II. Accessioning Rare Books

1. Bibliographic Control

There are three types of books received at Houghton, based on bibliographic data available. Depending on which of these categories the item fits, early accessioning steps differ.

- Books with records extant in HOLLIS
  When a record for the book is already available in HOLLIS, the accessioner should verify that it matches the item in hand by checking the LDR, 008, 1xx, 245, 260/264, and 300. Add a 752 field if needed, but otherwise leave the record as found. The rare book catalogers are responsible for completeness of these records. The accessioner creates holdings and item records for the new accession.

- Books without records in HOLLIS but with records in OCLC
  If a record for the book cannot be located in HOLLIS, the accessioner must then search OCLC. An appropriate OCLC record should be exported to HOLLIS and saved. The accessioner then creates holdings and item records for the new accession.

- Books without records in HOLLIS or OCLC
  For items with no existing HOLLIS or OCLC copy, the accessioner will create a stub bibliographic record, and verify the main entry in HOLLIS. Holdings and item records, as above, will then be created. Rare and reference materials with neither HOLLIS nor OCLC copy—except Poetry rare and media materials—will be given to the Rare Book Team for original cataloging.

Processing a book:

Search HOLLIS for the item. Search by author and title (and other unique information, such as ISBN, if available). If a Houghton duplicate is located, alert the appropriate curator; do not mark the item or proceed with other processing until the duplicate is resolved. In some cases, Houghton collects duplicates for a variety of reasons; in other cases, a duplicate may have been erroneously purchased and the curator, once alerted, may wish to return the item to the vendor. If one or more non-Houghton Harvard duplicates are located, choose the best record and append the holdings and item records for the item in hand to it. Note the HOLLIS bibliographic record number for unused duplicate records on the routing slip for the convenience of rare book catalogers. Records for electronic resources may be used as the bibliographic record for print books; however, microform records (often recognized by a subfield h in the 245 field) cannot be used. If no record is found in HOLLIS, search OCLC using the same strategies. Pay attention to spelling and names; discrepancies in spelling and variant names can result in missed records.

Accessioning is not rare book cataloging. Our charge is to create and modify records at a preliminary level, enabling rare book catalogers to then do their work. That is why the fields mandated for a provisional record are relatively few; accessioning is about identifying the unique piece in hand and producing a foundational record which catalogers then flesh out.

If there is no copy available in HOLLIS or OCLC:

Before giving accessioned material to the RBT for original cataloging, the accessioner will create a wholly-new stub bibliographic record. In creating and populating a bibliographical record for which there is no pre-existing HOLLIS or OCLC copy, use a template in the Aleph Cataloging module. There are two possible templates to use, depending on the imprint of the book. Books published after 1820 will likely be cataloged by the Rare Book Team in accordance with RDA standards. Books published before 1820 are more likely to be cataloged in accordance with DCRM(B) rules. Select the most appropriate template and begin entering information into the required fields.

Template for a contemporary book (RDA):
Refer to the fields in the templates. Each one has specific importance in accessioning a book.

008 ___ ^^^^^|??????|????^^^^^^^^||| ||| |||??|d

The 008 information to be supplied is:

06 type of date = s (single date), i (inclusive dates), m (multiple dates), n (dates unknown)
07-10 date 1 = xxxx [date] (if 06 = s, i or m) or uuuu (if 06 = n)
11-14 date 2 = (all blanks if 06 = s), xxxx (if 06 = i or m) or uuuu (if 06 = n)
The 1XX indicates the main entry for a work; typically, it identifies the creator/author of the work. In the case of Houghton rare books, this is almost always 100 (personal name). The 100 field typically carries a first indicator 1 (surname), and always has a second indicator which is blank. Subfield a contains the name, and is mandatory. Subfield d contains dates associated with a name; only include the subfield d when an authority is available. To check the authorized version of an author's name, use the F3 key. If Auth. Info. contains a 1XX, this is the authorized form. However, if it contains a 4XX, click Expand and use the 1XX form contained there. In the event no Auth. Info. is present, enter only the author's last and first name in this field; the cataloger will create a name authority record.

The 245 indicates the title of the work and the statement of responsibility. The first indicator for the field is either a 0 (no 1XX field present) or a 1 (1XX present). The second indicator represents the number of non-filing characters at the beginning of the title (these are definite or indefinite articles which are disregarded in sorting and filing processes, such as “a,” “the,” “an”). Transcribe the title in subfield a. If the title is very long, include only the first section followed by an ellipses; the cataloger will complete transcription. Follow the title by a forward slash (/) and add a subfield c by hitting F7. In subfield c transcribe the name of the author or authors.

The 250 is the edition statement; include an edition if one is explicitly stated on the title page or its verso. Otherwise, leave blank.

The 260 is the imprint as recorded using AACR2 and DCRM(B) rules. The 264 is the imprint information entered using RDA standards. Subfield a in either field should correspond with bytes 15-17 of the 008 field. Subfield c indicates the date of publication and should correspond with bytes 07-10 of the 008 field. Include only information which can be verified from the piece in hand. See the OCLC links below for additional information.

The 752 contains a hierarchical geographic name. This should correspond with the 260 or 264 field information. Imprints from the United States are entered in this form: 752 $a United States $b [State] $d [City]. Imprints from outside the US are usually in this form: 752 $a [Country] $d [City].

In-depth information on the fields and their uses may be obtained from the OCLC Bibliographic Formats and Standards pages for each:

- 100 field: Main Entry (Personal Name)
- 245 field: Title Statement
- 250 field: Edition Statement
- 260 field: Imprint
- 264 field: Imprint (RDA)
- 300 field: Physical Description
- 752 field: Added entry (Geographical Name)
When you have located, imported, or completed a stub bibliographic record, print a copy of the record (CTRL+P; select as print format MARC tags FORM,001 from the drop-down menu) and insert in the book for review by the cataloger.

2. Holdings Control

After the bibliographic record is established in HOLLIS, a holdings record must be created. The holdings record is linked to the bibliographical record and, in turn, is linked to the item record. The holdings record contains acquisitions information corresponding to the order record, collection and shelf location information, and copy-specific notes.

Procedure:

Assign an accession number to the item in hand, and write it in pencil on the verso of the title page, in the upper left-hand corner (e.g. 2014-144). Until the item is classed by the rare book team, the accession number serves as call number. At this time also write the accession number on the invoice for the item, if a purchase.

Most printed material is assigned an accession number. (Exceptions to this rule are Poetry books, Theodore Roosevelt books, and current serials.) The number is sequential by year of receipt (e.g. 2014-144). In the cases of Theatre and Printing & Graphic Arts material, separate numbers are maintained (e.g. 2014T-144 and 2014H-144). The stock of available numbers is kept and distributed by the Bibliographic Assistant. Until July 1, 2017, Houghton accessioning years and university fiscal years were at variance, with accessioning years being a year behind fiscal years. On July 1, 2017, the university’s fiscal year 2018 began; so, too, did Houghton’s accessioning year. Because of this, Houghton’s accessions do not show an accessioning year 2017.

Books received within the past five years but unaccessioned until the present receive an accession number which continues the numbering for the year in which the item was received (e.g. 2011-1025). Items received six or more years ago but being accessioned only now receive an accession date for the current year, with the phrase “(old acquisition)” added to the subfield c in the 541 field.

Click on the Holdings tab at the bottom of the selected bibliographic record. Select “Create” to begin a new holdings record.

A Houghton-specific holdings template is available. It may be modified for individual use, and saved as a template on the accessioner’s computer. The Technical Services Librarian can assist in adding a customized template to an accessioner’s computer.

Book Holdings Record template

```
LDR  ___  ^^^^nx^^^22^^^1n^4500
LKR  a   HOL
     l   HVD01
     b   000180263
     005  __  2014030114229.0
     008  ___  1410302p^^^8^^^4001uu^^^0000000
     541  0   Purchase;
     ab  2014
     de  2014-
     h   $.
     852  8   hou
            GEN
            2014-
     HO8  __  a
     HO9  __  b
     ik  t
     A14^^^mm
```

Each piece of the template contains essential (and, in some cases, mandatory, information). Please note that all MARC fields should be entered and displayed in numerical order. Local Harvard numbers (HXX) should follow the MARC tags and also be in numerical order.

LDR  ___  ^^^^nx^^^22^^^1n^4500
Information in the leader film is system-supplied in the holdings record.

Note that byte 7 (underlined above) should be modified if necessary to indicate one of these options:

- x = monograph
- y = serial
- v = multi-volume set

**LKR _ _**

a HOL

1 HVD01

b 000180263

Information in the LKR (linker) field is system-supplied. No changes are needed. Please note, though, that subfield 1 indicates this record resides in the HVD01 database, and that subfield b indicates it is linked to bibliographic record 000180263.

**008 _ _**

1407082p^^^^8^^^4001uu^^^0000000

Most information in 008 is set by default. Please be certain these bytes are coded correctly:

For single-item monographs:

06 Receipt or acquisition status = 2 (received and complete or ceased)

07 Method of acquisition = p (purchase). It may also be coded d (deposit), g (gift) or u (unknown); unknown is not an option for newly-received material.

16 Completeness = 4 (for single-part items)

For serials:

06 Receipt or acquisition status = 2 (received and complete or ceased), 4 (currently received, for active subscriptions), or 5 (not currently received, but not a full run of the serial)

07 Method of acquisition = p (purchase). It may also be coded d (deposit), g (gift) or u (unknown); unknown is not an option for newly-received material.

16 Completeness = 1 (Complete (95-100%)), 2 (Incomplete (50-94%)), or 3 (Scattered (0-49%))

For multi-volume sets:

06 Receipt or acquisition status = 2 (received and complete or ceased), 4 (currently received, for open orders for a continuously-published set), or 5 (not currently received, but not a complete set)

07 Method of acquisition = p (purchase). It may also be coded d (deposit), g (gift) or u (unknown); unknown is not an option for newly-received material.

16 Completeness = 1 (Complete (95-100%)), 2 (Incomplete (50-94%)), or 3 (Scattered (0-49%))

**541 0 _**

Purchase;

a [Name of vendor or donor];

b [Address of vendor or donor];

d [date on the invoice in the form year/month/day];

e [acquisition number];

h $ [price of the purchase] ([name of the fund used]).

The 541 records the Immediate Source of Acquisition. The first indicator is coded 0 so that this information does not display in the public catalog. For Books material, list appropriate method of acquisition in subfield c (purchase, deposit, or gift); this will agree with the coded information in byte 7 of the 008 field. Indicate the source of the acquisition in subfield a, and the address associated with the source of acquisition in subfield b. The date of the accession is indicated in subfield d (in the form demonstrated above). It is obtained from the invoice, or, in the instance of a gift book, the date the item was received by Houghton. Subfield e is for the accession number. Subfield h contains the price paid for the item in U.S. dollars (without commas) and the fund(s) utilized for the acquisition; if the item is a gift, subfield h will contain no data. Subfield 5 indicates the library for which this information is recorded.

An authorized list of funds (with fund numbers and allocations) is maintained in the groups drive for the Accessioning and End Processing Section. Consult this list for the complete fund name and always indicate the complete name in the holdings record and on the routing slip for
each item. If more than one fund is used for a purchase, indicate all funds used in the order of the amount used from each fund (greatest to least amount(s)).

Precision is critical. There are a number of fund names which share common elements (including donors), and often these funds must be used for very specific purposes. A few examples include:

- Jean and Harrison Horblit Fund
- Kate, Maurice R. and Melvin R. Seiden Fund for Music (1993)
- Bayard Livingston and Kate Gray Kilgour Fund (1999)
- Bayard L. Kilgour Jr. Fund for Russian Belles Lettres (1959)
- Bentick-Smith Fund (1957)

Multiple funds can be grouped within one curatorial section or across two or more.

The curator selects the appropriate funds to use for each purchase, and will annotate the invoice accordingly. Most of the time, an item is paid for using funds from one account. In some cases, two or more funds may be used, and this should be reflected in the holdings record. Always indicate the full price of the item in subfield h, followed by a breakdown of the amounts and funds used to make that total. Please indicate funds in order of the amount used, greatest to least. If the invoice is in a foreign currency, record it in $h followed by the equivalent US dollar amount.

Example of a foreign currency and split funds:

$$h £150.00 = $241.32 ($141.32 - Stanley Marcus Endowment for Rare Books; $100.00 - Parkman D. Howe Fund).$$

852 8 _ b HOU
c GEN
h 2014-

The 852 records call number information. The first indicator is coded to reflect the shelving scheme, either 0 or 8. When 0 is the first indicator, the classification scheme used is Library of Congress (LC). When the first indicator is 8 the call numbering scheme is a special scheme (the Houghton main author class, TS, HRef, etc. are special schemes).

Subfield b indicates the collection, subfield c the shelving location, and subfield h is the call number field. The Houghton collections include HOU (Houghton), THE (Theatre Collection) and POE (George Woodberry Poetry Room in Lamont Library). The shelving locations include HRR (Houghton Reading Room, LC class), HD (Harvard Depository), HTCLC (Theatre, LC class), and HOULC (Houghton, LC class). This field also serves as a size indicator for stacks staff—if the item is greater than 28 cm. it should be marked F (folio) or if it is a flat file, it should be coded according to its box size (see Broadsides). Be sure that any material purchased by the Harvard Theatre Collection curator is coded to THE in the 852 $b and in every $5; additionally, the 040 code in the Bibliographic record should be MH-HT. If a curator indicates an item should be sent to Harvard Depository, code the 852 $c HD. Enter the accession number into the 852 $h; it will serve as a temporary call number until the material is fully cataloged.

H08 _ _ a p
b t

H08 is a Harvard-specific field indicating cataloging status. Subfield a should always be coded p (preliminary (not cataloged)); subfield b indicates date, and should be coded t (which will result in a system-supplied default to today's date, in the form yyyyymmdd)

H09 _ _ k A14^^^ld

H09 is also Harvard-specific, and contains a string of characters used for statistical and reporting purposes. There are two nonrepeatable subfields, each with 8 variable bytes in use at present. Houghton defines these as follows: k (accessions/cataloging) and m (repair).

In accessioning, subfield k is relevant, and is populated by accessioners. Subfield m is filled out by catalogers, in consultation with
the preservation staff. Subfield k has this arrangement:

<table>
<thead>
<tr>
<th align="left">Byte (Accessions)</th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td align="left">1 A or T</td>
<td></td>
</tr>
<tr>
<td align="left">2 [decade]</td>
<td></td>
</tr>
<tr>
<td align="left">3 [year]</td>
<td></td>
</tr>
<tr>
<td align="left">4 ^</td>
<td></td>
</tr>
<tr>
<td align="left">5 ^</td>
<td></td>
</tr>
<tr>
<td align="left">6 ^</td>
<td></td>
</tr>
<tr>
<td align="left">7 [accessioner's initial]</td>
<td></td>
</tr>
<tr>
<td align="left">8 [accessioner's initial]</td>
<td></td>
</tr>
</tbody>
</table>

Note that bytes 1-3 and 7-8 are important for accessioning; bytes 4-6 are the domain of the cataloger.

Byte 1 is used to designate whether the item is a new accession (A) or a transfer from another library (T). Bytes two and three indicate the year the item is accessioned (2007 is indicated by 0 in byte 2 and 7 in byte 3). Bytes 7 and 8 indicate the accessioner and, later, cataloger.

Finally, if the item requires an enclosure—either a prefab or a CMI case as indicated by the curator on the routing slip—an additional field must be created. Place your cursor in the 541 field, and hit CTL+F6. A new field will have opened. Type in 563 _ _ and enter the type of enclosure, followed by its size if it’s a prefab. Hit F7 to open another subfield and code it $5 hou for Houghton library, as the information in this field will apply only to Houghton’s copy of the book. Without a $5 library code, the information will be appended to the main bibliographic record.

Example:

563 _ _ a In prefab, 36 cm.

$ hou

Once you have entered all the necessary information, click “Save to Server.” The holdings record is then complete. To begin the next phase of accessioning, click on the four diamond icon in the upper right hand corner of the holdings record. This will open Aleph Acquisitions module so that an attached order record can be created.

3. Ownership Control

At this stage of the accessioning process, order information can now be added in preparation for invoice payment. The order record—like invoice payment—is accomplished in Aleph’s Acquisitions module, a twin to the Cataloging module used for bibliographic, holding, and item record creation. Once created, an order record will attach to the bibliographic record in the Cataloging module. The holdings record associates with the order record only by linking first to the bibliographic record. The item record is manually linked to the order record, as described later on in this manual. In the event a cataloger wishes to use a different record to catalog the book, the Associate Librarian of Technical Services must be notified, to move the item and order record from one bibliographic record to the other.

Open acquisitions module screen
Notice that the record is greyed out; the fields are all inactive. The only part of the newly-opened screen which may be used is the Add button at the right side of the screen. Also note the bibliographic record indicated at the top (in blue).

Because the bulk of Houghton materials are ordered from specialty vendors, we do not regularly create acquisitions records at the time an item is ordered (as would be the case in many other Harvard libraries). Houghton curators purchase unique items, contact vendors, and manage funds for their collections. Material is then shipped to the curators, who bring the items and invoices to the Bibliographic Assistant for entry into HOLLIS. This means that we create acquisitions records and record the receipt of material in one session. Items for the Houghton Reading Room, Poetry, and other select non-rare items are ordered in a process which more closely resembles what occurs in most other libraries; these records may already have acquisitions records in Aleph.

Click on the Add button and a blank record template will be opened.

Open acquisitions template for an order record
The record will open to the second of four tabs. The first tab is an overview of populated fields and is read-only. Tabs 2, 3 and 4 have fields needing to be populated.

**Tab Two:**

Note that an order number is supplied and highlighted (e.g. 14174956-1); this number is derived from the bibliographical record, and often—though not always—is constructed using that number as the base. Write this number on the invoice below or next to the name of the item being paid for (this should join the accession number already penciled on the invoice). This number is critical to the payment of the invoice.

Other fields needing to be filled in are:

- **Material Format** (PRN, indicating a print item; this is the default for all Houghton purchases);
- **Material Type** (BK, indicating a book; again, this is the default for all Houghton purchases); and
- **Sublibrary** (HOU, for Houghton; THE, for the Harvard Theatre Collection, or POE, for the Poetry Collection).
- **Order Unit** (HOU01, for Houghton; THE01, for the Harvard Theatre Collection, or POE01, for the Poetry Collection).
- **Order Status** should be set to “SV” (Sent to vendor)

**Tab Three:**

- Indicate the code for the vendor in the appropriate field and hit Enter. This populates all fields appropriately. If you do not know the code for the vendor, click on the elliptical (...) button and search via the dialog box which is generated; you may search by keyword. When the correct vendor is located, click Select.

**Tab Four:**

Populate these fields:

- **Number of Units** (almost always one, unless ordering multiple reference or staff use copies);
- **Unit Price** (this is the price for one of the item, not including postage or other charges);
- Uncheck the create item record box;
- **Currency** (the drop-down menu will supply appropriate currencies, based on the vendor’s profile. Typically, US Dollars (USD/$), European Euros (EUE/€) or British Pounds (UKP/£) will be one of the correct choices);
- **Encumber Budget** (use the budget list in the Houghton Allocations document or click on the elliptical button and search via the resulting dialog box). The number string for each fund must be listed here. If you enter the number from the allocation document, click the elliptical button; the correct fund will display, and click Enter.

When you have filled out all three tabs, click Enter. The order record is now complete. You may review the details in Tab 1. This display includes all the data filled out in Tabs 2-4, including order number, the fund encumbered, number of copies ordered, price per copy, order date and vendor. It also includes author, title and imprint information from the bibliographic record for the order.

4. Item Control

Now that acquisitions information has been established, an item record must be created for the book, linking to the holdings record and also the acquisitions order record. Return to Aleph Cataloging module.

Single Items

For a single monographic item, one record is appropriate. At the left of the holdings record, note the list of associated records and double-click on Items. This will bring up the Items List. If other copies are held at Harvard, these will be shown.

Blank Books Item Record for a New Item

The items list opens to Tab 2, General Information (1). Tab 1 is an overview which displays the data filled out in the other tabs; Tabs 2 and 3 are used in Houghton accessioning, and are discussed here. Tabs 4 and 5 are not used in accessioning books (and their use in serials will be addressed elsewhere). Tab 6 is used to link holdings records and unlinked item records (and is not used in normal processing of items).

Create a new item record by selecting New from the list in the upper right-hand corner

This will open a New item template. The template may be customized for different workflows (as you can see in the example below, Item Status and Item Process Status are preset.) The next step is to link the item record with its holdings record by selecting the arrow for HOL. Link This shows the available holdings records to which this item may be attached. Select the one for your item.

Books Item Record with HOL. Link box opened
For all Houghton items except circulating Poetry, the appropriate **Item Status** is 02 (In-library use). Select CT (Cataloging) as the **Item Process Status** for all Houghton materials. This causes the display in the public catalog to indicate an item is held at Houghton, but is currently in the cataloging section. This helps patrons and staff alike to know where an item may be located, if needed. The CT status will be changed at the point of end-processing to <blank> for most Houghton materials to indicate the material is on the library's shelves. Other possible **Item Process Status** codes used at Houghton are:

- **CO** = Conservation: This status is no longer used at Houghton as of September 2010; internal routing will be indicated using Aeon.
- **HD** = Harvard Depository: items sent to offsite storage at the Harvard Depository.
- **OR** = On Order: items ordered for Poetry or the Reference collections.

After completing the tasks in Tab 2, click **Add**. This populates the record with additional data supplied by the holdings record (see below), including the call number and a system-generated barcode.

**Book Item Record**
Note the filled-out barcode and call number fields in the lower portion of the record, and the newly-generated display in the upper portion, indicating library, call number, barcode and item status. This information displays in the public catalog.

Next, click Tab 3. This tab functions to link the item, holding and order records.

*Book Item Record for a New Item (Tab 3)*
Use the right-arrow to select the correct **Order Number** for the item. Double-click on the Houghton order record. (This pertains only to items which have been purchased by the library; omit this task for gifts.) If the Item is destined for HD, also click on the arrow next to **Remote Storage ID** and select HDEP.

**Book Item Record for a New Item (Tab 3) - Order Number Selection**

Once Tab 3 is populated, click **Update** (at right). The item record is now completely established.
Multi-Volume Sets

If an accession consists of a multi-volume set, follow the steps above, while also adding the appropriate number of item records for each volume. Indicate the volume number or part in the Description field (e.g. v.1) and in the Enum. Level, as shown below.

Indicate volume number in the language of publication (v. = volume in English; t. = tome in French, etc.). For a list of acceptable abbreviations, see VII.7. Volume Literals in the Rare Book Team Cataloging manual.

Item Record showing multiple volumes in a set

Multiple Copies of the Same Item

Each copy of a title should have its own holdings record. Copy information is reflected in the 852, using (A), (B), etc. at the end of the call number (including for LC call numbers). The 852 $j$ and the "Copy Number" field in the item record are not to be used. When we have multiple copies of multi-volume title, the call number should be formatted:

GC7.M9702V.1815 (A) v.2, pt.3

The call number and copy information is in the Holdings record (852 field), and the volume designation is in the item record. On the routing slip for end-processors, manually include the information contained in the Item record Description field (in this example, v.2, pt.3).