ALEPH 500, VERSION 18

MARC Holdings in ALEPH
# Table of Contents

1. Introduction .............................................................................................................................................. 3

2. Creating Holdings Records in Cataloging .............................................................................................. 4

3. ALEPH HOLDings Records Fields ........................................................................................................... 8
   - 3.1. Leader ............................................................................................................................................. 8
   - 3.2. LKR (004) Control Number for Related Bibliographic Record .................................................... 10
   - 3.3. 007 Physical Description Fixed ................................................................................................... 10
   - 3.4. 008 Fixed Length Data Elements ................................................................................................. 10
   - 3.5. 852 Location ................................................................................................................................. 12
   - 3.6. 856 Field (Electronic Location and Access or URL) .................................................................. 15
   - 3.7. 853/854/855 (Captions and Pattern Fields) ................................................................................ 16
   - 3.8. 863/864/865 (Enumeration and Chronology Fields) ................................................................... 16
   - 3.9. 866, 867, 868 (Textual Holdings Fields) ...................................................................................... 16

4. Examples ................................................................................................................................................. 17
1. Introduction

The ALEPH HOLdings record is based on the MARC 21 Format for Holdings Data published in 2000 (updated annually) jointly by the Library of Congress and the National Library of Canada. MARC 21 Format for Holdings Data is one of the five communication formats that serve as the standard for representation and exchange of data in machine-readable format.

The content of most of the data elements and their display should follow the ANSI standard for holdings statements, Holdings Statements for Bibliographic Items (ANSI/NISO z39.71 – 1999) at this website: http://www.niso.org/standards/resources/Z39-71.pdf or its predecessors (z39.44 and z39.57). The corresponding international standard is Holdings Statements – Summary Level (ISO 13024).

HOLdings records are designed to be a carrier for holdings information and may include:

- Location information (852 field)
- Copy-specific information for an item or group of items
- Information that is applicable to the holding organization
- Information that is needed for local processing, maintenance, or preservation of the item
- Version information
- Retrospective holdings (i.e. Library has:)

Prediction Patterns using the 853/853x are stored in the HOLdings record:

In ALEPH holdings data is maintained in separate HOLdings records, created and stored in the HOLdings database (SYS60), which, is linked to the
Bibliographic database. Bibliographic records can have one or more linked HOLDing records.

Although the MARC 21 Holdings record defines that specific Item information (e.g. barcode) may be included in the HOLDings record; ALEPH requires an Item record for each physical item the institution owns. This item is the basis for serial check-in and for circulation.

2. Creating Holdings Records in Cataloging

To create a HOLDings record in the Cataloging Application Window, do either of the following:

a. Locate and display the Bibliographic record, followed by selecting Edit/Select HOL Record from the Main Toolbar:

b. Or once the Bibliographic record is displaying in the upper pane, click on the 4. HOL records tab in the lower pane:
c. Click the "Create" button to create a new HOLdings record. Basic information about the newly created Holdings appears in the window.

d. In order to display the HOLdings record in the upper pane for editing, you must click the "Edit" button on the right hand side of the lower pane. You may use standard Cataloging menus, and function keys to edit the HOLdings record.
e. The **required fields** include …
   - Leader (LDR),
   - OWN (the 3-digit library code),
   - System number (001) (the system stores this Holding Record number in the background. You can see the number in the Record Manager under the SYS60, HOL - #######),
   - LKR (004),
   - 008 (Fixed Field Data)
   - 852 (Location).

The HOLdings record **must** be edited to provide the **mandatory** subfields and indicators in the 852 Location field. Note in the example below the mandatory subfields b (Sub Library) and c (Collection) are not supplied.

Subfield a of the 852 is highly recommended, especially for consortia. In MnPALS, we have all libraries enter their code to 852 $a$. It is the MARC 21 Code for your library from the MARC 21 Code List for Organizations (NUC code).
f. Suppress display of Holdings record.

To suppress display of a HOLdings record, use the status (STA) field similarly to the bibliographic record (SUPPRESSED).

g. Update the LDR (leader) (3.1 below) and 008 fields (3.4 below)

If you are working with a Serial or multi-part HOLdings record, be aware that the default for a new record is for a monograph therefore you **must** update the LDR (leader) and the 008 fields.

h. Other

Fields like the 842 (*Textual Physical Form Designator*) and 845 (*Terms Governing Use and Reproduction Note*) are used only in the Holding format. Standard numbers and some Note fields; i.e. 541 Immediate Source of Acquisitions Note, and 562 Copy and Version Identification Note can be used in either Bibliographic or HOLdings Records. Use the ALEPH help screens and the *MARC 21 Format for Holdings Data* for additional information.

Typically all bibliographic records will have both HOLdings and Items records attached. Every item should be linked to a holding record. The purpose of this is twofold:

1. The link enables the system to automatically update the location of items from the HOLdings record – i.e. the HOLdings record is the “**master**” record. Location information is stored in both the HOLdings record and the item record for more efficient use of system resources.

2. An item can be flagged as having a temporary location (e.g. Course Reserves) in which case its location will not be overridden by the HOLdings record. The link also enables the system to automatically create a summary holdings from the individual items.

i. Save to the Server

Once you have made the necessary edits to the record, save it to the server by clicking on the icon from the Toolbar, keying **[Ctrl + L]**, or by selecting **Cataloging/Save on server and local drive** from the Cataloging Main Menu Toolbar.
3. ALEPH HOLdings Records Fields

3.1. Leader

Note: The LDR is created by a table which is set to static information. The table creates these positions:  05=n, 06=x, 09=a, 10=2 (always), 11=2 (always) 17=2, 18=n.

Position 00-04 Record length (system supplied)
05 Record status
    c Corrected
    d Deleted
    n New
06 Type of record
    v Multipart item holdings
    x Single-part item holdings
    y Serial item holdings
    u Unknown
07-08 Undefined
09 Character coding scheme
    ^ (blank) MARC-8
    a UCS/Unicode
10 Indicator count 2 (always)
11 Subfield code length 2 (always)
12-16 Base address of data (system supplied)
17 Encoding level

1. Holdings level 1 (Normally used for single-part items). Minimally must have LKR for Bibliographic record and Location (852 subfields b and c).

2. Holdings level 2 Requirements for level 1, plus codes in 008 positions 06,12,16, and 26-31 and when appropriate 007 positions 00-01 (Physical Description Fixed Field)

3. Holdings level 3 Requirements for level 2, plus summary holdings information, that is, holdings at the first level of enumeration and chronology in the applicable 866/867/868 Textual Holdings fields

4. Holdings level 4 Requirements for level 2, plus detailed holdings information, that is, the first and all subsequent levels of enumeration and chronology in either itemized or compressed form or a combination of the two, in one or more 866/867/868 Textual Holdings fields.
5. Holdings level 4 with piece designation Requirements for level 4, plus information that identifies a single physical part in an 852 subfield p or 866-868 subfield a. (Seldom used in ALEPH

m Mixed level. Holdings are recorded at more than one level.

u Unknown

z Other level. Does not met any of the levels of specificity defined by the other codes.

18. Item information in record
   i Item information
   n No item information (use with ALEPH)

19. Undefined character position

20-23 4500 Length System defined

If you need different information coded in these character positions, edit the LDR field. For example, Serial information has not been coded to the LDR. All serial information for the LDR must be edited in a Holding Record.
- Cursor on LDR, Ctrl+F opens a Workform
- Type the correct positions into the workform. Check the Tag Information to choose the correct characters. Hit OK when you have completed making the changes.
3.2. LKR (004) Control Number for Related Bibliographic Record

The System supplies the Linker (LKR) field. It links the Holding Record to the appropriate Bib Record.

- $a HOL This is always the Holding Library (SYS60)
- $l SYS01 This is always the Bib library (SYS01) to which the Holding record is linked.
- $b Aleph system number of the Bib Record to which the Holding Record is linked.

3.3. 007 Physical Description Fixed Field (use if the Bibliographic record describes more than one format)

3.4. 008 Fixed Length Data Elements

Note: The 008 is created by a table which is set to static information. The table creates these positions: 06=2, 07=u, 12=8, 16=4, 17=001, 20=c, 21=u, 22-24=eng, 25=0, 26-31 Date of report may be WRONG, change it to the date you are creating this record.

Position 00-05 Date entered on file (system supplied)
06 Receipt or acquisition status
   0 Unknown
   1 Other receipt or acquisition status
   2 Received and complete or ceased
   3 On order
   4 Currently received
   5 Not currently received
07 Method of acquisition
   c Cooperative or consortial purchase
   d Deposit
   e Exchange
   f Free
   g Gift
   m Membership
   n Non-library Purchase
   p Purchase
   u Unknown
   z Other method of acquisition
08-11 Expected acquisition end date
   <yymm> Date of cancellation or last expected part
   uuuu Intent to cancel; effective date not known
   ^^^^ No intent to cancel or not applicable
12 General retention policy
   0 Unknown
   1 Other general retention policy
   2 Retained except as replaced by updates
   3 Sample issue retained
   4 Retained until replace by microform
   5 Retained until replaced by cumulation, replacement volume, or revision
   6 Retained for a limited period
   7 Not retained
   8 Permanently retained

13-15 Specific retention policy (see MARC 21 format for details)
   ^^^ No specific retention policy

16 Completeness
   0 Other Parts retained for a limited period or no estimate
   1 Complete (95-100%)
   2 Incomplete (50-94%)
   3 Scattered (less than 50%)
   4 Not applicable (single part item)

17-19 Number of copies reported

18 Lending policy
   a Will lend
   b Will not lend
   c Will lend harc copy only
   l Limited lending policy
   u Unknown

19 Reproduction policy
   a Will reproduce
   b Will not reproduce
   u Unknown

22-24 Language (Use MARC Code List for Languages)

25 Separate or composite report
   0 Separate report Holdings information for one copy of an item
   1 Composite report Information about two or more copies consolidated into a single holdings report.

26-31 Date of report

If you need different information coded differently in these character positions than what is in the static table, edit the 008 field.
   - Cursor on 008, Ctrl+F opens a Workform
- Type the correct positions into the workform. Check the Tag Information to choose the correct characters. Hit OK when you have completed making the changes.

3.5. 852 Location

The MARC 21 field 852 is defined to contain information in as much detail as is needed to locate an item.

First Indicator Shelving scheme (Call Number Type)

  Blank  No information provided  
  0  Library of Congress classification  
  1  Dewey Decimal classification  
  2  National Library of Medicine classification  
  3  Superintendent of Documents classification  
  4  Shelving control number  
  5  Title  
  6  Shelved separately  
  7  Source specified in subfield 2  
  8  Other scheme
Second Indicator Shelving order

- Blank No information provided
- 0 Not enumeration
- 1 Primary enumeration
- 2 Alternative enumeration

Subfield codes
Location

- a MARC 21 Code for your library from the MARC 21 Code List for Organizations (NUC code).
- b Aleph sub-library. (sublocation) **Mandatory in ALEPH**
- c Aleph collection. (shelving location) **Recommended in ALEPH**
- d Address
- e Coded location qualifier (i.e. Latest edition in Reference)
- f Non-coded location qualifier (Textual description)

Shelving designations

- h Classification part of the call number
- i Item part of the call number.
- j Shelving control number (accession number used with 1st indicator 4
- k Call number prefix (i.e. Oversize)
- l Shelving form of title (Shelved as title used with 1st indicator 5)
- m Call number suffix

Numbers/codes

- n Country code
- s Copyright article-fee code
- t Copy number

Notes

- x Nonpublic note
- z Public note

Control subfields

- 2 Source of classification or shelving scheme
- 3 Materials specified (if used it is the first subfield in the 852 field)
- 6 Linkage
- 8 Sequence number
The following information will be overridden in the item record, because the Holding record is the "master record" for location:

- Item sublibrary by subfield $b of the 852 field
- Item collection by subfield $c of the 852 field
- Item call number type by the first indicator of the 852 field
- Item call number by subfields $h, $i, $j, $k, $l, and $m of the 852 field
- Item copy number by subfield $t if the subfield contains a copy number and not a range of numbers for copies

In addition, when a Holding record is created based on data in an item or subscription record, the 852 field, subfields $b (sublibrary) and $c (collection) will be automatically generated.

If the bibliographic record to which the Holdings record is linked has call number information, then the system will also create subfields $h (classification) and $i (item part)

The data is taken from one of the following MARC 21 fields of the bibliographic record, and preferences are set in descending order:

- "099##"
- "098##"
- "090##"
- "092##"
- "096##"
- "050##"
- "055##"
- "060##"
- "070##"
- "082##"
- "086##"

For "099##" OR "098##" OR "086##" sub-field copied to sub-field ‘h’ in the new 852 field. For all other fields, sub-field copied to sub-fields "h and I"

For "090##" and "050##" the first indicator is set to 0.

For "092##" and "082##" the first indicator is set to 1.

For "096##" and "060##" the first indicator is set to 2.

For "099##" OR "098##" the first indicator is set to 8.

For "055##" and "070##" the first indicator is set to 7.

For "086##" if the first indicator of the field is 0, then the first indicator of the new 852 field is set to 3, otherwise the first indicator of the field is set to 8.
To complete or edit the 852 fields
- The indicators cannot be filled in on the workform. Fill them in on the Catalog Editor.

- Cursor on the 852
- Ctrl+F opens the workform
- Tab 2. Tag Information helps you choose the correct data for each subfield

3.6. 856 Field (Electronic Location and Access or URL)

The 856 field (External Link) can be in either the Bibliographic or the Holdings Record. The 856 field contains the information needed to locate and access an electronic resource relevant to the record. The external link can be to any machine that is served by an http daemon.

The field is repeated when the location data elements vary. Following is the list of sub-fields that are used by ALEPH to create the link:

<table>
<thead>
<tr>
<th>Sub-field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>a</td>
<td>Host name (the IP address for files that are NOT in the local PC directory system. For example: <a href="http://www.scj.albany.edu">www.scj.albany.edu</a>)</td>
</tr>
<tr>
<td>d</td>
<td>Path or directory (contains the path, the series of logical directory and subdirectory names where the file is stored).</td>
</tr>
</tbody>
</table>
Special ALEPH sub-fields in the 856 field:

<table>
<thead>
<tr>
<th>Sub-field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>A copyright message is displayed when executing the 856 external link through the Web OPAC. If sub-field $4$ is added to the field, the message is not displayed.</td>
</tr>
<tr>
<td>9</td>
<td>Code for type of program (e.g., &quot;htm&quot; for HTML files; &quot;doc&quot; for Word files). This sub-field is needed for display from the Staff Search Client. Assigns &quot;HTM&quot; by default if the sub-field is not present.</td>
</tr>
</tbody>
</table>

3.7. 853/854/855 (Captions and Pattern Fields)

3.8. 863/864/865 (Enumeration and Chronology Fields)

Captions and Pattern and Enumeration and Chronology fields will be discussed in Serials Training. As will the ALEPH Prediction Patterns 853/853x.

3.9. 866, 867, 868 (Textual Holdings Fields)

These fields are primarily used for retrospective holdings of Serials and Multi-part materials

866 Basic Bibliographic Unit  
867 Supplementary Material  
868 Indexes

First Indicator Field encoding level

Blank No information provided  
3 Holdings level 3 (summary)  
4 Holdings level 4 (detail)  
5 Holdings level 4 with piece designation (generally not used in ALEPH)

Second Indicator Type of notation

0 Non-standard
1 ANSI/NISO Z39.71 or ISO 10324
2 ANSI Z39.42

Subfield Codes
a Textual holdings
x Nonpublic note
z Public note
6 Linkage
8 Field link and sequence number

Subfield 8 is the first data element in the field. It contains date that identifies linked fields. Refer to the *MARC 21 Format for Holdings Data Appendix A* for further details.

4. Examples

*Library holds v.75-128 (1960-1986)- on microfilm,*
*v. 129-151 1987-1999 on microfiche,*
v.152- 2000- Online (available 12 months after print publication),
*Paper issues retained for one year after online available.*
*Shelved by title.*

***** -- System supplied  ^^^^ -- Blanks

**Level 1**

<table>
<thead>
<tr>
<th>Record Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>LDR</td>
<td>**<strong><strong>ny^a22</strong></strong>*1n^4500</td>
</tr>
<tr>
<td>LKR</td>
<td>$$a HOL</td>
</tr>
<tr>
<td></td>
<td>$$i USM01</td>
</tr>
<tr>
<td></td>
<td>$$b 000027364</td>
</tr>
<tr>
<td>008</td>
<td>0006214p^^^^8^^^1001baeng0000421</td>
</tr>
<tr>
<td>852 51</td>
<td>$$b XHLTH</td>
</tr>
<tr>
<td></td>
<td>$$c PER</td>
</tr>
</tbody>
</table>

**Level 2**

<table>
<thead>
<tr>
<th>Record Field</th>
<th>Value</th>
</tr>
</thead>
<tbody>
<tr>
<td>LDR</td>
<td>**<strong><strong>ny^a22</strong></strong>*2n^4500</td>
</tr>
<tr>
<td>LKR</td>
<td>$$a HOL</td>
</tr>
<tr>
<td></td>
<td>$$i USM01</td>
</tr>
<tr>
<td></td>
<td>$$b 000027364</td>
</tr>
<tr>
<td>008</td>
<td>0006214p^^^^8^^^1001baeng0000421</td>
</tr>
<tr>
<td>852 51</td>
<td>$$a ICUSM</td>
</tr>
<tr>
<td></td>
<td>$$b XHLTH</td>
</tr>
<tr>
<td></td>
<td>$$c PER</td>
</tr>
</tbody>
</table>
Level 3
Holdings USM60
Composite Holdings Record for WEB Display

LDR
*****ny^aa22*****n^4500
LKR
$$a HOL
$$I USM01
$$b 000027364
008
0006214p^^^^8^^^^1001baeng0000421
852 51
$$a ICUSM
$$b XHLTH
$$c PER
866 31
$81$av.75(1960)-128(1986)$zMicrofilm Shelved in MRR Collection
866 31
$82$av.129(1987)-151(1999)$zMicrofiche Shelved in MFF Collection
866 31
$83$av.151- (2000-$zOnline version available 12 months after print publication
866 31
$84$av.153- (2002)-$zRetain one year after online available

Prediction Pattern
853
$81$$av.bno.$$u52r$$vr$$i(year)$$j(month)$$k(day)$$ww
853X
$81.1$$a154$$b1-^$$i2003-$$j01-$$k03-$$320030103

Level 4
Holdings USM60
Different locations separate holding records

LDR
*****ny^aa22*****n^4500
LKR
$$a HOL
$$I USM01
$$b 000027364
008
0006214p^^^^8^^^^1001baeng0000421
852 51
$$a ICUSM
$$b XHLTH
$$c MRR
866 41
$81$$av.75-128 1960-1986

© Ex Libris, Inc. 2005
Page 18
MARC Holdings Records in ALEPH
Version 18.01
Modified & Updated: February 2008
Mary Ann Greenwald, PALS

LDR  ******ny^^a22*****4n^4500
LKR  $$a HOL
     $$i USM01
     $$b 000027364
008  0006214p^^^^8^^^1001baeng0000421
852 51  $$a ICUSM
       $$b XHLTH
       $$c ONLINE
866 41  $82$$av.83$$av.151- (2000-$zOnline version available 12 months after
       print publication

LDR  ******ny^^a22*****4n^4500
LKR  $$a HOL
     $$i USM01
     $$b 000027364
008  0006214p^^^^8^^^1001baeng0000421
852 51  $$a ICUSM
       $$b XHLTH
       $$c PER
866 41  $83$$av.152-(2002)-$$zRetain one year after online available

**Prediction Pattern** (for the paper only)
853  $81$$av.bno.$$u52r$$vr$$i(year)$$j(month)$$k(day)$$ww
853X $81.1$$a154$$b1-^$$i2003-$$j01-$$k03-$$320030103