Tab 1** contains **Routing Info**. This tab will provide information about what subscription the routing list is linked to and information about the set up of the routing list.

![Figure 103: Routing List Node, Lower Pane, Tab 1: Routing Info](image)

- **Tab 2**: This contains the list of members on the **Routing List**

![Figure 104: Routing List Node, Lower Pane, Tab 2: Member List](image)
11.4.3 Setting Up a Routing List

1. Click on New on the right hand side of the upper pane

2. Select the **Group Leader ID** for your list. The Group Leader is the member who will be responsible for the routing list; it is highly recommended that your library create a routing pseudopatron for this task. If you do not know the ID, click on the List box to bring up the patron list.

   Note: You must have access to the patron list to work with routing lists. Changes to your login may be necessary. Contact your Aleph Liaison and ask to have these privileges added to your login.

3. If you wish to loan the periodical to members of the routing list, keep the Loan item box checked off. If you do not wish to loan the periodical, uncheck the box.

   3a. If you are loaning the periodical, you will need to define the number of days that each member can review the title in the Loan Days per Member box.

4. Click Add.

---

![Figure 105: New Routing List Created](image)

To add members to the Routing List:

1. Click on the Member List Tab on the Lower Pane

2. Click New to add a new member. Type in the ID of the member or click on the list box to select the member from the patron list.

Revised: January 29, 2009
3. Continue to add members using the New button until all members are added to the list.

11.4.4 Printing out a Routing List at Point of Arrival

Note that once you have set up a routing list, the system will bring up a dialog box each time you check in an issue indicating that there is a routing list associated with the item. The list will then print at your printer.
11.4.5 Removing a User From all Routing Lists at Once

If someone appears on multiple routing lists, it is possible to remove that person from all routing lists at the same time by using the **Remove User From Routing Groups** function. This is found in the **Utilities** menu, on the **Main Menu**.

When you select this function, the following form will be displayed:

![Figure 109: Utility: Remove User From Routing Groups](image)

Enter the user's ID or select from a list by clicking on the arrow to the right side 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.

11.4.6 Returning Routed Items that have been Loaned

If your sublibrary decides to use Aleph's tracking ability to loan routed materials, you return them by using the **Return Item From Routing Group** function, round in the **Utilities** menu.

When you select this function, the following form will be displayed:

![Figure 110: Utility: Return Routed Item](image)

Type in the Item Barcode of the routed item and click **OK** (this button will become live when you enter the barcode number). This window enables you to check-in an item that was previously checked out to the **Group Leader** of a **Routing List**.

Note that if you do check out routed issues, they have to come back to someone who can check them back in. So if your library currently sends a routed item just to the shelf, you will need to revise this procedure if you want to use Aleph routing functionality.

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.
12. Item List Root

This root will display all items from all libraries associated with the title, not just your library's or a single subscription. Next to the word Item Root you will see the number of items associated with the title; this number reflects how many items you have authorization to edit.

You can access the Item List Root by clicking on it from the Navigation Pane or pressing the <Ctrl> + <Alt> + M keys.

The **Items Root** displays the **Items List** in the Upper Pane.

If you performed a search by barcode in the **Serials bar**, or highlighted an item on the **Check-In Node**, that item will be highlighted on the **Items List**.

The Lower Pane of the Items tab is a 6-tabbed display of information about an item that is highlighted on the Items List in the Upper Pane. The same six tabs that appear in the Items node under the Subscription Root appear here.

### 12.1 When to Use the Item List Root

The Item List Root should be used for the following purposes:

1. Troubleshooting: The Item List Root shows all items from all libraries; if your library does not receive an issue, you can check here to see if another library has received the issue. This can help determine if a claim is needed or not.

2. To view items with material types other than those beginning with ISS. The Check-In Node only displays those items that have a Material Type beginning with ISS-. If you need to
look at an item with another Material Type, e.g. CD-ROM, this is the only place you will be able to view it in the Serial Tab.

12.2 The All Items History Node

The All Items History Node will display information about all items based on item barcode sequence number.

You can access the All Items History node by clicking on it from the Navigation Pane or pressing the <Ctrl> + <Alt> + A keys.

Figure 112: All Items History Node

The All Items History node is a three-tabbed display displaying circulation and item history information about all of the items associated with this title.

**Tab 1 contains Loans information.** You will be able to see any items out on loan and their due date.

Figure 113: All Items History Node: Loans Tab

**Tab 2 contains Hold Request information.** You will be able to see if any items have a hold request.

Figure 114: All Items History Node: History Tab

Revised: January 29, 2009
**Tab 3 is the Item Changes Tab.** This tab will display information about all items based on item barcode sequence number. You can view deleted items from this screen by clicking on the view button (or, with the pane in focus, press the Alt + V keys). At the moment, the Restore button is not functional.

![Figure 115: All Items History Node, Item Changes Tab](image1)

13. **Item Root**

The **Item Root** displays the **Item Record** that is highlighted in the Upper Pane on the **Items List**. It will display the barcode number and call number in parenthesis next to the word Item.

You can access the **Item Root** by clicking on it from the Navigation Pane or pressing the <Ctrl> + <Alt> +E keys.

![Figure 116: Item Root](image2)

The **Item Root** contains display of brief bibliographic and Item Information.

There are three nodes found under the Item Root: **History**, **Circ Summary** and **Claims**.
13.1 The History Node

The History Node will display the last status date made to the item in parenthesis next to the History node. You can access the History Node by clicking on it from the Navigation Pane or pressing the <Ctrl> + <Alt> + H keys.

![Figure 117: History Node](image)

The Node will open up to 3-tabs to the right of the Navigation Pane. You will see the number of Loans, Holds and Item Changes made to this particular item on these tabs.

13.2 Circ Summary Node

The Circ Summary will display current and historical circulation information associated with the specific item. To access the Circ Summary Node, click on it from the Navigation Pane or press the <Ctrl> + <Alt> + U keys.

The Circ Summary Node will bring you to a 2-tabbed display.

Tab 1 will provide you with the latest circulation status of the item.

![Figure 118: Circ Summary Node, Tab 1: Current Summary](image)

Tab 2 will show you circulation history. You can also set date parameters for this history.

Revised: January 29, 2009
13.3 Claims Node

This node is explained in section 10.2

14. Routing Lists Root

The Routing Lists Root will display the number of all routing lists associated with this title, not just the routing lists associated with a particular subscription. To access the Routing Lists Root, click on it from the Navigation Pane or press the <Ctrl> + <Alt> + F keys.
In the Upper Pane, you will see the list of routing lists associated with the title. The **Lower Pane** will display Routing List information about the list that is highlighted in the Upper Pane. New routing lists can be added by following the process described in section 11.4.
15. Bibliographic Info Root

You can access bibliographic information about a title by selecting the Bibliographic Info Root. You can access this Root by clicking on it in the Navigation Pane or choosing <Ctrl> + <Alt> + B.

![Figure 121: Bibliographic Info Root](image)

16. Triggers

Triggers are not currently in use at Harvard.

17. Public Display of Serial Holdings

To get a better perspective of the role of serials holdings, we are going to take a look at the title we were working with in section 3 of this document in the public catalog, and map this information to the cataloging holdings record found in the Cataloging Module. This is an example of a title that has bound holdings, supplements and indexes.

17.1 Public Display of Holdings Information

If a patron searches for a print serial title in the HOLLIS Catalog, they will need to consult the Holdings Display to see what volumes, supplements or indices a library holds for the title.

Here is an example of the public display of an Aleph holdings Record:

Revised: January 29, 2009
The fields that correspond to the public display of holdings from this HOL record are detailed below:
Introduction to the Serial Tab and the Manual Check-in of Serial Titles

Location: Field 852

Acquisitions Data: 008 field, Receipt or Acquisitions Status byte coded "4" for Currently received

Holdings: 853/863 paired field data. The 853 field contains the captions (v., no., etc.), and the 863 field contains the actual data (1-14). The 863/863 can display bound volume as well as issues; gaps in holdings can also be indicated in this display. In the public display of holdings the captions and the data are combined to show the display found under Holdings

Supplements: 854/864 paired field data. A supplement is a work published in addition to the main work, which is expressed in the 853/863 data. The 854/864 fields display in the public catalog for supplements in the same way that the 853/863 data displays for issues/bound volumes.

Index: 855/865 fields. The index shown here is for an indexed published with this title. The 855/865 fields display in the public catalog for indices in the same way that the 853/863 fields display for issues/bound volumes.

Receipt Receipts: Public display of the RLN field in the Holdings record, a proprietary field that display receipt information from the library system used by Harvard prior to Aleph implementation. Using this example, when all issues of volume 15 are received, volume 15 will be added to the 863 field, and the RLN field will be deleted.

In addition to the fields from the holdings record, this display also contains three other fields:

Current Receipts

Current Suppl.

Current Index

The data from these fields come from receipts that have been checked-in in the Serial Tab of the Acquisitions Module. Current issues are checked-in in the Serial Tab and then linked to the holdings record so that they display as "current". In this way, the patron can see both bound/legacy holdings data as well as current receipts all in one summarized holdings display in the public catalog.

Revised: January 29, 2009
Introduction to the Serial Tab and the Manual Check-in of Serial Titles

Where the "Current" Receipts, Suppl. and Indexes come from in the Serial Tab:

- The receipt of issues v.77:no.1-3 is displaying in the holdings records as "Current Receipts"
- The supplement for 2003 is displaying in the holdings record as "Current Suppl."
- The Subject index for 2003 is displaying in the holdings record as "Current Index"

When staff checks in a new issue, supplement or index, the receipt will be linked to the appropriate 853 field (for a regular issue), 854 field (for a supplement) or 855 field (for an index). If staff is predicting the arrival of issues, the system will create this linkage at the same time as it creates the list of expected issues. If staff is checking in the issue without prediction, then the staff member must manually link the first item he/she is checking in to the appropriate field in the holdings record. Subsequent items that are then duplicated will have this linkage intact. The linkage happens in the 85X Link field on the Arrival Form.