# SERP Learner’s Guide

Setting Up and Checking-In Serials
Using Aleph Predictive Functionality

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1. What is Predictive Check-in?

Aleph's predictive functionality allows users to create a list of expected items that correspond to the publication pattern set up in the 853 or 854 field of a Holdings Record. Based on the pattern information and combined with the appropriate volume, year and other designations, the system will produce a set of item records.

**Example:** Journal of Aleph Examples: v.12 2004

- Published quarterly in January, April, July and October
- Issue numbering restarts
- Volume number changes in January

An Aleph **HOL record** that looks like this:

![HOL Record Example set up for Predictive Check-In](image)

Produces a predictive check-in record that looks like this:

![Serials Items List-List of Predicted Issues](image)

Checking-in serials without using prediction is covered in the **SERM: Introduction to the Serial Tab and Manual Check-In** class. The Aleph Serial Tab is designed for predictive check-in so much of the functionality that is unavailable while following a workflow that does not include prediction, is available while using prediction.
2. Identifying Predicted Issues and Required Information

Aleph does not provide any information that shows whether or not a title is being predicted on the Serial Tab. The most reliable way to determine whether or not an item has been created using prediction is to look at an item’s barcode display on the Check-In List:

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

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

2.1 Required Information

The following components must be in place whether or not a library has decided to predict item records:

1. Bibliographic Record
2. Holdings Record
3. Serial Order
4. Subscription Information Form
5. Item Record(s) with item processing status of NA (not arrived)
The following steps are also required when predicting issues:

1. Review the Subscription Information Form. Note the Subscription Sequence Number and the information on the number of days found in the First Claim field
2. Evaluate and/or edit of the latest 853 field in the Holdings Record for publication pattern data
3. Add the 853X field to the Holdings Record and preview publication pattern
4. Click the Open All button in the Serial Tab to create a list of predicted issues
5. Review the Expected Arrival Dates

3. Subscription Information Form & Predictive Check-In

This example assumes that there is already a bibliographic record, a holdings record, a serial order, and a subscription information form for the title. For information on how to create a subscription information form, see the SERM Guide.

To review the Subscription Information Form:

1. Open the Serial Tab
2. Search for your title
3. From the Navigation Pane, click on the Subscription List Root. The Root will open to the right of the Navigation Pane

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1. Highlight the library's subscription to open the Subscription Information Form for your library will appear in the Lower Pane.

2. Click on Tab 2, Subscription Info 1.

The following fields will be added to the set of predicted issues:

- Sublibrary
- Item Status
- Collection
- Call Number Type and Call Number
- Order No.
- HOL Link

**Note about From Date:** Normally, this field comes from the information set in the Serial Order Record. Review this date to make sure it is appropriate for check-in.

**NOTE:** If the From Date is set later than the date that check-in should begin, the system will generate an error message. For example, there are many vendors that will send an issue dated January 1, 2009 earlier than this date. If the library receives the issue in November 2008, but the From Date in the Subscription Information Form reads 01/01/2009, the system will not check in this issue. Change the From Date to November 1, 2008 or earlier.

In the case of predicted items, the consequence of setting the wrong From Date is more serious. If the From Date is chronologically later than the date set up in the list of predicted issues, the system may not predict the items correctly. For best results, enter the From Date for at least one year earlier than the actual issue date, e.g. set 01/01/2008 for a title that will begin publication in 01/01/2009.
The system also consults the Vendor field when sending a claim for a predicted issue.

1. Click Tab 3, Subscription Info 2

```
<table>
<thead>
<tr>
<th>Subscription Info (2) Tab</th>
</tr>
</thead>
<tbody>
<tr>
<td>Patron IDs:</td>
</tr>
<tr>
<td>Delivered Directly:</td>
</tr>
<tr>
<td>Print Label</td>
</tr>
<tr>
<td>First Claim:</td>
</tr>
<tr>
<td>Second Claim:</td>
</tr>
<tr>
<td>Third Claim:</td>
</tr>
<tr>
<td>Subsequent Claims:</td>
</tr>
<tr>
<td>Discard Routine:</td>
</tr>
<tr>
<td>Notes:</td>
</tr>
<tr>
<td>Check-in Notes:</td>
</tr>
<tr>
<td>Item Statistics:</td>
</tr>
<tr>
<td>Copy ID:</td>
</tr>
<tr>
<td>Remote Storage ID:</td>
</tr>
</tbody>
</table>
```

**Subscription Info (2) Tab**

The fields on this form that will be added to the set of predicted issues are as follows:

- **Note:** Information from this field will appear in the Internal Note field of the Arrival Form and Item Form
- **Check-in Note:** This note contains check-in and processing information. The information from this field will appear in the Check-In Note of the Arrival Form
- **Copy ID:** This information will appear in the Item Form
- **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 in the Item Form

In addition, information from the First, Second, Third and Subsequent Claim fields will be consulted by the system to determine the claim intervals for serial claims.

### 3.1 Information Needed from the Subscription Information Form for Prediction

There are two pieces of information required from the Subscription Information Form in order to produce a list of predicted issues:

1. The Subscription Sequence Number (found on the Subscription List)
2. The number of days found in the First Claim field (found on tab 3 of the Subscription Information Form)
3.2 Determining a Library’s Subscription Sequence Number

The Subscription Sequence number (Subn Seq.) is listed in the upper pane of the Subscription List:

The Subscription Sequence number must be added to the Holdings record to associate the holdings with the correct subscription.

3.3 Locating the Number of Days in the First Claim Field

The second piece of information required from the Subscription Information form is the number of days found in the First Claim Field. Aleph uses this field to define the Expected Arrival Dates for predicted issues.

To find the First Claim Field

1. Highlight the library’s subscription on the Subscription List. The Lower Pane will display the Subscription Information Form.

2. Click to Tab 3, Subscription Info 2. The First Claim field is found in the middle of the form.
This field may require editing based on the publication pattern of the title. For example, if the value of the First Claim field is 90, this means that the system will set 90 days between the arrival of issues. Users have the option to change this date based on the publication frequency of the title in hand. Change the value in this field to something more appropriate and click the Update button to save your changes.

**Note:** Changing the number of days in the First Claim field must be done before creating a set of issues. To change the value after creating issues the new issues delete the new issues, change and update the numbers of days in the first claim field and then reset the issue the system should begin predicting in the 853X field in the Holdings record.

### 4. Guidelines for Creating Prediction Patterns

#### 4.1 Start a List of Predicted Issues with Issue 1 of the Current or Next Volume

For best results, start a prediction record with issue 1 of a volume unless the periodical has continuous numbering. When creating issues in the middle of the year the following choices may be made:

A. Create the check-in record with the current year's issues using Aleph prediction. Delete unnecessary item records and use the remainder to check in the rest of this year's issues.

   For example, a library has manually checked in a monthly periodical through April. Create issues for that entire year using Aleph prediction and the delete the extra item records that were created for the issues that had already arrived (January through April). Use the item records that were generated by the system (May - December) to check in the rest of this year's issues. The system is now set up to predict the next year's set of issues.

B. Manually check-in the remainder of this year's check-in following the procedure outlined in the SERM Learner's Guide and then begin predicting issues for the next year.

#### 4.2 Limited pattern support in for subfields w and y in Aleph

See Appendix 1 for more information about the values of subfields w and y in the 853 field.

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

1. Subfield w must be coded with an alphabetic value in order for Aleph to predict with subfield y coded with the value of o ("omit")

   For example, Aleph will support this pattern:

   853 : : $$81$av.$bno.$u11$vr$i(year)$j(month)$wm$x02$yom01

   Aleph will NOT support this pattern:

   853 : : $$81$sav.$s$bno.$u11$vr$i(year)$j(month)$w11$x02$yom01

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2. If subfield w is coded with a numeric value, then the pattern must include subfield y coded with the value of "p" ("published")

For example, Aleph will support this pattern:

853::$81$av.$bno.$u5$vr$i(year)$j(month)$w5$x01$ypm01,03,09,11

4.3 Problematic Prediction Patterns

There are some patterns where Aleph does not currently create correct predictive check-in records. These pattern problems have been reported to the vendor.

Aleph is experiencing the following problems with these types of patterns.

A. Patterns with enumeration captions year and no.—use an (*) in $$a and the pattern will work (see Appendix 4 for more information)

B. Winter as the first issue: This requires manipulation of the 853X field, discussed in a later section. See Appendix 4 for more information on how to predict a title with Winter as the first issue

C. Two issues published each month: if you have a title that contains two issues per month, you will sometimes get inconsistent results. See Appendix 4 for more information

D. Some weekly and semiweekly periodicals

Please see Appendix 3 of this guide for assistance in creating patterns for bimonthlies and other periodicals that have combined chronology.

Please report any prediction problems you find to the Aleph Support Center:
http://hul.harvard.edu/ois/support/support-aleph.html
5. Review and Editing of Holdings Data

To set up prediction for a title in Aleph, evaluate the latest 853 tag in the holdings record in the Cataloging Module to see if it has enough publication pattern data in order to predict the arrival of issues.

The 853X field must be added to the holdings record to tell the system what volume and year to begin list of predicted issues with in the Serial Tab.

5.1. Pushing a title from Serials to Cataloging

1. From the Subscription List, click on Tab 4 in the Lower Pane, HOL Links. The library's holdings record will be highlighted. The red check mark indicates that the subscription is linked to this holdings record.

2. Click the Edit button. This will open the Cataloging Module to the Records Tab, and the Holdings Record will display in the Upper Pane.
### Cataloging Module, Records Tab, Holdings Record

<table>
<thead>
<tr>
<th>Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>LDR</strong></td>
<td>00511ny</td>
</tr>
<tr>
<td><strong>OWN</strong></td>
<td>1Q2</td>
</tr>
<tr>
<td><strong>LKR</strong></td>
<td>HVL01</td>
</tr>
<tr>
<td><strong>001</strong></td>
<td>000158179</td>
</tr>
<tr>
<td><strong>005</strong></td>
<td>20040308170729.0</td>
</tr>
<tr>
<td><strong>008</strong></td>
<td>01706248</td>
</tr>
<tr>
<td><strong>852</strong></td>
<td>2QZ0Z</td>
</tr>
<tr>
<td><strong>853</strong></td>
<td>8 1</td>
</tr>
<tr>
<td><strong>854</strong></td>
<td>8 1</td>
</tr>
<tr>
<td><strong>854</strong></td>
<td>8 1</td>
</tr>
<tr>
<td><strong>064</strong></td>
<td>8 1.1</td>
</tr>
<tr>
<td><strong>HND</strong></td>
<td>4 c</td>
</tr>
</tbody>
</table>

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Note following important fields in the **Holdings Record**:

- **852**: This field contains the sublibrary, collection code, and call number information. The 852 can also supply non public note (subfield x) and public note (subfield z) information.

- **853**: The 853 field will contain the captions (volume, Band, tome, etc.) information based on how the serial is published. The 853 field also contains publication pattern data, such as how many issues make up a volume (subfield u), whether or not the volume numbering restarts (subfield v), the frequency of the serial (subfield w) and at what point in the calendar year the volume changes (subfield x). **All serials checked in on the Serial Tab must have one active 853 field.** The caption information is linked to the data found in the 863 field via the subfield 8 field.

- **863**: This field indicates the volumes or issues owned by the library based on the captions give in the 853.

- **H08 field**: This information is required in all Aleph holdings records and indicates the cataloging status of the bibliographic record. In the example found in figure 21, the value is c, indicating that the record is fully cataloged. If the value contained a p, then the record has been provisionally cataloged. The field also contains the date the piece was cataloged in subfield b.

**Other fields you may find in the Holdings Display**:

- **854**: If the serial title includes supplements, then the caption for the supplements published will be indicated here.

- **864**: This field contains the data for the supplements

- **855**: If the serial title publishes indexes, then the captions for the indexes published will be indicated here.

- **865**: This field will contain the data for the indexes.

A record will contain fields for supplements and indices only if these types of materials are published for the title.

### 5.2 Evaluating the 853 field for Publication Pattern Data

Look for the latest 853 field in the record. This will be the 853 field that will have the highest subfield 8 value and is called the active field. This 853 field is used to set up prediction.

First, evaluate the 853 field to make sure that it contains all of the publication pattern data in order to predict issues.

A complete explanation of the 853 field can be found in Appendix 1 of this document. In addition, please consult the following resource available at the Harvard Aleph documentation site for information on how to construct 853 patterns:

- **Training guide**: [MARC21 Holdings Format Workshop](#)
853 Data in the Holdings Record

The following are the fields present in the 853 field:

- **Subfield 8**: contains a field linking number. The field link number should correspond to the number of 853s that exist in your Holdings record. If there is only one 853, then the value of subfield 8 should be 1. If there are two 853s, then the value of the latest subfield 8 should be 2, etc. The subfield 8 links the data found in the 853 field with the data found in the 863 field. The 853 with the highest subfield 8 value is the active pattern and it is this 853 field that will be used for prediction.

- **Subfield a** contains the caption for the highest level of enumeration, in this case v. for volume

- **Subfield b** contains the caption for the next highest level of enumeration, in this case no. for number

- **Subfield u** contains the number of issues per volume

- **Subfield v** contains the value of r, meaning that the issue numbering restarts when the volume changes. **Note**: If this had been a publication where the issues were continually numbered, subfield v would contain the value of c

- **Subfield i** contains the highest level of chronology. This is often the year in parentheses. The parenthesis indicates that the word "year" will not display in the public catalog

- **Subfield j** contains the next highest level of chronology

- **Subfield w** contains the frequency code. It is usually coded with a letter (q for quarterly, for example) but it is also possible to use a number in this field, e.g. 5 for a serial that is published 5 times a year

- **Subfield x** contains the month that the volume changes

- **Indicator values** of 2 and 0, meaning that the pattern data can compress or expand (see Appendix 1 for more information)

If the subfield w contained a number, or published issues in an unusual way, a subfield y could also be added to this record. Subfield y indicates irregularities in the publication pattern as shown in the following example:

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Subfield y defines the five times that this issue is published. The code pm means “published monthly” and then the numbers define the specific five months.

See Appendix 1 of this Learner's Guide for information from the MARC21 Holdings Format for all of the values that you can use in the 853 field. See Appendix 2 for a list of CONSER patterns that you can use in your 853 field to produce a predictive check-in record. Consult the MARC21 Training document referenced above for examples of specific patterns.

### 5.3 Constructing an 853 Field with All of the Publication Pattern Subfields

Many libraries have 853 fields in the holdings records, but many titles do not have publication pattern subfields (u, v, w, x and/or y), associated with them because in the library system used prior to Aleph, prediction was not possible.

**Title:** Journal of Aleph Examples

According to the legend (information found in the serial itself), the title is published with the following characteristics:

- **Enumeration:** published in volumes and numbers
- **Chronology:** published year and months.
- **Frequency:** It is published five times a year in January, April, June, September and December. The issue numbering restarts when the volume changes. The volume changes to a new volume each January.

The current Aleph holdings record looks like this:
Example of Holdings Record before Publication Pattern Data

The following fields are filled in:

- **Subfield 8**: Linking field that links the caption data of the 853 field to the data found in the 863 field.
- **Subfield a**: highest level of enumeration, in this case v. for volume
- **Subfield b**: second level of enumeration, in this case no. for number
- **Subfield i**: highest level of chronology, in this case (year) for year
- **Subfield j**: second level of chronology, in this case (month)

Add the following publication pattern subfields:

- **Subfield u**: indicating how many issues make up a volume
- **Subfield v**: indicating that the issue numbering restarts
- **Subfield w**: indicating the frequency of the volume
- **Subfield x**: indicating at what point in the calendar year this changes volume
- **Subfield y**: indicating the actual months that the piece is published based on the value set in subfield w (needed because this is published 5 times a year and we need to tell the system what "5" means: months, days, weeks?)
5.3.1 To add a new subfield to the 853 field

1. Create a new subfield after the $$b in the 853 field:

```
LDR ^nnn^nxnnn22^nnn^Inn^1500
OWN a MCK
LRK a HDL
     i HVD01
     b 000237108
001 i 000191303
005 i 20081218104407.0
008 i 0012183u^8^8^8^8001uuueng0000000
852 b MCK
     c GEN
     h QC477
     i .368
     853 20 8 i 1
          a v.
          b n.
          i (year)
863 40 9 i 1.1
     a 1-10
     i 1993-2007
H08 b 20020630
```

New subfield Created in the 863 field

2. Change the subfield value from a to u, then input the number of issues per volume, for example, 5

3. Create another new subfield and change the value from a to v. Type in the value that indicates that the issue numbering restarts, r

```
LDR ^nnn^nxnnn22^nnn^Inn^4500
OWN a MCK
LRK a HDL
     i HVD01
     b 000237108
001 i 000191303
005 i 20081218104407.0
008 i 0012183u^8^8^8^8001uuueng0000000
852 b MCK
     c GEN
     h QC477
     i .368
     853 20 8 i 1
          a v.
          b n.
          i (year)
863 40 9 i 1.1
     a 1-10
     i 1993-2007
H08 b 20020630
```

Subfields U and V added to 853 Field

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Next, add the subfields ($$) j, w, x and y:

4. After the $$i add the $$j (month)

5. After the $$j (month) add the $$w

6. After the $$w, add the $$x and enter the month in which the volume number changes, in this example, 01 for January

7. After the $$x, add a $$y and input the regularity pattern — the actual months the pieces will be published. Indicate that the piece is published monthly (pm) and then record the actual months in which the piece is published (01,04,06,09,12). Do not put spaces between the pm or the months that are published:

```
LDR ______ ^^^^^^nx^^^^^22^^^^^^1n^4500
OWN ______ a MCK
LKR ______ a HOL
     1  HYD01
     b 000237108
001      000191303
005      20081218104407.0
008      0812183u^^^^8^^^4001uweng0000000
852 0  b MCK
     c  GEN
     h  03477
    1  868
853 20  b 1
     a  v.
     b  no.
     w 5
   1 (year)
   j (month)
   x 01
   y pm 01,04,06,09,12
 853 40  b 1.1
     a 1-10
```

Subfields w, x and y Added to 853 Field

8. Next, change the indicator values of the 853 field to 2 and 0

9. Save the changes to the server

All of the publication subfields are now in place for this title. The next step is to add another field to the HOL record, the 853X field, that tells Aleph which volume, year and date designation the items records should be created for.
6. Setting up a Set of Predicted Issues

To create a list of predicted issues in Aleph, the HOL record needs to contain the following fields:

1. An 853 or 854 field that contains all of the appropriate publication pattern data to enable it to be predicted.

2. Another field must be added to the HOL record to tell that system what volume, year and date designations it should use to begin a list of predicted items. This list is created based on the pattern in the 853 or 854 field. This field is called the 853X or 854X field.

The 853X field is NOT a MARC field, it is an Aleph proprietary field that tells the system what volume, number, year, etc. it should start with to create a set of predicted issues.

Once the 853X field is set, the list of predicted items created from the 853 and 853X fields can be previewed in the Cataloging Module to verify that the system created the set of predicted items correctly.

6.1 Creating an 853X field in the HOL Record

To create an 853X field for the pattern:

1. Create a new field after the active 853 field [Note: It is not required to place the 853X immediately following the active 853 field but the 853 and the 853X fields are often read together]

2. Create a new field and insert 853 in the field area and then a capital X in the first indicator position.

    NOTE: Input the X as a capital letter and it must reside in the first indicator position, or the 853X field will not work correctly

3. In the first subfield position, type the field link field 8. The value of the subfield 8 in the 853X field should match the value in the 853 field.

4. Create a new subfield. Replace the subfield value a with the number 9. Then input the Subscription Sequence Number of the sublibrary’s subscription so Aleph will know what subscription to link the predicted issues with

5. Add a new $$a and input the volume number that the system should begin the check-in record for. For example, to start the list of issues with volume 12, input the number 12.

6. Add a new $$b and input the second level of enumeration

    Note: for annuals or titles that only have one level of enumeration; do not input a $$b. If the title contains a third level of enumeration, continue to create enumeration subfields

7. Add a $$i and input the highest level of chronology

8. Add a $$j and input the second level of chronology

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Note: the second level of chronology field requires a numerical value. The following are sets of values that should be used in this field:

**Months:**
- 01-Jan.
- 02-Feb.
- 03-Mar.
- 04-Apr.
- 05-May
- 06-June
- 07-July
- 08-Aug.
- 09-Sept.
- 10-Oct.
- 11-Nov.
- 12-Dec.

**Seasons:**
- 21: Spring
- 22: Summer
- 23: Autumn
- 24: Winter

---

**Aleph HOL Record 853 & 853X Fields**

### 6.2 Setting the Start Date: Subfield 3

The last piece of information that must be added to this 853X is a Start Date that will be represented by a subfield 3. The system will take the date that is entered in the subfield 3 of the 853X field and add to it the period of time in the First Claim field of the Subscription Information Form. This date will then create the Expected Arrival Date for the first and subsequent issues that exist on the predictive check-in record.

The Start Date works like this:

**Expected Arrival Date of first issue minus # of days in the First Claim field = Date set in $S3$ of the 853X**

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6.2.1 Expected Date of Arrival

The Expected Date of Arrival is the date when, if the issue does NOT arrive, Aleph will be prompted to place the title on a claim report. Setting the arrival date is a local unit decision.

Example:

Title: Journal of Aleph Examples. Quarterly, first issue received in January

In this example, the volume starts its issues in January. The first thing to decide is when Aleph should list this title on a claim report to indicate that the January issue has not arrived. For example, the library wants the first issue to appear on the claim report if it does not arrive on or about February 1, 2009.

Using the formula above, this means the following:

February 1, 2009 minus # of days in the First Claim field = Date set in $$3 of the 853X

6.2.2 Number of Days in the First Claim Field

Retrieve the number of days listed in the First Claim field of the Subscription Information Form for this title. For example, this field has been set to 120 days on Tab 3 of the Subscription Information Form.

The formula now reads:

February 1, 2009 minus 120 days = Date set in $$3 of the 853X

6.2.3 Subfield 3 Date

This means that the value of the $$3 of the 853X field in this example is 120 days prior to February 1, 2009. This means the date should be on or about October 1, 2008.

The formula is now complete:

February 1, 2009 minus 120 days = October 1, 2008

Please see Appendix 4 of this document for examples of subfield 3 start dates that to use with the most common patterns.

**To set the start date in the 853X field:**

1. Create a $$ 3 at the end of the 853X field and input the start date as follows: YYYYMMDD
Completed 853X Field

All of the elements for creating a predictive check-in record in Aleph are now in place. Save the changes to the **HOL record** to the server.

### 6.3 Predicting with Material Types other than ISSUE

When Aleph creates a set of predicted issues, it will create an item record for each expected issue. Normally, the material type field of these item records will contain the value ISSUE. It is possible to predict other types of serials, such as bound volumes, CD-ROMs, looseleaf supplements, etc.

To create a set of issues with a material type other than ISSUE:

1. Add a $$o to the 853X field with the appropriate material type. The material types available are:
   
   - **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

Use of subfield $$o is optional. For more information, please see the document Item Material Types for *Serials and Their Use in Aleph Prediction*, found at the Aleph Documentation Center web site at: [http://hul.harvard.edu/ois/systems/aleph/docs/serial_material_types.doc](http://hul.harvard.edu/ois/systems/aleph/docs/serial_material_types.doc).
6.4 **Previewing a Predicted Set of Issues**

Save the 853X field to the server and then preview a predicted set of issues in the Cataloging Module to see if the pattern created is correct. Here's how:

1. Highlight the 853X field on your HOL record
2. Click on Edit Actions from the Main Menu
3. Select Preview Publication Schedule:

![Preview of Predicted Items](image)

If the list of items is correct click Close to close the preview.

4. If the list of items is correct click Close to close the preview.

6.5 **Opening up the Set of Predicted Items in the Serial Tab**

Push the title back to the Serial Tab and open up the list of predicted issues:

1. From the Cataloging Menu, select Open Serials Record
2. When the tab opens, click on the Subscription List Root and highlight the correct library’s subscription in the upper pane:
3. Click the Open All button on the right hand side of the Subscription List to open up the list of predicted issues on the Check In List.

4. Click on the Check-In List
NOTE: If the issues created by clicking “open all” are not correct, delete these issues and redo the start date in the 853X field.

### 6.5.1 Deleting Items on the Check-In List

To delete an entire set of issues:

1. Highlight the first issue and put your finger on the <Shift> Key
2. Click on the last issue to highlight the entire set.
3. Click on the Delete button on the right hand side of the Check-In List.

**NOTE:** There is no way to restore deleted items.
7. Arriving Predicted Issues in Serials

The columns and buttons on the Check-In List are completely defined in the SERM Learner's Guide. This lesson will demonstrate how to arrive predicted issues.

When Aleph created the list of issues it created an item record for each issue that is expected to arrive on the Check-In List. Each Item Record created contains pattern information from the HOL record and processing information from the Subscription Information Form.

One of the differences between the predicted issues created by Aleph versus those issues created without prediction is that Aleph sets an Item Processing Status to indicate that the predicted issues have not yet arrived. To see this status:

1. Highlight your first expected issue. The Arrival Form for the issue will appear in the Lower Pane.

2. Click on Tab 2 in the Lower Pane and look for the Item Processing Status Field.

When Aleph creates a set of predicted issues, it will give each predicted issue a status of NA, "Not Arrived." This status suppresses the issue from display in the public catalog. When issues are arrived in Aleph, this Item Processing Status will be removed automatically by the system, and the issue will then display in the public catalog with the circulation policy of the piece.

7.1 Arriving Predicted Issues

1. 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.
2. Check the Arrival Form to confirm that the data is correct:

- Follow any processing instructions that you see on the Check-In Note and Internal Note fields.
- Check that the Description Field matches the enumeration and chronology on your piece. If you need to make changes, see section 9.2.
- Check that the Sublibrary and Collection are correct
- Check that the material type is ISSUE

3. 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.
Arrived Issue

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 arrived issue, click on the All Tab

7.2 Arriving Multiple Issues

You can also select more than one issue to arrive on the Check-In List.

1. If you receive some or all of the issues of a volume all at once, you can highlight the first issue you received, hold the <Shift> key down and select the last issue you received. All of the issues you want to arrive will be highlighted on the Check-In List.

2. Click the Select Button in the Upper Pane. The Lower Pane will open up to the Arrival Form for the first issue you highlighted on the Check-In List.
Multiple Issues Highlighted in Upper Pane

3. Click the Arrive button on the Lower Pane to check in the first issue. The Arrival Form for the next issue will appear.

4. Keep hitting the Arrive button on the Lower Pane (or press the <Alt> +A keys) until all of the issues have arrived.

7.2.1 Skipping Between Multiple Issues

It is also possible to highlight a set of issues and skip one or more issues that you did not receive by using the Skip button, which appears beneath the Arrive button on the Lower Pane. Here is an example of how this button works

1. Your library receives multiple issues of the same title at once, such as v.12:nos.1-3, 5-7.

2. You can highlight v.12:no.1 on the Check-In List in the Upper Pane, hold the <Shift> Key down on your keyboard, and select issues 1-7.

3. Click the Select button on the Upper Pane. The Arrival Form for v.12:no.1 will appear on the Lower Pane.

4. Click the Arrive button on the Lower Pane to arrive the issue. The Arrival Form for v.12:no.2 will open.

5. Click the Arrive button to arrive this issue, and do the same for issue 3.

6. When the Arrival Form for Issue 4 appears, click the Skip button, and the system will bring up the Arrival Form for Issue 5.
7.3 Opening up the Next Cycle of Predicted Issues

When you have opened up a set of issues in Aleph, the system will automatically augment the 853X field in the holdings record in anticipation of the next volume to be predicted. Therefore, you only need to set up the 853 and 853X fields once in your holdings record to create predicted issues, unless your pattern has changed or the title has changed.

To process title changes, see the document entitled Title Changes Work Aid, which can be found on the Harvard Aleph documentation site at: http://hul.harvard.edu/ois/systems/aleph/docs/Serial_Title_Changes_Work_Aid.pdf

When you have checked in a volume’s worth of issues, you can simply select the Open All button from the Subscription List to open up the next volume. The new set of issues will appear on the Check-In List.
8. Editing Predicted Issues

8.1 Pattern Changes

Depending on the circumstance you should deal with pattern changes in the following way:

1. If you have received notice from the publisher that the pattern is going to change permanently, you would create a new 853 pattern and 853X pattern to note the publication pattern change. See section 13.1 for more information on processing permanent pattern changes.

2. If you have a one time change in pattern, edit the existing list of issues to indicate that the change in the pattern.

This lesson explains how to make edits to an existing Check-In List of issues for a one time pattern change.

8.2 Editing Issues on the Check-In List

Here's how to edit predicted issues on the Check-In List. In this example, issue 3 will be combined with issue 4.

1. From the Check-In List, highlight the item for issue 4. The Arrival Form for issue 4 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 4 to 3/4
   - Chron.Level.2(J): change to appropriate months or seasons.
   - Delete the data Description field; Aleph will update this field when you click the Update button.

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

Now issue 3 must be deleted from the list

Revised: January 29, 2009
4. Highlight the item for Issue 3 and click Delete. Note: you must have authorization in your login to delete items. You will be asked to confirm that you wish to delete the record:

![Delete Confirmation]

Item Delete Confirmation

5. Click Yes and the item will be deleted.

---

8.3 Editing a Set of Items Incorrectly Produced by Aleph

This method can also be used to alter issues that do not predict absolutely correctly. For example, sometimes Aleph has difficulty creating prediction records for issues that have some combined chronology.

Here is an example:

*American Libraries* is published 11 times a year with June/July combined in one issue. Here is an example of how this piece was published in 2001:

- v.32:no.1 (2001:Jan)
- v.32:no.2 (2001:Feb)
- v.32:no.3 (2001:Mar)
- v.32:no.4 (2001:Apr)
- v.32:no.5 (2001:May)
- v.32:no.6 (2001:Jun/Jul)
- v.32:no.7 (2001:Aug)
- v.32:no.8 (2001:Sep)
- v.32:no.9 (2001:Oct)
- v.32:no.10 (2001:Nov)
- v.32:no.11 (2001:Dec)

Revised: January 29, 2009
There are 11 issues, with June/July published jointly as one issue. Following the MARC21 Format, a pattern was set up in the 853 field and the 853X field to predict the arrival of these issues in Aleph.

Here is the set of items predicted by Aleph in the Check-In List:

<table>
<thead>
<tr>
<th>Sub Sec</th>
<th>Sub Lib Code</th>
<th>Coll Code</th>
<th>Date</th>
<th>Barcode</th>
<th>Exp Arr Nq</th>
<th>Arrival</th>
<th>Claim</th>
<th>Vendor</th>
</tr>
</thead>
<tbody>
<tr>
<td>10</td>
<td>HEL</td>
<td>GEN</td>
<td>v.33:no.3 (2002:Mar.)</td>
<td>126000-2310</td>
<td>05/30/00</td>
<td>--------</td>
<td>EBSCOUS</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>HEL</td>
<td>GEN</td>
<td>v.33:no.4 (2002:Apr.)</td>
<td>126000-2320</td>
<td>06/30/00</td>
<td>--------</td>
<td>EBSCOUS</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>HEL</td>
<td>GEN</td>
<td>v.33:no.5 (2002:May)</td>
<td>126000-2330</td>
<td>07/30/00</td>
<td>--------</td>
<td>EBSCOUS</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>HEL</td>
<td>GEN</td>
<td>v.33:no.6/7 (2002:Jun./July)</td>
<td>126000-2340</td>
<td>08/30/00</td>
<td>--------</td>
<td>EBSCOUS</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>HEL</td>
<td>GEN</td>
<td>v.33:no.8 (2002:Aug.)</td>
<td>126000-2350</td>
<td>09/30/00</td>
<td>--------</td>
<td>EBSCOUS</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>HEL</td>
<td>GEN</td>
<td>v.33:no.9 (2002:Sept.)</td>
<td>126000-2360</td>
<td>10/30/00</td>
<td>--------</td>
<td>EBSCOUS</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>HEL</td>
<td>GEN</td>
<td>v.33:no.10 (2002:Oct.)</td>
<td>126000-2370</td>
<td>11/30/00</td>
<td>--------</td>
<td>EBSCOUS</td>
<td></td>
</tr>
<tr>
<td>10</td>
<td>HEL</td>
<td>GEN</td>
<td>v.33:no.11 (2002:Nov.)</td>
<td>126000-2380</td>
<td>12/30/00</td>
<td>--------</td>
<td>EBSCOUS</td>
<td></td>
</tr>
</tbody>
</table>

Check-In List - List of Issues Predicted Incorrectly

Note how the enumeration and chronology for the issues differ from the actual publication pattern, beginning with v.33:no.6. Aleph has chosen to combine both enumeration as well as chronology for this issue. As a result, instead of getting v.33:no.6 (2002:Jun./July), the items appears as v.33:no.6/7 (2002:Jun./July). This throws off the numbering and the chronology for the remainder of the issues, through v.33:no.11, which according to Aleph should be published in November, when in fact it should be published in December.

There is two ways of dealing with this:

1. Modify each of the items from v.33:no.6/7-through v.33:no.11 in order to fix the enumeration and chronology for my piece. There is no way I can alter the pattern in my 853 or my 853 X in order for this pattern to predict correctly.

2. Alter the pattern in the 853 or 853X field to produce a list that is more easily edited. See Appendix 3 of this guide for more information as to how to modify an 853 field so that you would only have to modify one item on this list instead of 6.

8.3.1 Compliance with the MARC21 Holdings Format

It is possible to modify the information in the 853 field and/or the 853X field to produce a set of predicted items that meets your needs. It is important to keep in mind, however, that the Bibliographic Standards Committee strongly urges you NOT to change your 853 pattern to something that does not conform to the MARC21 Holdings Format in order to predict your title. Correct reporting of pattern information in the HOL record is important for the accurate reporting of holdings information and may impact the export of HOL records.

Revised: January 29, 2009
9. Creating a Predictive Check-In Record for Supplements and Indexes

It is possible to set up a pattern in the 854 field as well as setting up an 854X field to predict the arrival of a supplement, or an 855 and 855X field to predict the arrival of an index.

In the example below, there is an 854 field in the HOL record that contains a pattern for an annual supplement. An 854X field is then added in order to predict the arrival of this year's supplement.

<table>
<thead>
<tr>
<th>853</th>
<th>20</th>
<th>8</th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
<td>1</td>
<td>v.</td>
</tr>
<tr>
<td>b</td>
<td>no.</td>
<td>5</td>
</tr>
<tr>
<td>u</td>
<td>r</td>
<td></td>
</tr>
<tr>
<td>i</td>
<td>(year)</td>
<td></td>
</tr>
<tr>
<td>j</td>
<td>(month)</td>
<td></td>
</tr>
<tr>
<td>x</td>
<td>01</td>
<td></td>
</tr>
<tr>
<td>y</td>
<td>pm 01,04,06,09,12</td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>853</th>
<th>X</th>
</tr>
</thead>
<tbody>
<tr>
<td>8</td>
<td>1</td>
</tr>
<tr>
<td>9</td>
<td>5</td>
</tr>
<tr>
<td>a</td>
<td>12</td>
</tr>
<tr>
<td>b</td>
<td>1</td>
</tr>
<tr>
<td>i</td>
<td>2009</td>
</tr>
<tr>
<td>j</td>
<td>01</td>
</tr>
<tr>
<td>x</td>
<td>20081001</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>854</th>
<th>20</th>
<th>8</th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
<td>1</td>
<td>v.</td>
</tr>
<tr>
<td>o</td>
<td>Annual Supplement</td>
<td></td>
</tr>
<tr>
<td>i</td>
<td>(year)</td>
<td></td>
</tr>
<tr>
<td>b</td>
<td>(month)</td>
<td></td>
</tr>
<tr>
<td>w</td>
<td>a</td>
<td></td>
</tr>
</tbody>
</table>

HOL Record-854 Pattern

1. Create a new field: 8554X. In the subfield section, change the subfield a to 8, and input the value of the linking field from the 854 field

2. Add a $$9 and fill in the subscription sequence number

3. Add a $$a and insert the volume number for the supplement

4. Add a $$o and write the type of the supplementary material — **NOTE** this is NOT required

5. Add a $$i and enter the year

6. Add a $$j and insert the month of the supplement – this must be a numeric value

7. Add a $$3 and set the start date. In this example, the sublibrary has determined that it wants to be notified that the supplement has not arrived on or about July 1, 2009.

Therefore using the start date formula:

- Expected Arrival Date \( \text{minus} \) \# of days in the First Claim field of the Subscription Information Form = Date in the $$3 of the 853X

Revised: January 29, 2009
- The number of days in the **First Claim** field is 120
  - This means that the start date should be 120 days prior to July 1, 2009, therefore:
  - July 1, 2009 minus 120 days = 20090301

8. Add a **$3** and set the date as YYYYMMDD: 20090301

   ![Image](image1.png)

   **854 20**
   
   ![Image](image2.png)

   **854 X**

   Hol Record-Completed 854X Field

9. Save changes to the server

10. Preview the pattern by highlighting the 854X field and clicking on Edit>Preview Publication Schedule from the Main Menu

![Image](image3.png)

   Predicted Supplement Preview

11. Next, add the data concerning the supplement to the 864 field. Add the appropriate enumeration and chronology data to the 864 and save your changes to the server.
12. Open the serial tab from the cataloging main menu – Cataloging - Open Serials Record. Click on the **Subscription List Root** in the navigation pane of the serial tab and then highlight the sublibrary's subscription and click the **Open All** button:
13. Open the Check-In List and notice the predicted supplement on the list in the Upper Pane:

Predicted Supplement on Check-In List

NOTE: Because there is a subfield o in the 854 pattern, the supplement appears in this list with the Description: Annual Supplement v.12(2009:June)

9.1 Arriving a Predicted Supplement

To arrive the supplement:

1. From the Upper Pane, highlight the supplement and click on the Select button. The Arrival Form for the supplement will open in the Lower Pane.

2. Check the processing notes on the Arrival Form to see if there is anything you need to add this piece. For example, you may wish to add something to the check-in note of the Subscription Information Form to tell check-in staff to add the word "Suppl." to the call number when they are checking in the piece.

3. Click Arrive on the Lower Pane to check in the issue. You will return to the Check-In List.
9.2 Checking In a Supplement or Index without prediction

Since most supplements are not predictable, it will probably be the exception, not the rule, to create a predicted item for a supplement. See the SERM Guide, section 9, for instructions on how to process an unexpected supplement or index.

10. Claim Information for Predicted Serial Titles

10.1 How the Claim Date is set for Predicted Issues

The first claim date of a serial issue is the Expected Arrival Date of the issue.

The Expected Arrival Date is calculated based on the date found in the Issue Date field plus the number of days found in the First Claim field of the Subscription Record.

- For predicted items, the Issue Date is set in the subfield $$3 of the 853X field.
- This date is set by the user title by title.
- This date, combined with the number of days found in the First Claim field of the Subscription Information Form, creates the Expected Arrival Date of the First Issue.
- Subsequent Expected Arrival Dates for predicted issues are set based on the frequency of the piece plus the number of days in the First Claim field of the Subscription Information Form.

Example:

Monthly – 12 issues per year

- The 853X $$3 date for the first issue is set as 20050101.
- If the number of days in the First Claim Field is 45, then the first Expected Arrival Date for Issue 1 will be @Feb. 15, 2005.
- Formula: $$3 date + the number of days in the First Claim field of the Subscription.
- For subsequent issues, Aleph will increment the Issue Date field automatically based on the frequency of the title. The user can see the new Issue Date for the next issue on Tab 2 of the Arrival Form.
- In the case of a monthly, the Issue Date will be incremented by 30 days.
- Aleph will then add another 45 days to this date, from the First Claim field of the Subscription Form, to create the Expected Arrival Date for issue 2 @March 15, 2005.
- Aleph will then increment the Issue Date on each remaining issue.
- When all issues of the current volume are checked in, the user clicks Open All to open the items for the next volume. In the holdings record, you will see that Aleph has incrementing all of the enumeration and chronology values, as well as the $$3 date, in the 853X field.

Instructions on how to process serial claims can be found in the SERM Guide, Section 10.

Revised: January 29, 2009
11. Using Pattern Templates

If you are processing a new serial title in Aleph, it is possible to use pattern templates to make the creation of a prediction pattern easier. This lesson describes how pattern templates can be used.

The process for identifying a new serial title, including the creation of a subscription record, can be found in the SERM Guide. This lesson assumes that the library has a bibliographic record, holdings record with the On Order status, serial order record, and subscription record already created for the title.

11.1 Accessing the Holdings Record from the Subscription Node

From the Subscription Node, write down the Subscription Sequence number for your library's subscription and the number of days found in the First Claim field.

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.

![HOL Links Tab](image)

HOL Links Tab

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.
11.2 Updating Receipt or Acquisitions Status in the HOL Record

1. Click on the 008 field and hit the <Ctrl> + F keys to bring up the 008 Field Form.

   ![008 Form]

   008 Form

   The cursor will be on the Receipt or Acquisitions Status field.

2. Change the value of this field from 3 to 4. This will change the status in the public catalog from On Order to Currently Received.

3. Click OK to close the 008 field form.

11.3 Creating a predictive check-in record by using pattern templates

If you decide to predict the arrival of issues, Aleph can provide a helpful tool: pattern templates, which can easily create your 853 field and 853X field.

Revised: January 29, 2009
To bring up the list of pattern templates that will be used to create an 853 and an 853X field for the title:

1. From the Edit Menu, choose Expand from Template -or- click the Ctrl +E keys.

A list of pattern templates will open up for you.

2. In this particular example, we are working with a title that is a monthly that begins in January. Scroll down the pattern template list on the right hand side of the window and select the monthly pattern. You will see the pattern preview appear in the window next to the list of patterns.

3. Check the 853 pattern to see if it looks correct. You will alter some values in the 853X field to make it conform to your publishing pattern and to set the correct start date. If the pattern...
in the 853 field looks correct, click Open. The HOL record will now be populated with the 853 field and 853X data from the pattern template.

The HOL record now contains:

- An 853 field with monthly publication data
- An 853X field with issue start information

11.3.1 Editing the 853 field

1. Add a value to the subfield 8 field. In this case the value will be 1, because this is the first instance of an 853 field.

2. If the piece is published in something other than volumes and/or numbers, change the value(s) in subfield a and b to reflect the appropriate captions.

3. If there are additional levels of enumeration, add them using the F7 key to create a new subfield, change the subfield to reflect the appropriate subfield code, and add the appropriate caption value.

4. Check to make sure the values in subfields u and v are correct; change if necessary.

5. If there is no chronology on the piece, delete the subfields i and j. If there are different chronology values (e.g. "season" instead of month), edit the appropriate subfield value.

6. If there are additional levels of chronology, add them using the F7 key to create a new subfield, change the subfield to reflect the appropriate subfield code and add the appropriate caption value.

7. Check the value of subfield w to make sure it is correct; change if necessary.

8. Add a value to subfield x to note the calendar change, if appropriate. In this case the value will be 01 for January, which is when the volume will change.
9. Because this is a regular pattern, we do not need the subfield y. You can leave it blank, and the system will delete it when you save your changes to the server. If you do need to add a regularity pattern, add it using the appropriate values.

11.3.2 Editing the 853X field

1. Add a value to the subfield 8 field. This value should match the value in the 853 subfield 8; therefore the value will be 1.

2. Add a value to the subfield 9 field. Input the appropriate Subscription Sequence number to the 853X field.

3. Add the appropriate volume number (or whatever the highest level of enumeration is) in subfield a

4. If the piece has a second level of enumeration, add the appropriate value to subfield b, which should always be 1.

5. If there are additional levels of enumeration, add the appropriate value(s) using the F7 key to create a new subfield, changing the subfield to indicate the appropriate letter code, and then adding the appropriate value.

6. Add the highest level of chronology to subfield i if the piece has chronology.

7. Add the second level of chronology to subfield j if the piece has a second level of chronology.

8. If there are additional levels of chronology, add the appropriate value(s) using the F7 key to create a new subfield, changing the subfield to indicate the appropriate letter code, and then adding the appropriate value.

9. We now need to edit the subfield 3 of the 853X with the correct start date. The number of days in the First Claim date is 45. Your sublibrary has determined that the Expected Arrival Date should be @February 1, 2004. So the start date is 45 days prior to February 1, 2004, or @December 15, 2003. Input 20031215 in the Start Date field.
11.3.3 Creating and Opening Up the Predicted List of Issues

1. Once you have determined that all of the date is correct, save your record to the server by clicking on the Server Icon.

2. Preview your pattern by choosing Edit>Preview Publication Schedule from the Main Menu.

3. Push the piece to the Serial Tab by choosing Cataloging>Open Serials Record from the Main Menu.

4. From the Navigation Pane, click on the Subscription List Root.

5. Highlight your library's subscription and click the Open All button.

6. Bring up the Check-In List by clicking on the Check-In Node from the Navigation Pane or pressing the <Ctrl>+<Alt>+K keys. Look at the Expected Arrival Dates to see if the dates are correct.

7. Check in your first piece by clicking on the Select button in the Upper Pane.
8. When the **Arrival Form** opens in the Lower Pane, add the **Item Processing Status**, of **RE (Ordered-Received)** if you are going to send to the piece to your Cataloging department for call number information.

![New Serial Check-In: Item Processing Status Ordered-Received](image)

9. Click **Arrive** in the Lower Pane to process the arrival.

10. Send piece to your cataloging department, if appropriate. Note: All issues checked in should contain this item processing status until the piece is cataloged.

After the piece is cataloged:

1. Bring up the **Subscription Information Form** and click **Refresh** to add the Call number information to your title.

2. On the **Check-In List**, modify each item that has been checked in by clicking the **Refresh** button to bring in call number information and setting the **Item Processing Status** to blank.
12. Processing Pattern Changes and Gaps in Holdings

If your title experiences a title change, you must create a new bibliographic, holdings and pattern data for the new title. See the document *Title Changes Work Aid*, located at the Harvard Aleph documentation web site for more information. The URL for this document is http://hul.harvard.edu/ois/systems/aleph/docs/Serial_Title_Changes_Work_Aid.pdf

If your existing title experiences a **publication pattern change**, however, then you must create a new 853 field in your holdings record. This lesson will detail the process for creating a new pattern in the existing holdings record for a serial title.

Please note that the same prediction rules apply for pattern changes as for new titles—you must start the issue with issue 1 (unless the piece is continuously numbered). If your pattern changes in the middle of the existing pattern, you will have to edit the remaining items using the process outlined in section 9.

12.1 Processing a Pattern Change

In this example, we will change the pattern from a quarterly to a bimonthly beginning with volume 5, 2005:

1. Bring up the holdings record for the title. You will see the existing 853 and 853X fields.

2. Copy the existing 853 field by highlighting the 853 and choosing Edit>Copy>copy field or pressing the <Ctrl>+T keys.

3. Position your mouse underneath the existing 853 and 853X fields. If you have an 863 field connecting to the existing 853, position your cursor beneath the 863 field.

4. Paste the 853 field by choosing Edit>Paste>Paste field or pressing the <Alt> + T keys.

5. Edit the new 853 field
   - Change the subfield 8 value from 1 to 2. This change will make this new 853 field the active field.
   - Make sure that your enumeration captions (subfields a and b) are correct. Add any additional enumeration fields if necessary.
   - Change the subfield u value from 4 to 6, reflecting how many issues make up a volume for a bimonthly.
   - Make sure that your subfield v value is correct; change if necessary
   - Make sure your chronology captions (subfields i and j) are correct. Add any additional chronology subfields if necessary.
   - Change the subfield w value from q to b, indicating that the frequency in now bimonthly.
   - Confirm that the subfield x value is correct; change if necessary.
   - Add a subfield y if necessary.

Revised: January 29, 2009
6. Now create the new 853X field

   A. Copy the existing 853X field by highlighting it and pressing <Ctrl>+ T.

   B. Position your mouse underneath the new 853 field and press <Alt>+T to past the 853X field.

   C. Change the subfield 8 value from 1 to 2

   D. Change the subfield a value to 5, if it is not already changed

   E. Change the subfield i value to 2005, if it is not already changed.

   F. Change the value of subfield 3 if necessary (note: you may need to change the number of days in the First Claim field of the Subscription Information Form before you change the subfield 3 date, depending on the first Expected Arrival Date you want on the first issue).
7. Highlight the OLD 853X field and press the <Ctrl>+F5 keys to delete the old field. Note: do NOT delete the old 853 field, only the 853X field.

8. Save your changes to the Server.
New Pattern Added to Holdings Record

9. Push title to serials by choosing Cataloging>Open Serials Record from the Main Menu.

From the Navigation Pane, highlight the Subscription List Root.

Highlight your library's subscription and click the Open All button.

New Pattern Check-In List

Keep in mind that any new holdings added to the holdings record in the form of an 863 field will now reflect the subfield 8 value of the 853 field; that is, the first 863 field will have a subfield 8 value of 2.1.

Revised: January 29, 2009
New 863 volume of new pattern added to Holdings Record (Subfield $$8 value 2.1).

### 12.2 Processing Gaps in Holdings

It may be possible that your library does not receive all issues of a periodical. The piece may have been published, but your library never received it or it was lost after it was received and put on the shelf. It may also be possible that the issue was never published.

If you never receive the periodical issue, it is possible to record the holdings information on the holdings record in the 863 field, and indicate that you have a published or nonpublished gap. You then can delete the remaining issues that have been processed for the issue in the Serial Tab.

Do NOT process a gap in holdings without consulting with your Supervisor to insure that all possible avenues of filling in the gap have been pursued. It is also possible to process the gap in issues and then, upon receipt of the issue at a later date, change the 863 information to indicate that the volume is now complete.

In this example, we will process a gap for a monthly periodical. Volume 29, 2004 is missing the June issue.

#### 12.2.1 Manually Processing A Gap in Holdings

To manually process a gap in holdings:
1. Bring up the holdings record for your title. Check to see the last volume recorded in the 863 field.

![Holdings Record](image)

Holdings Record

2. To process a volume with a gap, **create a new 863 field**. Position your mouse next to the last character in your 863 field.

3. Hit the **F6 key** to create a new field. **Type 863** in the field.

4. **In the subfield 8, you will need to increment the line number**. For example, if your first 863 field had the subfield 8 value of 1.1, then this new 863 will have the value of 1.2. The 863 is still relying on the pattern link of the 853.

![New 863 Field with Line Number Incremented](image)

New 863 Field with Line Number Incremented

5. Add enumeration and chronology for the volume with the gap as you would a regular 863 field. Because we are recording detailed holdings, we will add the following information:
   - Subfield a: 29 (for volume 29)
   - Subfield b: 1-5 (for issues 1-5, which are the issues we own to the point of the gap)

Revised: January 29, 2009
- Subfield i: 2004
- Subfield j: 01-05 (for Jan.-June)

863 Edited with Issue Data

After adding the enumeration and chronology data, add a subfield w. The subfield w has two possible values: **g** indicates a published gap; **n** indicates a non-published gap.

6. Type the F7 key to add the subfield w. Change the subfield value from a to w, and add the appropriate subfield w value.

Gap recorded

7. Hit the F6 key to create a new field. This will be another 863 field to complete the volume.

8. **Code the subfield 8 value as 1.3.**

9. Code the remaining values of the new 863 with the remaining issues owned by the library.

Revised: January 29, 2009
10. Save your changes to the server.

863 Subfield 8.1.3 Added to Complete Volume

To see the public display of the gap information:

1. Click on Tab 3, Browser in the Lower Pane.

2. Choose Cataloging>View in Web OPAC from the Main Menu.

The holdings record will display with the gap information. Note that there is a comma to indicate the gap in holdings; if this was a nonpublished gap, the comma would be replaced by a semicolon.
Appendix 1 MARC21 Format for Holdings: 853-863 Pattern Information

853-855 Captions and Pattern - General Information

853 Captions and Pattern-Basic Bibliographic Unit (R)
854 Captions and Pattern-Supplementary Material (R)
855 Captions and Pattern-Indexes (R)

First Indicator

853, 854 Compressibility and expandability
   0 Cannot compress or expand
   1 Can compress but not expand
   2 Can compress or expand
   3 Unknown

855 Undefined

Second Indicator

853.854 Caption evaluation
   0 Captions verified; all levels present
   1 Captions verified; all levels may not be present
   2 Captions unverified; all levels present
   3 Captions unverified; all levels may not be present

855 Undefined

Subfield Codes

Enumeration caption

Revised: January 29, 2009
‡a First level of enumeration (NR)
‡b Second level of enumeration (NR)
‡c Third level of enumeration (NR)
‡d Fourth level of enumeration (NR)
‡e Fifth level of enumeration (NR)
‡f Sixth level of enumeration (NR)
‡g Alternative numbering scheme, first level of enumeration (NR)
‡h Alternative numbering scheme, second level of enumeration (NR)

Chronology caption
‡i First level of chronology (NR)
‡j Second level of chronology (NR)
‡k Third level of chronology (NR)
‡l Fourth level of chronology (NR)
‡m Alternative numbering scheme, chronology (NR)

Other captions
‡o Type of supplementary material/index (NR) [854/855]
‡t Copy (NR)

Publication pattern
‡u Bibliographic units per next higher level (R)
‡v Numbering continuity (R)
‡w Frequency (NR)
‡x Calendar change (NR)
‡y Regularity pattern (R)
DEFINITION AND SCOPE

The 853-855 Captions and Pattern fields contain captions that identify the enumeration and chronology levels and codes that define the publication pattern of the holdings described in the 863-865 Enumeration and Chronology fields. Any related 853-855 and 863-865 fields are linked by a number in subfield ‡8 (Field link and sequence number).

A general description of the four types of holdings data fields and their relationship to each other is given in the 853-878 Holdings Data-General Information section.

Guidelines for applying content designators and the input conventions for the 853-855 fields are given in this section.

GUIDELINES FOR APPLYING CONTENT DESIGNATORS

- INDICATORS

First Indicator - Compressibility and expandability [853/854]

The first indicator position in fields 853 and 854 contains a value that indicates whether the holdings data contained in the 863 or 864 Enumeration and Chronology field to which the Captions and Pattern field is linked can be compressed or expanded by computer algorithm. The specific data element requirements for compression and expansion are given in the Input Conventions area of this General Information section. A fuller description of compressibility and expandability is given in the 853-878 Holdings Data-General Information section.

The first indicator value does not indicate whether the holdings data in the 863 or 864 field are already expressed in a compressed or expanded form. This condition is indicated by the value in the second indicator position (Form of holdings) in the 863 or 864 Enumeration and Chronology field.

0 - Cannot compress or expand

Value 0 indicates that the data in the linked 863 or 864 Enumeration and Chronology field can be neither compressed nor expanded by computer algorithm.

1 - Can compress but not expand

Value 1 indicates that the data in the linked 863 or 864 Enumeration and Chronology field can be compressed but cannot be expanded by computer algorithm.

2 - Can compress or expand

Revised: January 29, 2009
Value 2 indicates that the data in the linked 863 or 864 Enumeration and Chronology field can be either compressed or expanded by computer algorithm.

3 - Unknown

Value 3 indicates that the compressibility and expandability by computer algorithm of the data in the linked 863 or 864 Enumeration and Chronology field is unknown.

First Indicator - Undefined /855/

The first indicator position is undefined and contains a blank (b).

Second Indicator - Caption evaluation /853/854/

The second indicator position in fields 853 and 854 contains a value that indicates the completeness of the caption levels and whether the captions used actually appear on the bibliographic item.

0 - Captions verified; all levels present

Value 0 indicates that the field contains captions for all possible levels and that they appear on the item.

1 • Captions verified; all levels may not be present

Value 1 indicates that the field contains captions as they appear on the item but that all possible levels may not be included.

2 - Captions unverified; all levels present

Value 2 indicates that the field contains captions for all possible levels but that they are not necessarily the same as they appear on the item.

3 - Captions unverified; all levels may not be present

Value 3 indicates that the field may not include captions for all possible levels and that the ones given are not necessarily the same as they appear on the item.

Second Indicator - Undefined /855/

The second indicator position is undefined and contains a blank (b).

• SUBFIELD CODES

‡a- ‡h - Enumeration captions

Subfields ‡a-‡h contain the captions for the levels of enumeration applicable to a bibliographic item. These caption subfields are correlated with the enumeration subfields ‡a-‡h in the 863-865 Enumeration and Chronology field linked to the 853-855 field, although the same subfields need not always be present. Full correlation of caption and enumeration level subfields ‡a-‡h in linked 853-855/863-865 fields is not required when captions are not desired for displaying the holdings statement. Full correlation is required when compression or expansion of the enumeration in field 863 or 864 by computer algorithm is desired. If there is no caption on the item for some level, a
caption may be invented and enclosed in brackets ([ ]) or an asterisk used in place of data in order to achieve full correlation.

853 03‡81 av.‡bno.

863 40‡81.1 ‡a1-7‡b1-12

[Display example: v. 1 - 7, [no.] 1 -12]

When alternative numbering schemes are applicable to an item, subfields ‡g and ‡h contain the alternative enumeration captions. If captions for more than two levels of alternative enumeration are required, an 866-868 Textual Holdings field is used. When only chronology captions are used on an item (that is, the item carries no enumeration), the chronology captions are contained in the relevant enumeration caption subfields (‡a-‡h). If a chronology caption is not to be used in a display of the 863-865 Enumeration and Chronology field, it is enclosed in parentheses, for example, (year).

853 03‡81‡a(year)

863 40‡81.1‡a1964-1981

[An annual publication identified only by year.]

When a supplement or index designation is used as a caption (which occurs if its numbering relates to a particular volume or part of the bibliographic unit, e.g. v. 9, suppi. 1-3) the designation is contained in the relevant enumeration caption subfield (‡a-‡f).

854 00‡81av.‡bsuppl.‡i(year)‡j(month)‡k(day)

864 40‡81.1‡a16‡b1‡i1977‡j06‡k01

[Display example: v.16: suppl. 1 (1977: June 1)]

854 00‡81av.‡bsuppl.

864 40‡81.1‡a31

[Display example: v.31: suppl.]

When the enumeration consists of the number of units held followed by a term describing the units, the entire phrase is contained in the appropriate 863-865 field, and the 853-855 field contains the term unit (in parentheses if display is not desired).

853 03‡81‡a(unit)

863 b1‡81.1‡a50 playing cards

‡a - First level of enumeration

Subfield ‡a contains the caption for the highest level of enumeration. The designation for an unnumbered (e.g., new ser.) or a numbered (e.g., ser. 5) series is considered part of the caption.

855 ‡bb‡81av.

Revised: January 29, 2009
853 01‡81‡av.
853 01‡82‡anew ser.:
863 40‡81‡a1-25
863 40‡82.1‡a1-12

[Holdings consist of v. 1-25 and new series v. 1-12.]

853 01‡81‡aser.5:v. ‡i(year)
863 40‡81.1‡a24-33‡i1969-1978

[Holdings consist of series 5, v. 24-33, 1969-1978.]

‡ b - Second level of enumeration

Subfield ‡b contains the caption for the second level of enumeration.

853 03‡81‡av.‡bno.
863 40‡81.1‡a3‡b1

‡ c - Third level of enumeration

Subfield ‡c contains the caption for the third level of enumeration.

853 02‡81‡av.‡bpt.‡cno.
863 40‡81.1‡a2‡b2‡c1-3

‡ d - Fourth level of enumeration

Subfield ‡d contains the caption for the fourth level of enumeration.

853 00‡81‡av.‡bsect.‡u12‡vr‡cno.‡u7‡vr‡dpt.‡uvar‡vr‡i(year)‡j(month)
‡k(day)‡l[week]‡wd‡x01
863 40‡81.1‡a1‡b4‡c4-7‡d15‡i1988‡j04‡k13-16‡l15


‡ e - Fifth level of enumeration

Subfield ‡e contains the caption for the fifth level of enumeration. Subfield ‡e is unlikely to be used.

‡ f - Sixth level of enumeration

Subfield ‡f contains the caption for the sixth level of enumeration. Subfield ‡f is unlikely to be used.

Revised: January 29, 2009
‡ g - Alternative numbering scheme, first level of enumeration

Subfield +g contains the caption for the highest level of an alternative numbering scheme.

853 23+81 81+av.+bno.+gno.+u12+vr+x01+i(year)+j(month)
863 40+81.1+a1-3+g1-36+i1977-1979
863 40+81.2+a4+b1-2+g37-38+i1980+j01-02


‡ h • Alternative numbering scheme, second level of enumeration

Subfield +h contains the caption for the second level of an alternative numbering scheme.

853 22+81+av.+bno.+g(letter)+hBd.+u12+vr+i(year)+j(month)+wm+x01
863 40+81.1+a7+b1-3+gB+h21-23+i1981+j01-03

[Display example: v. 7. no. 1-3 (B, Bd.21-23)(1981:Jan.-Ma’rz)]

‡ i-‡ m - Chronology captions

Subfields +i-+m contain the captions for the levels of chronology applicable to a bibliographic item. These caption subfields are correlated with the chronology subfields +i-+m in the 863-865 Enumeration and Chronology field linked to the 853-855 field, although the same subfields need not always be present. Full correlation of caption and chronology level subfields +i-+m in the 853-855/863-865 fields is not required when captions are not desired for displaying the holdings statement. Full correlation is required when compression or expansion of the chronology in field 863 or 864 by computer algorithm is desired. Because bibliographic items generally do not carry chronology captions, a caption may be invented and enclosed in brackets ([ ]) in order to achieve full correlation.

When an alternative chronology scheme is applicable to an item, subfield +m contains the alternative chronology caption. If captions for more than one level of alternative chronology are required, an 866-868 Textual Holdings field is used.

When only chronology captions are used on an item (that is, the item carries no enumeration), the chronology captions are carried in the relevant enumeration caption subfields +a-+h) and no captions are recorded in subfields +i-+m. If a chronology caption is not to be used in a display of the 863-865 Enumeration and Chronology field, it is enclosed in parentheses, e.g., (year).

‡ i - First level of chronology

Subfield +i contains the caption for the highest level of chronology.

853 20+81 +av.+i(year)
‡ j - Second level of chronology

Subfield ‡j contains the caption for the second level of chronology.

853 03 81 8av. 8bno. 8gno. 8i(year) 8j(season)

‡ k • Third level of chronology

Subfield +k contains the caption for the third level of chronology.

853 22+81 8av.8bno.8u12+vr8i(year)+j(month)+k(day)+ww+x01

‡ l - Fourth level of chronology

Subfield +l contains the caption for the fourth level of chronology.

853 00 881 8av.8bsect.8u12+vr8cno.8u7+vr8dpt.8uvar.8vr8i(year)
8j(month)
8k(day)8l(week)8wd8x01

863 40 881.1+a1+b4+c4-7+d15+i1988+j04+k13-16+l15

‡ m - Alternative numbering scheme, chronology

Subfield +m contains the caption for an alternative chronology scheme.

‡ o - Type of supplementary material/index /854/855/

Subfield +o contains a caption that describes the type of supplementary material (e.g., annual buyer's guide) in field 854 or the type of index (e.g., subject index) in field 855 when the type is specified on the item. When used, subfield +o immediately follows the caption to which it refers.

855 8bb+81 8a(year)+oalphabetical index

865 4b+81.1+a1969-1978

If the title of the supplementary material or an index is different from the indication of the type, the title is recorded in subfield +o (Title of supplementary material/index) of the 864 or 865 Enumeration and Chronology field.

‡ t - Copy

Subfield ‡t contains the caption for the copy number when the 863-865 Enumeration and Chronology field linked to the 853-855 field contains a subfield ‡t (Copy number).

853 22+81 8av.8bno.8u4+vr8i(year)+j(month)+wq+x12+tc

863 40+81.1+a1-4+b1-6+t3

‡ u - Bibliographic units per next higher level

Revised: January 29, 2009
Subfield ‡u contains either a number that specifies the total number of parts that comprise the next higher level of enumeration or the code var or and. Subfield ‡u may be used with each level of enumeration except the first level (subfield ‡a or ‡g) because there is no higher level. When it is used, subfield ‡u follows the caption subfield for the enumeration level to which it applies.

<n> - Number of parts

The total number of parts that constitute the next higher level of enumeration for example, a quarterly publication requires 4 issues to make 1 volume. Because subfield ‡u is variable in length, no leading zero is used for a single-character number.

853 03+81 ‡av.+bno.+u12+vr+cpt.+u3

[The bibliographic unit consists of 12 numbers per volume and 3 parts per number.]

Combined issues are counted as one part.

853 10+avol.+bno.+u8+vr+i(year)+j(month)+wm+x01+ypm
01/02,03,04,05,6/07,08/09,10,11/12

[Example of monthly serial with four combined issues]

var - Varies

Code var is used when the total number of parts that constitute the next higher level of enumeration varies so much that a specific number in subfield ‡u would be meaningless.

und - Undetermined

Code und is used when the next higher level of enumeration is known to have parts but the number of parts is unknown.

‡ v - Numbering continuity

Subfield ‡v contains a one-character code that indicates whether the enumeration has continuously incrementing numbers or whether the numbering restarts at the completion of a specific unit. Subfield ‡v may be used with each level of enumeration except the first level (subfield ‡a or ‡g). Subfield ‡v follows the caption subfield and the subfield ‡u (Bibliographic units at next higher level) for the enumeration to which it applies.

c - Number increments continuously

853 03+81 ‡av.+bno.+u12+vc
863 40 +81.1+a1
863 40 +81.2+a2+b13

[The bibliographic unit consists of 12 numbers and the issue numbers increment continuously.]
r - Number restarts at the completion of the unit

853 03+81+av.+bno.+u12+vr

863 40 ÷.81.1+a1

863 40 ÷.81.2+a2+b1

‡ w - Frequency

Subfield ‡w contains either a one-character alphabetic code or a number that indicates the publication frequency of the item. Subfield ‡w is not related to a specific caption. It is input following the last chronology caption used. Specific publishing pattern information is contained in subfield ‡y (Regularity pattern).

Codes

A one-character alphabetic code is used for a publishing pattern that has a fundamental periodicity, for example, code q indicates that the item is published quarterly.

a - Annual                        j - Three times a month
b - Bimonthly                    k - Continuously updated
c - Semiweekly                   m - Monthly
d - Daily                        q - Quarterly
e - Biweekly                     s - Semimonthly
f - Semiannual                   t - Three times a year
g - Biennial                     w - Weekly
h - Triennial                    x - Completely irregular
i - Three times a week

854 00+81 +(year)+wa

853 20+81+av.+bno.+u12+vr+i(year)+j(month)+wm+x11

Number

A number is used to specify the number of issues per year when no codable periodicity exists.

Because subfield ‡w is variable in length, no leading zero is used for a single-character number.

853 00+81+a(year)+w4

Revised: January 29, 2009
[The bibliographic unit is published four times a year at irregular intervals.]

‡ x - Calendar change

Subfield ‡x contains one or more two- or four-character numeric codes that indicate the chronological point at which the next highest level increments or changes

Codes

A two-character code identifies the month or season of change. A four-character code in the pattern mmd'd (2 for the month and 2 for the day) identifies the month and day of change. A month or day code of less than two digits is right justified and the unused position contains a zero.

<table>
<thead>
<tr>
<th>Month</th>
<th>Day</th>
<th>Season</th>
</tr>
</thead>
<tbody>
<tr>
<td>01 - 12 - Month</td>
<td>01-31 - Day</td>
<td>21 - Spring</td>
</tr>
</tbody>
</table>

 22 - Summer
 23 - Autumn
 24 - Winter

853 03‡81‡av.‡bno.‡u4‡vr‡i(year)‡j(season)‡wq‡x21

[A quarterly publication for which issue no. 1 of each volume is identified as Spring.]

853 22‡81‡av.‡bno.‡u12‡vc‡i(year)‡j(month)‡wm‡x07

[A monthly publication consisting of 12 numbers per volume: the issue numbers increment in July, when a new volume begins.]

When there is more than one change in a year (for example, 12 numbers per year are issued as 2 volumes per year), all of the calendar change codes are contained in one subfield ‡x and the codes are separated by a comma. Subfield ‡x is not related to a specific caption. It is input following the last subfield.

853 22‡81‡av.‡bno.‡u6‡vc‡i(year)‡j(month)‡wm‡x06,12

[A monthly publication which has 6 numbers per volume. The numbers increment continuously in June and December, when the volumes begin.]

‡ y - Regularity pattern

Subfield ‡ y contains codes that describe the regularity of the publishing pattern coded in subfield ‡w (Frequency). The subfield is structured as follows:

< Publication Code> < Chronology Code Definition> < Chronology Code >,< Chronology Code>,...
The subfield may contain one or more chronology codes that are associated with the publication code and chronology code definition that are in the first and second character position of the subfield. The subfield may be repeated to allow for coding more than one publication code/chronology code definition/chronology code string to indicate regular exceptions to a specified regularity pattern (i.e. normalized irregulars).

**Publication Code** - The first one-character code indicates whether the subsequent codes refer to the publication or the nonpublication of part(s) of the item.

- **o** - Omitted
- **p** - Published

**Chronology Code Definition** - The second one-character code indicates whether the subsequent Chronology Code(s) represent the name of a day, a numeric month or month and day code, a code for a season of the year, or a code for a week of the month or year.

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

**Chronology Code** - The chronology code indicates the designation of the part of the item for which regularity pattern information is provided.

Multiple codes are separated by a comma. A slash (/) is used to designate combined issues.

Two-character alphabetic or numeric codes are used for days, weeks, months, and/or seasons.

A code of less than two digits is right justified and the unused position contains a zero.

### Chronology Type and Code Patterns

<table>
<thead>
<tr>
<th>Chronology_Type</th>
<th>Possible_Chronology</th>
<th>Example</th>
<th>Example</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>d</strong></td>
<td>dd</td>
<td>su</td>
<td>Sunday</td>
</tr>
<tr>
<td><strong>d</strong></td>
<td>DD</td>
<td>08</td>
<td>Eighth day of each month</td>
</tr>
<tr>
<td><strong>m</strong></td>
<td>MM</td>
<td>09</td>
<td>September</td>
</tr>
<tr>
<td><strong>d</strong></td>
<td>MMDD</td>
<td>0925</td>
<td>September 25</td>
</tr>
<tr>
<td><strong>s</strong></td>
<td>SS</td>
<td>22</td>
<td>Summer</td>
</tr>
<tr>
<td><strong>w</strong></td>
<td>WWdd</td>
<td>03we</td>
<td>Third Wednesday</td>
</tr>
<tr>
<td><strong>w</strong></td>
<td>MMWWdd</td>
<td>0599tu</td>
<td>Last Tuesday in May</td>
</tr>
</tbody>
</table>

Revised: January 29, 2009
Setting Up and Checking-In Serials Using Aleph Predictive Functionality

**Pattern Description:**

<table>
<thead>
<tr>
<th>Pattern</th>
<th>Meaning</th>
<th>Characteristics</th>
<th>Possible Values - Summary</th>
</tr>
</thead>
<tbody>
<tr>
<td>dd</td>
<td>day</td>
<td>alpha</td>
<td>mo-su</td>
</tr>
<tr>
<td>DD</td>
<td>day</td>
<td>numeric</td>
<td>01-31</td>
</tr>
<tr>
<td>ww</td>
<td>week</td>
<td>numeric</td>
<td>01-53</td>
</tr>
<tr>
<td>WW</td>
<td>week</td>
<td>numeric</td>
<td>99, 98, 97, 00, 01, 02, 03, 04, 05</td>
</tr>
<tr>
<td>MM</td>
<td>month</td>
<td>numeric</td>
<td>01-12</td>
</tr>
<tr>
<td>SS</td>
<td>season</td>
<td>numeric</td>
<td>21, 22, 23, 24</td>
</tr>
</tbody>
</table>

**Pattern Values:**

- **Week - ww**
  - Day of week - dd: 01-53
- **Month - MM**
  - mo - Monday: 01-12
  - tu - Tuesday: 01-12
  - we - Wednesday: 01-12
  - th - Thursday: 01-12
  - fr - Friday: 01-12
  - sa - Saturday: 01-12
  - su - Sunday: 01-12

- **Week of Month - WW**
  - 99 - Last: 21 - Spring
  - 98 - Next to Last: 22 - Summer
  - 97 - Third to Last: 23 - Autumn
  - 00 - Every: 24 - Winter

- **Season - SS**
  - 01 - First: 01-31
  - 02 Second: 02-31
    - 03 - Third
    - 04 - Fourth
    - 05 - Fifth

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The Regularity pattern codes are maintained at the Library of Congress. Questions on coding patterns or establishing new ones should be addressed to the Network Development and MARC Standards Office, Library of Congress, Washington, D.C. 20540-4402 (Email: ndmso@loc.gov).

854 03‡81‡a(year)‡b(month)‡c(day)‡d(yodsa

[Item is published daily except Saturday.]

854

02‡81‡av.‡bno.‡u11‡vr‡i(year)‡j(month)‡wm‡x01‡ypm01,02,03,04,

05,

06,07/08,09,10,11,12

[Item is a monthly, with the first number appearing in January and a combined July/August issue]

854 03‡81‡av.‡bno.‡u10‡vr‡i(year)‡j(month)‡w10‡x09‡yom07,08

[Item has ten numbers per volume: ten numbers per year beginning with no.

tin September; no numbers published in July or August.]

854 03‡81‡av.‡bno.‡u4‡vr‡i(year)‡j(season)‡wq‡x21

[Item has 4 numbers per volume; four numbers per year, published in Spring, Summer, Autumn, and Winter.]

853 03‡81‡av.‡bno.‡ww‡yow0100we,069we,0700we,0801we,0802we,

0803we,0804we,98we,99we

Publication is omitted all weeks of Jan. (01); last Wed. in June (0699we); every Wed. in July (0700we): 1st, 2nd, 3rd, and 4th Wed. in Aug. (0801 we, 0802we, 0803we, 0804we); next to last Wed. (98we) and last Wed. (99we)]

853 20‡81‡av.‡bno.‡u48‡vr‡ww‡x0101‡yow05we

[Item is a weekly, but omits the fifth Wednesday of the month.]

853 03‡av.‡bno.‡u12‡vr‡i(year)‡j(month)‡

wm‡x01‡ypw02we‡ypw0402th,0501we

[Item is monthly, published every second Wednesday of the month except in April when it is published on the second Thursday and May, when it is published on the first Wednesday.

853

Revised: January 29, 2009
[Item is published every Monday and Thursday except for when New Years Day, the fourth of July, Labor Day, Thanksgiving and Christmas fall on a Monday or Thursday.]

853 02‡av.‡i(year)‡wg‡yyyy1/yyy2

863 02‡a10‡i1999/2000

‡z - Numbering scheme

Subfield ‡z contains a six character code string used to designate the numbering scheme used on a publication. The codes allow for recording different numbering schemes at different levels of enumeration.

Type of designation - The first one-character code indicates whether the numbering is a number, letter or combined (number first or letter first). Combined should only be used when one of the elements is a constant designation (e.g., 1a, 2a, 3a), rather than actually two different levels of enumeration (e.g., 1a, 1b, 1c).

a - Number
b - Letter
c - Combined, number first
d - Combined, letter first
e - Symbol or special character

Case - The second one-character code indicates if a numbering scheme is conveyed as alphas and applies both to those coded in the previous position as "b" or to Roman numerals.

a - No case
b - Lower case
c - Upper case
d - Mixed case

Script Code/Type Code - The third through sixth positions indicate either the script used in the numbering scheme or, for numerals or symbols that are not in alternate scripts, the type of numeral or symbol used. The script code is a four-character code from the list at:
www.everytype.com/standards/iso15924. The type code is as follows:

- Arabic numeral
  - \texttt{anbb} - Arabic numeral
- Roman numeral
  - \texttt{rnbb} - Roman numeral
- Symbol
  - \texttt{sy < symbol > 6} - Symbol

\begin{verbatim}
853 20+81+av.+bissue+i(year)+j(month)+k(day)+ww+zaaab
863 40+81.1+a37+b1232+i1970+j12+k31
\end{verbatim}

[The numbering scheme used is an Arabic alternate script]

\begin{verbatim}
853 20+81+av.+bno.+u6+vr+ww+x0101+yow05we+zaaanbb
863 40+1.1+a18+b7
\end{verbatim}

[The numbering scheme used is Arabic numeral]

\‡3 - Materials specified

Subfield \‡3 contains information that specifies the range of volumes or dates to which the field applies.

\‡ 6 - Linkage

\‡ 8 - Field link and sequence number

See description of these subfields in Appendix A.

INPUT CONVENTIONS

See also the Input Conventions in the 863-865 Enumeration and Chronology-General Information section.

Compression and expansion requirements - The following conditions must be present in a holdings statement for machine compression or expansion (itemization) to be possible:

\textit{Leader/I 7 Encoding level}

Compression only can be applied to Holdings level 4 detailed holdings statements (Leader/17, code 4) and Holdings level 4 detailed holdings statements with piece designation (Leader/17, code 5).

Expansion can be applied to both types of detailed holdings statements (Leader/17, code 4 or 5) and to Holdings level 3 summary holdings statements (Leader/17, code 3).

\textit{Correlation of the 853/864 caption and the 863/864 enumeration level subfields}

Compression and expansion require that the caption subfields (\(+a - +m\)) for each of the applicable levels of enumeration and chronology subfields (\(+a - +m\)) must be present in the

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853/854 Captions and Pattern field that is linked to the 863/864 Enumeration and Chronology field.

Publication pattern subfields ‡u-‡v

No publication pattern subfields in field 853 or 854 are required for either compression or expansion when the enumeration and chronology in field 863 or 864 consist only of the highest level of enumeration (subfields ‡a, ‡g, ‡i, ‡m). When subsequent levels are present, the compression or expansion capability requires pertinent publication pattern information in the following subfields:

‡u Bibliographic units per next higher level

‡v Numbering continuity

‡w Frequency

‡x Calendar change

‡y Regularity pattern

Compression of the contents of subfields ‡a-‡m in field 863 or 864 requires information in subfields ‡u and ‡v. Subfield ‡u may not contain the code var (varies) or und (undetermined).

Expansion of the contents of subfield ‡a-‡m in field 863 or 864 requires information in subfields ‡u, ‡v, and ‡w and may also require information in subfields ‡x and ‡y.

Punctuation - A period following an abbreviation used as a caption is carried in the MARC record.

Ordinal Numbers - To indicate that ordinal numbers should be displayed, a plus sign (+) may be used preceding the caption. If no caption is entered, a plus sign may be recorded alone to indicate display of the corresponding 863 subfield as an ordinal number.

853 03‡81‡a(year)‡b+qtr.

863 40‡81.1‡a1982‡b1

Display example:
1982:1st qtr.

853 03‡81‡a+

863 40‡81.1‡a1

Display example:
1st

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Note that there is no requirement that this technique of distinguishing between ordinal and cardinal numbers be used, nor is there any requirement that any differentiation need be made. A system would require internal language tables to display the correct ordinal numbers. There is no provision in the holdings format for communicating these tables.

**Abbreviations** - The abbreviations used in subfields ‡a-‡h are recorded according to the

*Anglo-American Cataloguing Rules* (Appendix B: Abbreviations).

**Field Repeatability** - A single 853-855 Captions and Pattern field may apply to more than one 863-865 Enumeration and Chronology field *if the contents of the subfields remain constant*. The 853-855 fields are repeated when the contents of the subfields varies. For items that have continually varying captions and pattern, an organization may choose to use the Textual Holdings (866-868) fields.

**CONTENT DESIGNATOR HISTORY**

‡w Frequency

k  Continuously updated [NEW. 2001]

‡z Numbering scheme [NEW, 2000]

Subfield ‡z was defined to designate the numbering scheme used on a publication.

---

**Appendix 2 CONSER Prediction Patterns Working With Aleph**

*Note: These are examples of 853 patterns that work correctly with Aleph. This is NOT a complete list. Do not assume that because you do not see a pattern listed here that it does not work.*

<table>
<thead>
<tr>
<th>pattern name</th>
<th>853 subfields $a .. $y</th>
<th>notes</th>
</tr>
</thead>
<tbody>
<tr>
<td>Annual</td>
<td>$a (year) $w a</td>
<td></td>
</tr>
<tr>
<td>Annual</td>
<td>$a v. $i (year) $w a</td>
<td></td>
</tr>
<tr>
<td>Annual with alternative number</td>
<td>$a v. $g no. $i (year) $w a</td>
<td></td>
</tr>
<tr>
<td>Annual-ordinal number</td>
<td>$a +ed. $i (year) $w a</td>
<td></td>
</tr>
<tr>
<td>Biennial</td>
<td>$a v. $i (year) $w e</td>
<td></td>
</tr>
<tr>
<td>Triennial</td>
<td>$a v. $i (year) $w h</td>
<td></td>
</tr>
<tr>
<td>Semi-annual</td>
<td>$a v. $b no. $u 2 $v r $i (year) $j (month) $w f $x 03</td>
<td>Subfield x could be whatever month you specify.</td>
</tr>
<tr>
<td>Semi-annual – month of turnover specified</td>
<td>$a v. $b no. $u 2 $v r $i (year) $j (month) $w f $x 03</td>
<td>Subfield x could be whatever month you specify.</td>
</tr>
<tr>
<td>Semi-annual-continuous numbering</td>
<td>$a v. $b no. $u 2 $v c $i (year) $j (month) $w f</td>
<td></td>
</tr>
<tr>
<td>Semi-annual-alternative numbering</td>
<td>$a v. $b no. $u 2 $v r $g no. $w f</td>
<td></td>
</tr>
<tr>
<td>3/year</td>
<td>$a v. $b no. $u 3 $v r $i (year) $j (month) $w t</td>
<td></td>
</tr>
<tr>
<td>3/year – month of turnover specified</td>
<td>$a v. $b no. $u 3 $v r $i (year) $j (month) $w t $x 02</td>
<td>Subfield x could be whatever month you specify.</td>
</tr>
</tbody>
</table>

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<table>
<thead>
<tr>
<th>Serial Type</th>
<th>MARC 245 Field Structure</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quarterly – seasons</td>
<td><code>Sa v. $b no. $u 4 $v r $i (year) $j (season) $w q</code></td>
</tr>
<tr>
<td>Quarterly – months</td>
<td><code>Sa v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 01</code></td>
</tr>
<tr>
<td>Quarterly – seasons, turnover</td>
<td><code>Sa v. $b no. $u 4 $v r $i (year) $j (season) $w q $x 21</code></td>
</tr>
<tr>
<td>turnover month specified</td>
<td><code>Subfield x could be whatever season you specify. </code></td>
</tr>
<tr>
<td>Quarterly – months, turnover</td>
<td><code>Sa v. $b no. $u 4 $v r $i (year) $j (month) $w q $x 01</code></td>
</tr>
<tr>
<td>turnover month specified</td>
<td><code>Subfield x could be whatever month you specify.</code></td>
</tr>
<tr>
<td>Quarterly – continuous</td>
<td><code>Sa v. $b no. $u 4 $v c $i (year) $j qtr. $w q</code></td>
</tr>
<tr>
<td>4/year</td>
<td><code>Sa v. $b no. $u 4 $v r $i (year) $j (month) $w 4</code></td>
</tr>
<tr>
<td>4/year, turnover monthly specified</td>
<td><code>Subfield x could be whatever month you specify.</code></td>
</tr>
<tr>
<td>4/year – turnover month specified</td>
<td><code>Sa v. $b no. $u 4 $v r $i (year) $j (month) $w 4 $x 09</code></td>
</tr>
<tr>
<td>4/year – months of publication</td>
<td><code>Can't work in Aleph without subfield y reported positively-See 4/year-months of publication and turnover month specified. </code></td>
</tr>
<tr>
<td>and turnover month specified</td>
<td><code>Can't work in Aleph without subfield y reported positively-See 4/year-months of publication and turnover month specified. </code></td>
</tr>
<tr>
<td>Bimonthly</td>
<td><code>Sa v. $b no. $u 6 $v r $i (year) $j (month) $w b</code></td>
</tr>
<tr>
<td>Bimonthly, turnover month specified</td>
<td><code>Sa v. $b no. $u 6 $v r $i (year) $j (month) $w b $x 04</code></td>
</tr>
<tr>
<td>Bimonthly – turnover month</td>
<td><code>Sa v. $b no. $u 6 $v r $i (year) $j (month) $w b $x 02 $y pm 01/02,03/04,05/06,07/08,09/10,11,12</code></td>
</tr>
<tr>
<td>specified and issue months</td>
<td><code>See Appendix 2-requires adjustment to 853X field</code></td>
</tr>
<tr>
<td>specified</td>
<td><code>Sa v. $b no. $u 6 $v r $i (year) $j (month) $w b $x 08 $y pm 01/02,03/04,05/06,07/08,09/10,11,12</code></td>
</tr>
<tr>
<td>Bimonthly with combined</td>
<td><code>Sa v. $b no. $u 6 $v r $i (year) $j (month) $w b $x 01,02,03,05,07,09,11,12</code></td>
</tr>
<tr>
<td>issues specified</td>
<td><code>See Appendix 2-requires adjustment to 853X field.</code></td>
</tr>
<tr>
<td>6/year – turnover month and</td>
<td><code>Sa (year) $b (month) $u 6 $v r $w 6 $x 01 $y pm 01,03,05,07,09,11</code></td>
</tr>
<tr>
<td>months of publication specified</td>
<td><code>Will not work in Aleph-when subfield w is a number, subfield y must be reported positively.</code></td>
</tr>
<tr>
<td>8 issue/year, 2 vols/year</td>
<td><code>Sa v. $b no. $u 4 $v r $i (year) $j (month) $w 8 $x 01,07 $y pm 01,02,03,05,07,09,11,12</code></td>
</tr>
<tr>
<td>8 issue/year, 2 vols/year;</td>
<td><code>Sa v. $b no. $u 4 $v r $i (year) $j (month) $w 8 $x 01,07 $y pm 02,05,09,11</code></td>
</tr>
<tr>
<td>omitted months specified</td>
<td><code>Will not work in Aleph-when subfield w is a number, subfield y must be reported positively.</code></td>
</tr>
<tr>
<td>11/year – omit month specified</td>
<td><code>Sa v. $b no. $u 11 $v r $i (year) $j (month) $w m $x 01 $y om 09</code></td>
</tr>
<tr>
<td>Monthly</td>
<td><code>Sa v. $b no. $u 12 $v r $i (year) $j (month) $w m</code></td>
</tr>
<tr>
<td>Monthly, turnover month specified</td>
<td><code>Sa v. $b no. $u 12 $v r $i (year) $j (month) $w m $x 07</code></td>
</tr>
<tr>
<td>Monthly – continuous, turnover</td>
<td><code>Subfield x could be whatever month you specify.</code></td>
</tr>
<tr>
<td>month specified</td>
<td><code>Sa v. $b no. $u 12 $v c $i (year) $j (month) $w m $x 06</code></td>
</tr>
<tr>
<td>Semi-monthly</td>
<td><code>Sa v. $b no. $u 24 $v r $i (year) $j (month) $k (day) $w s</code></td>
</tr>
<tr>
<td>Semi-monthly, turnover specified</td>
<td><code>Subfield x could be whatever month you specify.</code></td>
</tr>
<tr>
<td>Semi-monthly – 4 levels of</td>
<td><code>Sa v. $b no. $u 24 $v r $i (year) $j (month) $k (day) $w s $x 04</code></td>
</tr>
<tr>
<td>Subfield x could be whatever</td>
<td><code>Subfield x could be whatever month you specify.</code></td>
</tr>
<tr>
<td>turnover specified</td>
<td><code>Sa v. $b no. $u 6 $v r $c pt. $u 2</code></td>
</tr>
</tbody>
</table>

Revised: January 29, 2009
### Appendix 3 Tips and Tricks for Creating Predictive Check-In Records

Many titles that have combined chronology, such as bimonthlies, need to have combined issues in the 853X field in order to generate a correct prediction pattern in Aleph:

#### Appendix 3.1: Combined Chronology

853 pattern:

853:20: $S8 1 $S$a v. $S$b no. $S$u 6 $S$v r $S$i (year) $S$j (month) $S$w b $S$x 02

853X Field

$S8 1 $S$9 1 $S$a 1 $S$b 1 $S$i 2002 $S$j 01/02 $S$3 20021001

Notes:

$S8: Should contain the correct 853 linking field number

$S9: Should contain your sublibrary's subscription sequence number

---

<table>
<thead>
<tr>
<th>Enumeration</th>
<th>Biweekly – turnover month specified</th>
<th>Subfield x could be whatever month you specify.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Biweekly – turnover month specified</td>
<td>$S$a v. $S$b no. $S$u 26 $S$v r $S$i (year) $S$j (month) $S$k (day) $S$w e $S$x 01</td>
<td></td>
</tr>
<tr>
<td>Biweekly – 2 vols/year, turnover months specified</td>
<td>$S$a v. $S$b no. $S$u 13 $S$v r $S$i (year) $S$j (month) $S$k (day) $S$w e $S$x 02,08</td>
<td></td>
</tr>
<tr>
<td>Weekly</td>
<td>$S$a v. $S$b no. $S$u 52 $S$v r $S$i (year) $S$j (month) $S$k (day) $S$w w</td>
<td></td>
</tr>
<tr>
<td>Weekly – month of turnover specified</td>
<td>$S$a v. $S$b no. $S$u 52 $S$v r $S$i (year) $S$j (month) $S$k (day) $S$w $S$x 01</td>
<td></td>
</tr>
<tr>
<td>Daily publication with six levels of enumeration</td>
<td>$S$a v. $S$b no. $S$u 2 $S$v r $S$c pt. $S$u 13 $S$v $S$d sect. $S$u 2 $S$v r $S$f sub-unit $S$u 7 $S$v r $S$I (year) $S$j (month) $S$k (day) $S$w d</td>
<td></td>
</tr>
<tr>
<td>Daily – turnover day specified</td>
<td>$S$a v. $S$b no. $S$u 365 $S$v r $S$i (year) $S$j (month) $S$k (day) $S$w d $S$x 0101</td>
<td></td>
</tr>
<tr>
<td>$S$y c Combined enumeration</td>
<td>$S$a v. $S$b no. $S$u 12 $S$v r $S$i (year) $S$j (month) $S$k (day) $S$w d $S$x 01 $S$y ce27/8</td>
<td></td>
</tr>
<tr>
<td>$S$y c combined chronology</td>
<td>$S$a v. $S$b no. $S$u 11 $S$v r $S$i (year) $S$j (month) $S$k (day) $S$w d $S$x 01 $S$y cm07/08</td>
<td></td>
</tr>
<tr>
<td>$S$y c combined enumeration and chronology</td>
<td>$S$a v. $S$b no. $S$u 11 $S$v r $S$i (year) $S$j (month) $S$k (day) $S$w d $S$x 01 $S$y ce27/8 $S$y cm07/08</td>
<td></td>
</tr>
</tbody>
</table>
$3 based on a First Claim field of 120 and an expected arrival date of February 1, 2002.

This same approach in the 853X field works for a quarterly that is published, for example, like this: v.1:no.1(2000:Jan./Mar.), and a semiannual that begins, for example, like this: v.1:no.1(2000:Jan./June).

**Example 2: A bimonthly published v.1:no.1/2 (2002:Jan/Feb.)**

853 pattern:

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

853X Field

$$8 1 $$9 1 $$a 1 $$b 1/2 $$i 2002 $$j 01 $$3 20021001

**Notes:**

$8: Should contain the correct 853 linking field number

$9: Should contain your sublibrary's subscription sequence number

$3 based on a First Claim field of 120 and an expected arrival date of February 1, 2002.

This same approach in the 853X works for a monthly with combined issues and chronology, e.g., v.1:no.1/2 (2002:Jan/Feb.)

**Appendix 3.2: Patterns that contain 853 $$a (year) and $$b no.**

To predict these titles, change the $$a (year) to $$a (*):

853:20: $$8 1 $$a (*) $$b no. $$u 6 $$v r $$w b

853X Field

$$8 1 $$9 1 $$a 2006 $$b 1 $$3 20021001

**Appendix 3.3: Patterns that start with a Winter issue**

Create standard 853 pattern. In the 853X field, start the year with the previous year, e.g.

853:20: $$8 1 $$a v. $$b no. $$u 4 $$v r $$i (year) $$j (month) $$w q $$x 24

853X Field

$$8 1 $$9 1 $$a 12 $$b 1 $$i 2005 $$j 24 $$3 20021001

This will produce these issues:

v.12:no.1 (2005: Winter)

v.12:no.2 (2006: Spring)
v.12:no.3 (2006:Summer)

v.12:no.4 (2006:Autumn)

Change the year for v.12:no.1 in the item record from 2005 to 2006. Now all issues are correct.

Appendix 3.4: Patterns that have issues per month (not weekly, not semi-monthly, etc.)

A pattern that would normally form like this:

```
853 20 $$8 1 $$a Deel $$b Nr. $$u 10 $$v 20 $$w 01,07 $$x 01,07 $$y pm01,02,03,03,04,05,05,06,07,08,08,09,09,10,10,11,11,12
853X $$8 1 $$9 1 $$a 178 $$b 1 $$i 2007 $$j 01 $$3 20070101
```

Will produce an incorrect set of issues. The March issue will continue to be in the description from the 4th item to the 20th. Use this pattern to fix this problem:

```
853 20 $$8 1 $$a Deel $$b Nr. $$u 10 $$v 20 $$w pw0101,0201,0202,0301,0302,0401,0501,0502,0601,0602,0701,0801,0802
0902,1001,1002,1101,1102,1201
853X $$8 1 $$9 2 $$a 178 $$b 1 $$i 2007 $$j 01 $$3 20070101
```

Note that this pattern is not correctly formed. It is to be used until the problem is solved by Ex Libris.

### Appendix 4: $$3 Start Dates Based on Publication Pattern

Below is an example of Subfield 3 Start Dates that can be set in the 853X field based on publication pattern. Please note that your library may choose a different start date than the start dates listed here; this chart is meant as a reference only.

With thanks to Jean Lenville, Widener Serials Record Division.

For calendar 2006 issues (increment by one year for each subsequent volume)

<table>
<thead>
<tr>
<th>Frequency</th>
<th>First Claim No.(Tab 2)</th>
<th>Start date (853X $$3 )</th>
<th>Issue Predicted</th>
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<tr>
<td>Daily</td>
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<td>20081231</td>
<td>Jan.7, 2009</td>
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<td>Weekly (52)</td>
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<td>20081225</td>
<td>Jan.8, 2009</td>
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<tr>
<td>Semi-Monthly (24)</td>
<td>30</td>
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<td>Jan.15, 2009</td>
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<td>Monthly (12)</td>
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<td>Jan.15, 2009</td>
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<td>Bi-Monthly (6)</td>
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<td>Quarterly (4)</td>
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<td>20081115</td>
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<td>Tri-Annual (3)</td>
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<td>Annual (1)</td>
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<td>20080115</td>
<td>Jul.15, 2009</td>
</tr>
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Revised: January 29, 2009