Workflow-Based Reference Guide

Serials Control

WORKFLOW-BASED REFERENCE GUIDE

Serials Control

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Introduction to Serials Control ***3***

Understanding Menu & Toolbar ***5***

Documentation and Help ***6***

Serials Data Structure ***9***

Create Holdings Record ***10***

Obtain a Bibliographic Record 11
The Holdings Record 13
Add a Holdings Record 14
Add Library Location (852 Tag) 16
Access the Holdings Record 17
Search for Items Attached to the Holdings Record 18
Edit the 008 Fixed Field of the Holdings Record 20
Edit the 008 Fixed Field of the Bibliographic Record 20

Create and Test Prediction Pattern ***23***

Construct the 853 Tag 24
Serials Pattern Editor 25
Enumeration Tab 26
Chronology Tab 27
Regularity 28
Store Serials Patterns 29
Save a Pattern to the Database 29
Load a Pattern from the Database 30
Create Expected Issues 32
The Serials Check-In Window 32
Expected Tab 33
Add the First Expected Issue 35
Test the Prediction Pattern 37
Delete Expected Issues 38
Pattern Changes 39

Add Holdings Features ***41***

Add Holdings Notes 42
Add 866 Textual Holdings 46
Subfields 47
Add Special Issues 48
Add Supplements and Indexes 49
864 and 865 Tags 50
866 Tag 50
Relinking Holdings Records 51

Serials Check-In, Circulation, and Routing ***52***

Open the Serials Record in the Check-In Window 53
Open a Serials Record: ISSN Search 53
Open a Serials Record: ISSN Serials Search 53
Open a Serials Record: Journal Title Search 55
Check-In the Issue 58
Check-in Without SICI Barcodes 58
Check-In With SICI Barcodes 61
Create Serial Item Records 63

Non-Issue-Specific Item Records 65
Create Serials Routing Lists 66
Print Routing Lists 69
View Patron's Routing Lists 70

Other Check-In Issue Functions 73
Modify Issue-Specific Information 74
Delete Received Issues 75
Undo a Check-In 76
Receive Gap Issues 77
Add Issue Notes 80
Bindery Control 82
Add 969 Tag to Holdings Record 82
Bindery Reminders 83
Set Bindery Statuses 84
Relink Items 86

Serials Reminders and Claiming 89
Serials Reminders 90
View General Lists of Reminders 91
View Reminders for a Specific Holdings Record 93
Add User Defined Reminders 94
Modify Serials Reminders 94
Delete Serials Reminders 95
Add and Search for Renewal Reminders for Serials 96
Claim Serials Issues 98
Claim Individual Issues 100
Modifying Claims 104
Delete Claims 107
Batch Claims 108
Issue Serials Claims in Batch Mode 108
Transmit Outstanding Claims by Location and Type of Claim 109

Appendix A: Definition of Key Terms 111

Appendix B: InfoStation Reports for Serials 115

Appendix C: Serials in a Consortium Environment 116
Holdings Records 116
Serials Check-In 116
Serials Reminders 116

Appendix D: MARC Holdings Codes 117
853 MARC Tag Coding 119
863 MARC Tag Coding 122
Guidelines for Indicators 123
Display 863 Tag Data 124
Supplements and Indexes 127
Copy Patterns 127

Appendix E: Serials Coding Examples (853 tag) 128

Appendix F: Serials Workflow with 891 Tag 131

Appendix E - Changes in this Guide 136

Changes for Version 16.1 136

Introduction to Serials Control

Virtua Serials Control features are linked very closely to the USMARC 21 Holdings Format Standards. This standard provides a lot of information for setting up new periodical records.

The Bibliographic record is linked to the Holdings Record. Once the Bib Record is linked then additional holdings records can be added for each location.

The holdings record must have an 852 tag for location; 853 tag for pattern for captions; 866 tags are not required but useful for textual information. There are many other tags that help with keeping check information up to date.

When thinking about serials control, creating the holding record is the most important issue. From the holdings record you can link expected issues, show received issues, and add items, notes, and claims.

The last important piece of information relating to the Serial Control features is how it is linked to a Vendor Record. The Vendor record is very important for creating a periodical order and for claiming un-received issues.

This workflow-based reference guide provides details about the Serials Control subsystem in Virtua and describes all the functions and windows in the subsystem and provides instructions for performing the tasks related to serials control in your library.

A serial is a publication in any medium issued in successive parts. The different parts are numbered or bear some other chronological designation. It is the coding of these different parts in a MARC holdings record that allows for automated serials control.

Virtua Serials Control supports most aspects of the MARC 21 Format for Holdings Data and provides functionality for the following tasks:

- Creating and maintaining holdings information
- Checking in serials
- Predicting issues
- Creating routing lists
- Producing reminders
- Producing and transmitting claims
- Managing binding tasks

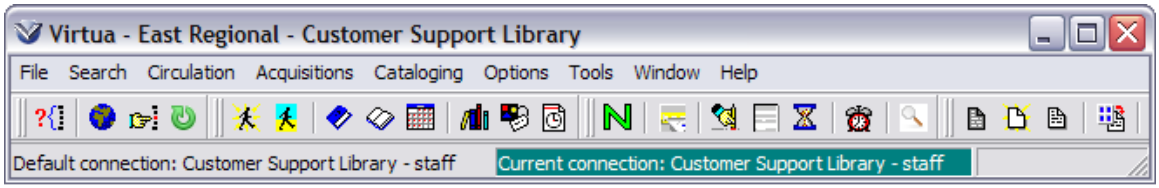
More specifically, Virtua Serials Control handles the unique requirements that serials control places on an integrated library system. In Virtua, serials users can . . .

- Create serial bibliographic records.
- Create MARC holdings records, check-in records, claim records, and reminder records using the three-tiered approach.
- Catalog the special VTLS-defined fixed fields.
- Create item records from serial issues.
- Predict future issues from the 853 tag.
- Check in predicted or manually created issues.
- Display actual holdings in the OPAC.
- Create and manage routing lists.
- Create, view, edit, and delete issue notes.

Keep in mind, once the Holdings Record is created you only have to create the 853 pattern once. After that all work is conducted from the Serials Check-in window and it makes it very easy to update any new issues.

Understanding Menu & Toolbar

The Virtua main window displays a menu bar that offers eight pull-down menus: File, Search, Circulation, Acquisitions, Options, Tools, Window, and Help.



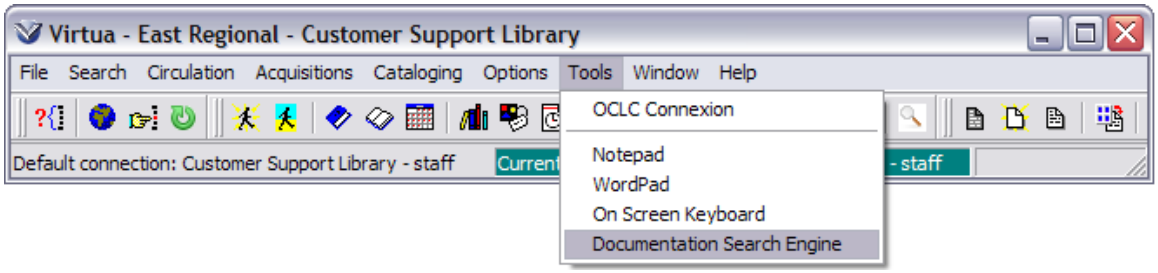
When you first launch Virtua, no Serials menus or toolbars appear on the main window. The Acquisitions menu contains some options related to Serials Control. Additional serials options reside on four pull-down menus that will appear on the menu bar when you access appropriate serials-related windows:

View Bibliographic Record window, the View Record menu option will appear.
View Holdings Record window, the View Holdings Record menu option will appear.
Serials Check-in window, the Serials Check-in menu option will appear.
Holdings Routing List window, the Routing Lists menu option will appear.

There are five pull-down menus on the Virtua menu bar that will be of most use to serials users: View Record, View Holdings, Serials Check-in, Routing Lists, and Acquisitions.

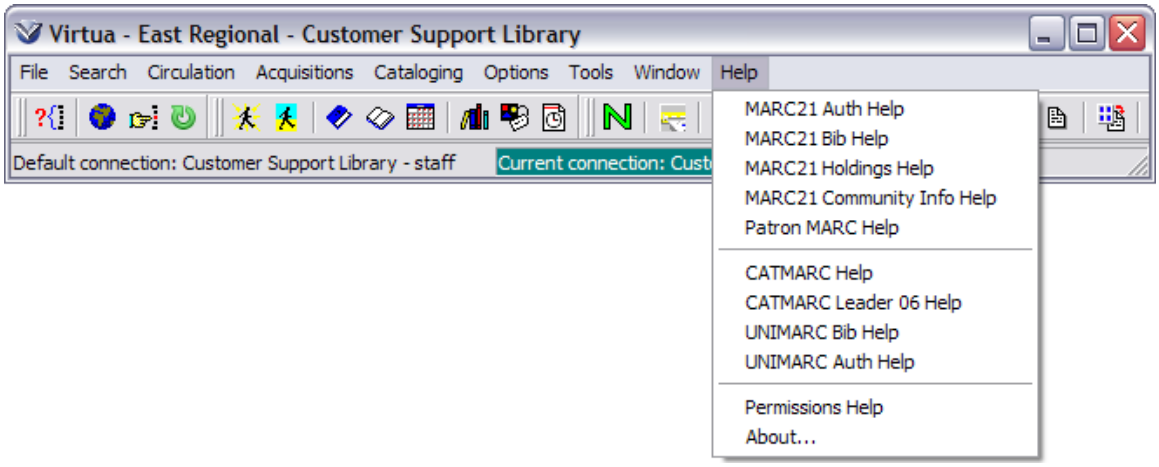
Documentation and Help

Virtua Users Guides are available in searchable .pdf format from the **Tools** menu; click on the **Tools** menu, then select **Documentation Search Engine**.

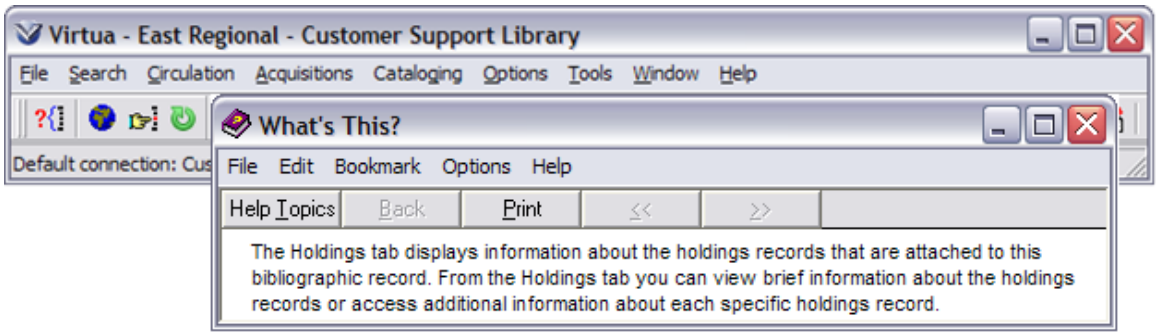


Note: While the Documentation Search Engine appears on your Tools menu by default, it is functional only if the Virtua documentation has been installed via the Documentation Installer. For details on the Documentation Search Engine, see the section *Viewing and Searching the Virtua Documentation* in the Virtua Client Getting Started Primer.

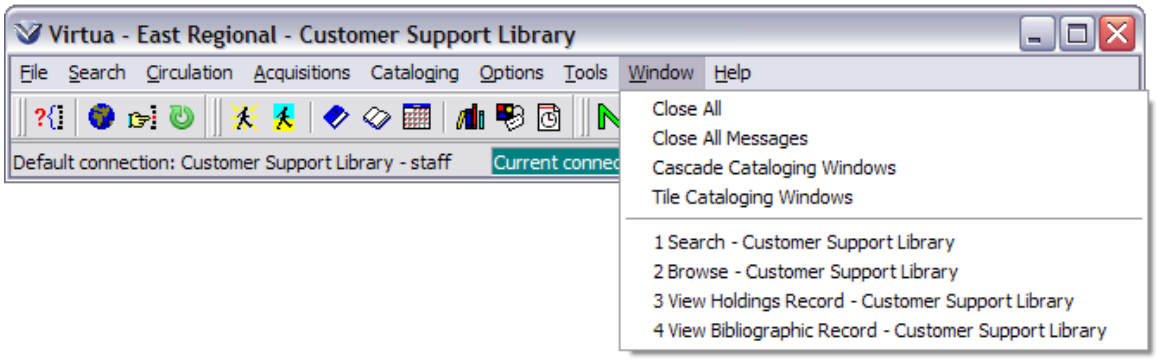
MARC 21, CATMARC, and UNIMARC Format help is available from the **Help** menu; click on the **Help** menu and select the appropriate help category.



Context sensitive help is available; from the window for which help is needed, using the **F1** key or right mouse click will bring forward more information regarding that portion of the window.



The **Window** menu tracks the order in which open Virtua windows were accessed.



Close All (Alt + w + a) will close all open Virtua windows.

MARC Holdings Format and the Serials Holdings Record
In Virtua, the MARC holdings record is the basis for the serial control functions.

The Library of Congress maintains and updates standards for all USMARC formats. VTLS software conforms to the USMARC standards.

The Holdings format is a separate format from the Bibliographic and Authority formats. While each format (Bibliographic, Authority and Holdings) contains common tags and tag elements (usually for control numbers), unlike Bibliographic records and Authority records, a Holdings record does not stand-alone. *In Virtua it must first be linked to a Bibliographic record*.

The *MARC 21 Format for Holdings Data* is designed to be a carrier for holdings information for three types of bibliographic items that are identified by a code in Leader position /06 (Type of record):

Single-part item (Leader, position 06, code = x): An item that is complete in a single physical part. Examples include; a one-volume book, a single map, a musical score, a computer file.

Multi-part item (Leader, position 06, code = v): An item that is complete in a finite number of separate physical parts. Examples include; a set of maps, a musical score and parts, a ten-volume encyclopedia, a multimedia kit containing various components, or a manuscript collection.

Serial item (Leader, position 06, code = y): An item that is issued in successive parts at regular or irregular intervals and is intended to be continued indefinitely. Examples include; a journal, or a serial update service to a loose leaf publication.

In Virtua holdings information may include:

- Copy-specific information for an item
- Information that is specific to the organization such as searchable notes fields.
- Serials coding pattern that is needed for serials check-in

For additional information on the USMARC standard for holdings records see http://www.loc.gov/marc/holdings/echdhome.html.

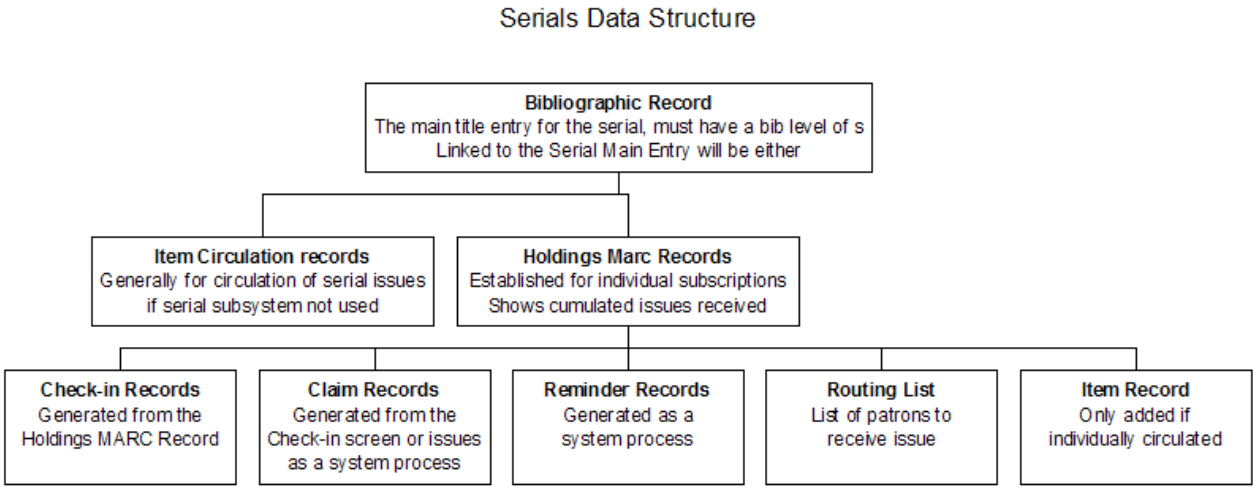
Serials Data Structure

For the Serials subsystem to function properly, The Virtua database must contain:

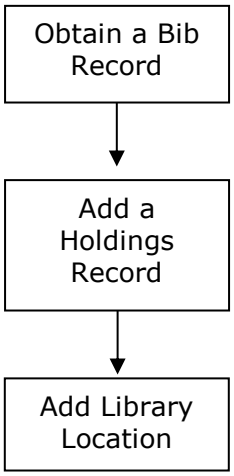
1. A MARC *bibliographic* record for each serials title.
2. A coded MARC *holdings* record for each copy of the subscription, to be checked in.
3. A valid prediction pattern in the 853 field for each subscription to be checked in.

A catalogued serial only needs to have the bibliographic record and the holdings record; but usually there will be other records linked to each holdings MARC record:

- Check-In Records
- Claim Records
- Reminder Records
- Routing Lists
- Item Records

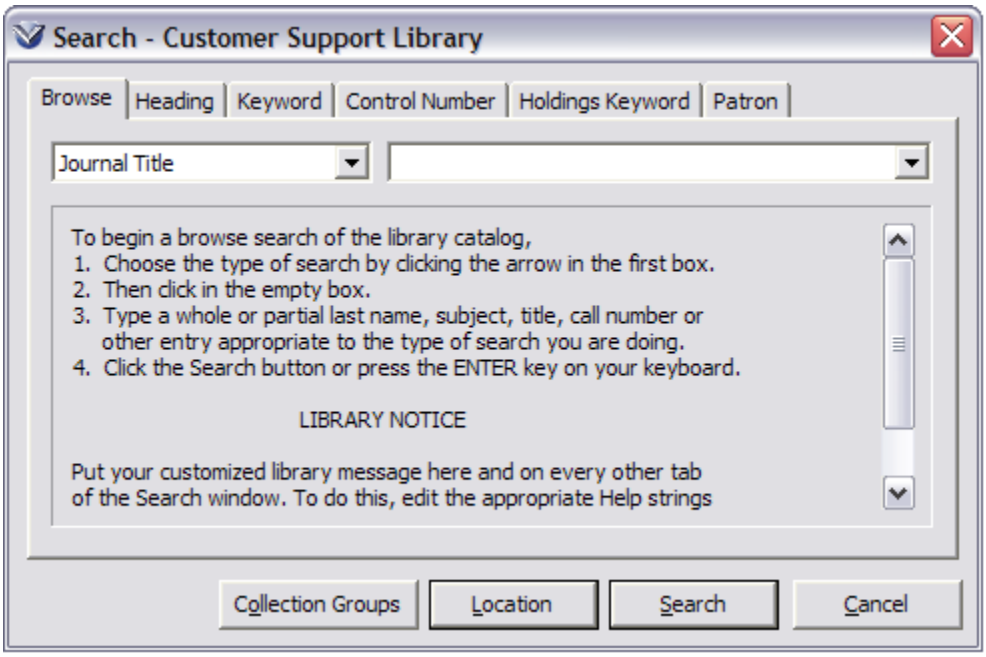


Create Holdings Record

Recommended Workflow	Explanation
	MARC holdings records are at the heart of the Virtua Serials subsystem. For the Serials subsystem to function properly, your database must contain a MARC bibliographic record for each serial title and a coded MARC holdings record for each copy (for example, each subscription) of the title that is to be checked in. So creating holdings records is the first step toward serials control. **Summary** • Identify components of the Holdings tab • View a Holdings Record • Add a Holdings Record • Add a library location to the 852 tag **Key Terms** • 852 tag • Active 852 tag • Bib-ID • Holdings Record • Item Record • Item-level Call Number **InfoStation Report** **Serials Without Holdings**: Generates a list of all serial bibliographic records that do not have holdings records. **Serials List**: Generates a list of all serial bibliographic records that meet the location, vendor, acquisition method, date range, language code, and completeness criteria specified in the report configuration. **Serials Snapshot**: Summary of the serials statistics that exist in the database at the time you run the report. **Canceled Serials:** List of serials subscriptions that have been canceled.

Obtain a Bibliographic Record

Search the OPAC to verify that a bibliographic record exists. You can do a browse search for a Journal Title by clicking on the **Browse Search** icon and selecting Journal Title from the drop-down list box.



- ***If*** multiple records exist you will see the list of records
- ***If*** only one record exists you will see the **View Bibliographic Record** window.

In addition to Browse searching, Virtua provides the following serials-related searches.

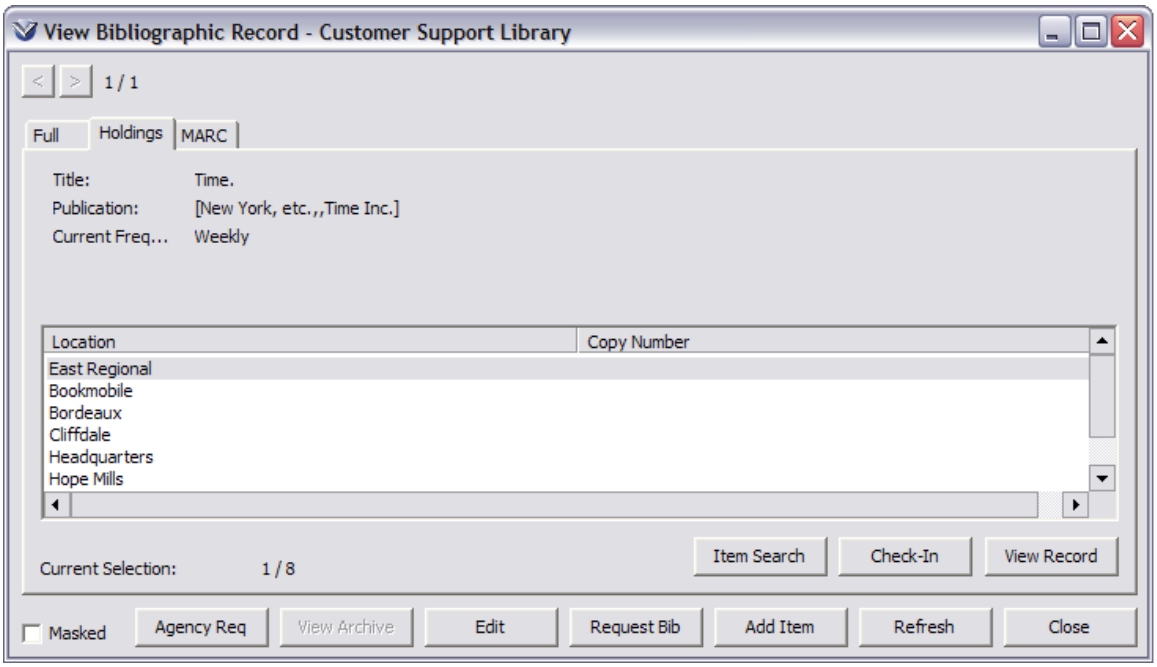
Index	Searches	Retrieves
ISSN	022 tag of the MARC Bibliographic Record	View (Bibliographic) Record window
Holdings ID	001 tag of the Holdings Record	View Holdings window
ISSN Serials	022 tag of the MARC Bibliographic Record	Serials Check-in window
ASN	024 tag of the Holdings Record (locally defined Agency Title number)	View Holdings window

To see the **View Bibliographic Record** window from a list of search results click on the desired record and then click the **View** button.

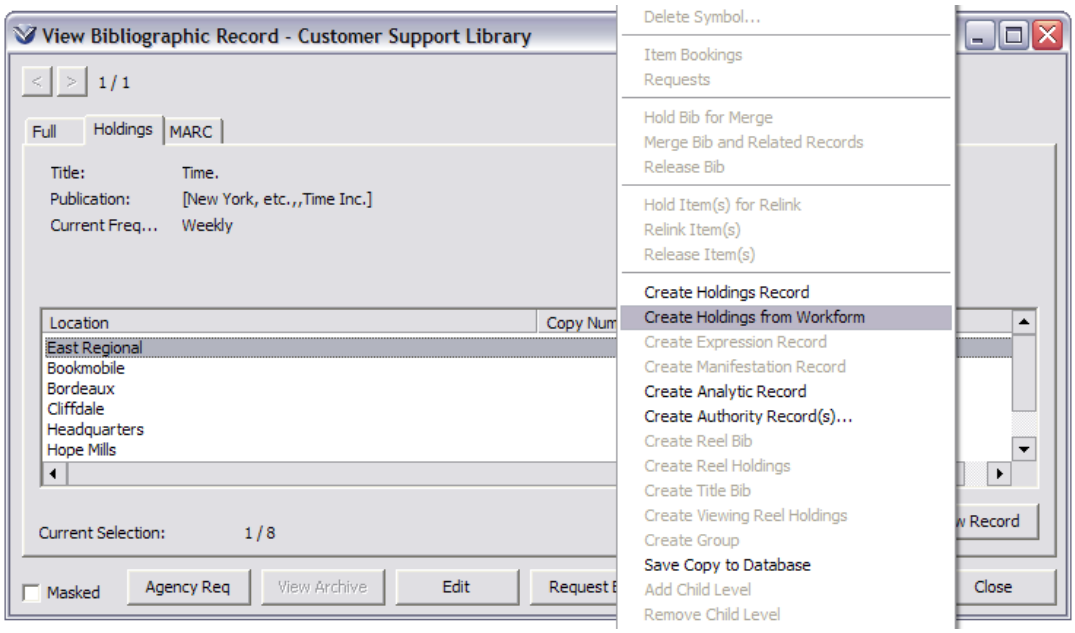
The **Holdings** Tab lists the number of subscriptions of the serial title that are held by the library or libraries.

- ***If*** more than one subscription is held by the location, the location name will appear multiple times, once for each subscription. A copy number or other library specific information distinguishes the individual subscriptions.

To display the **Holdings Record** window, double click on a subscription record, or highlight the record and click the **View Record** buton. This displays the individual holdings record (received and expected issues) for that subscription.



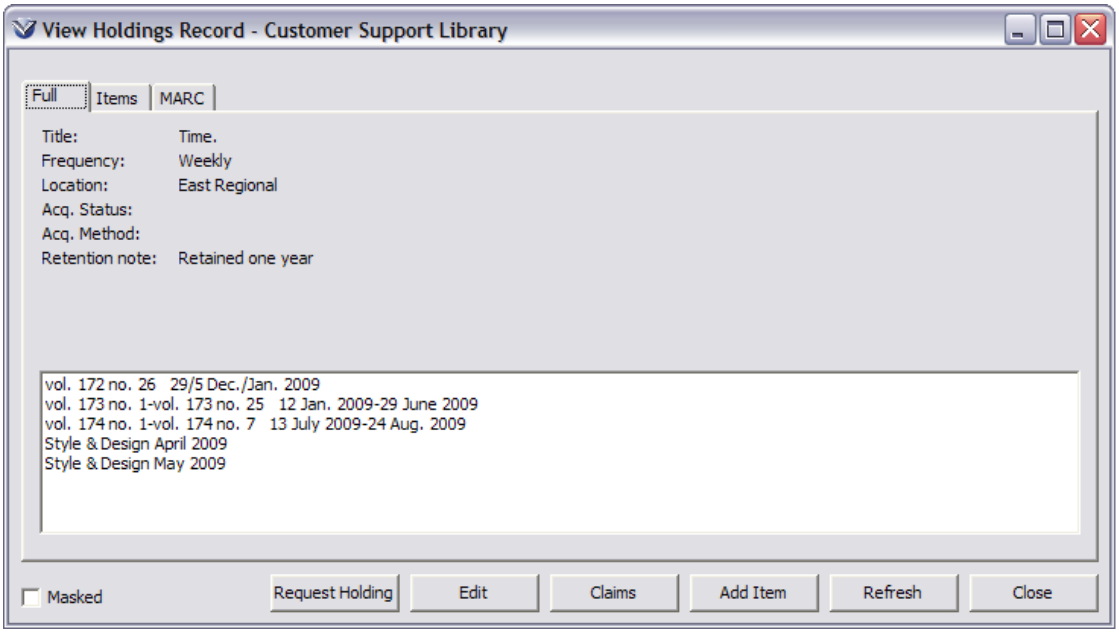
Note: To specify a default holdings workform in the **Cataloging Options** window, from the **View Bibliographic Record** window right click and choose **Create Holdings Record**. This is the workform that will appear in the **MARC Editor**.



The Holdings Record

Click the **Full** tab on the **View Holdings Record** window to see the issue information for this subscription.

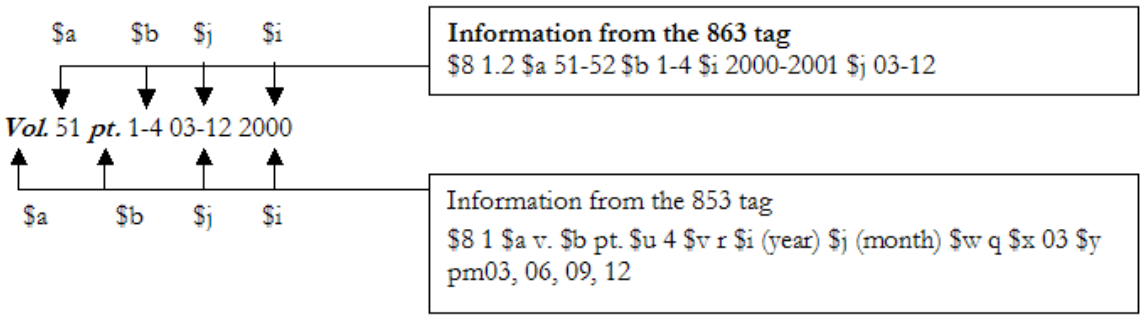
Note: The information displayed on the header of the **View Holdings Record** window is drawn from both the main bibliographic record for the serial title (title, imprint etc.) and the individual subscription holdings record. The display is governed by a view in the OPAC section of the *Virtua Profiler*.



Note: Holdings information displayed comes from two tags: the 853 and the 863.

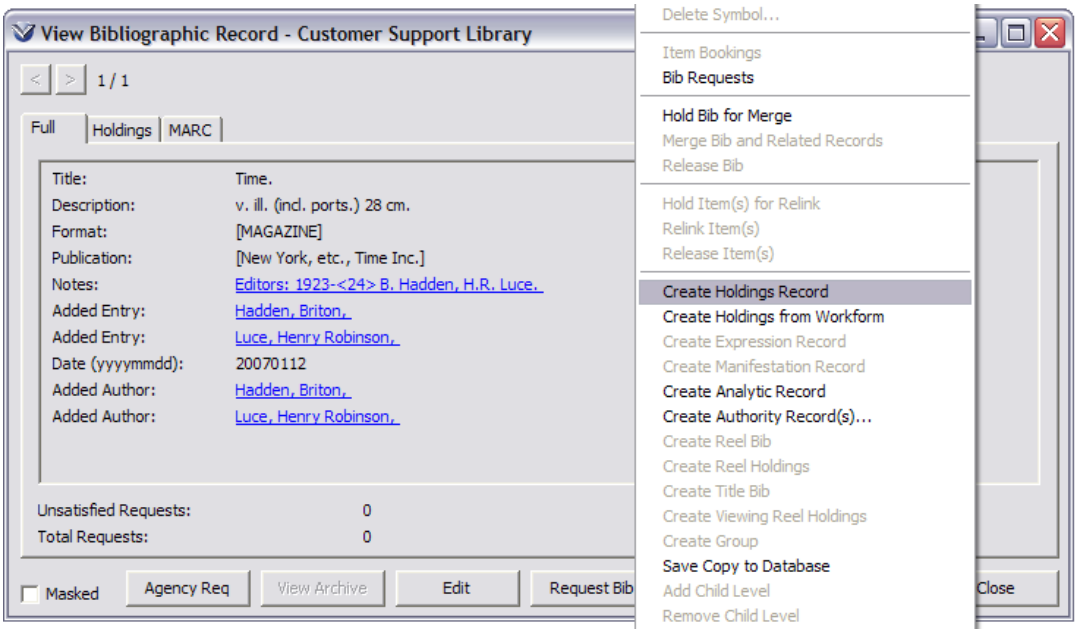
- The 853 tag contains values for the captions and pattern for the basic bibliographic unit.
- The 863 tag contains the enumeration and chronology of a basic bibliographic unit in the holdings of the reporting organization.
- Upon check-in the 863 tag is automatically updated to reflect changes in holdings information. In the case of supplements or indexes, this information is added manually.

Example:



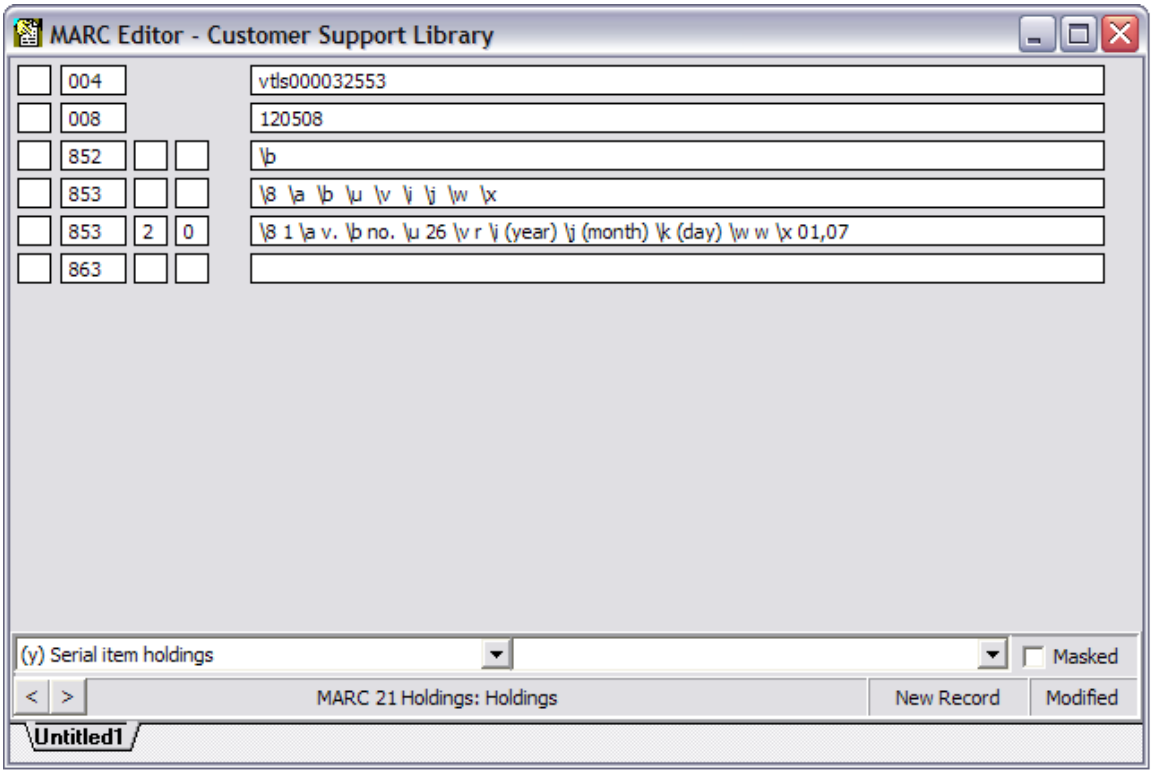
Add a Holdings Record

On the **View Bibliographic Record** window right mouse click.



Choose **Create Holdings Record** from the pop-up menu. A blank holdings record appears in the **MARC Editor** window. This blank record is the holdings workform that you set as the default holdings workform on the **File Options** tab of the **Cataloging Options** window.

If you want to create a holdings record from a workform *other than* the default holdings workform, choose **Create Holdings from Workform** option from the pop-up menu. From the **Create Record** window that appears, select a holdings workform, which may be a specialized template for multipart, serial, or single-part holdings.



Note: The 001 tag (Bib ID) from the Bibliographic record is automatically copied into the 004 tag of the Holdings Record. This is used to link the holdings record to the bibliographic record.

Tip: If it is necessary to re-link a holdings record to a different bibliographic record, change information in the 004 tag in the MARC Holdings records to the 001 Bib-ID of the desired bib record. All associated check-in records will also be re-linked.

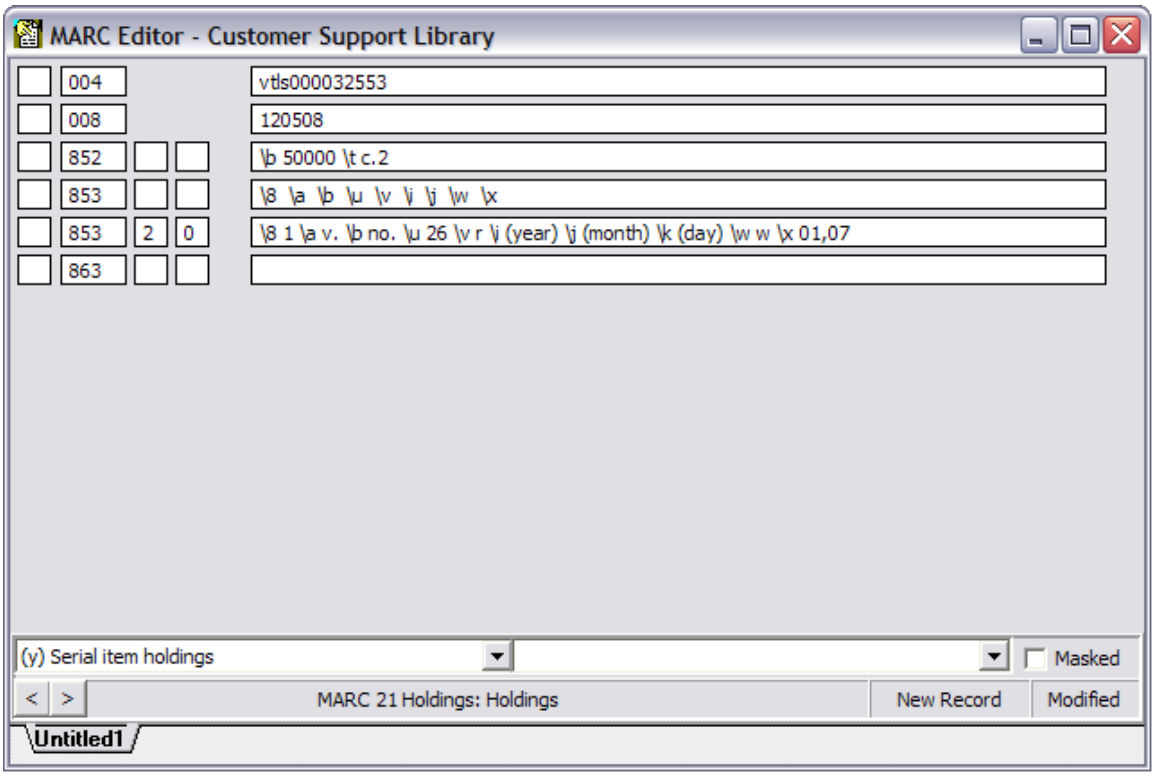
Add Library Location (852 Tag)

In the Holdings record the 852 tag holds the location, call number and copy number of the individual subscription. The primary elements that need to be entered are for the 852 tag are:

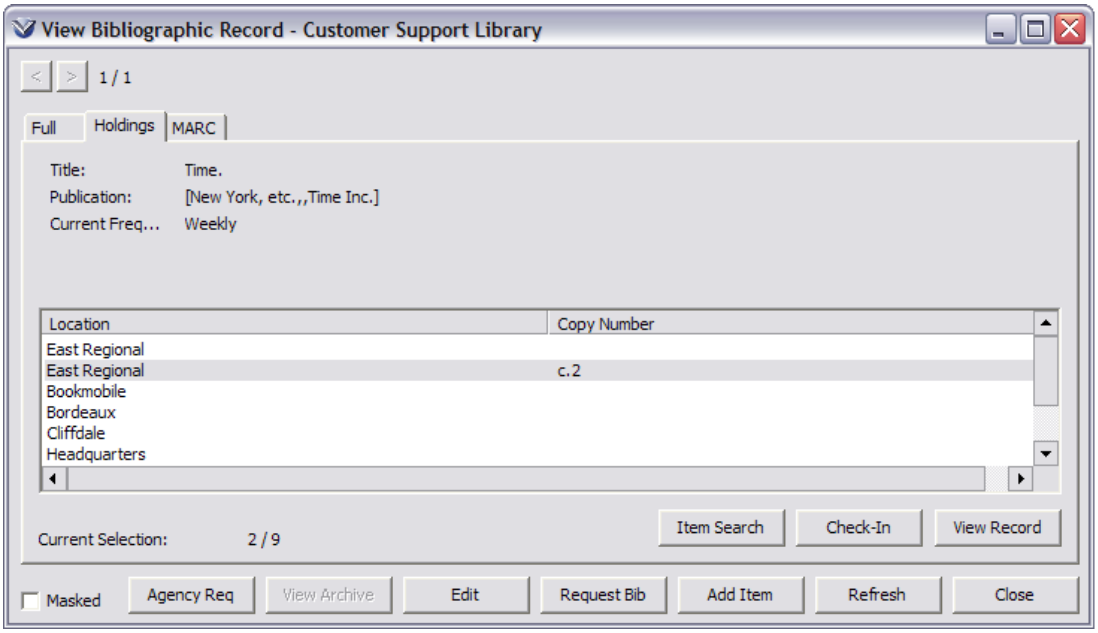
- Subfield \b location code (5 digit code defined in the Global Settings parameter of the *Virtua Profiler*). This is a **REQUIRED** subfield. If a holdings record does not contain an 852 \b it will NOT save to the database.
- Subfield \t copy number
- Subfield \j holdings level call number

Enter the information into the **MARC Editor**.

Note: Your library can choose to include bib-level, holdings level, or item level call numbers in the call number index. When a holdings-level call number exists, it is taken from subfield \j of the 852 tag, based on the value of the first indicator of the active 852.



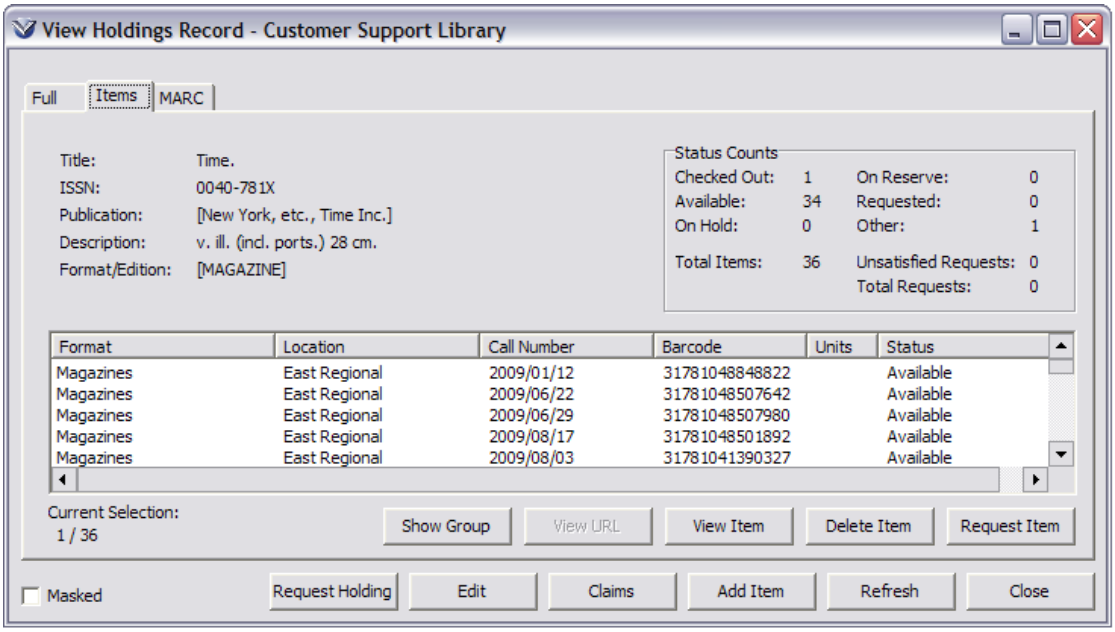
This will display on the **View Bibliographic Record** window as:



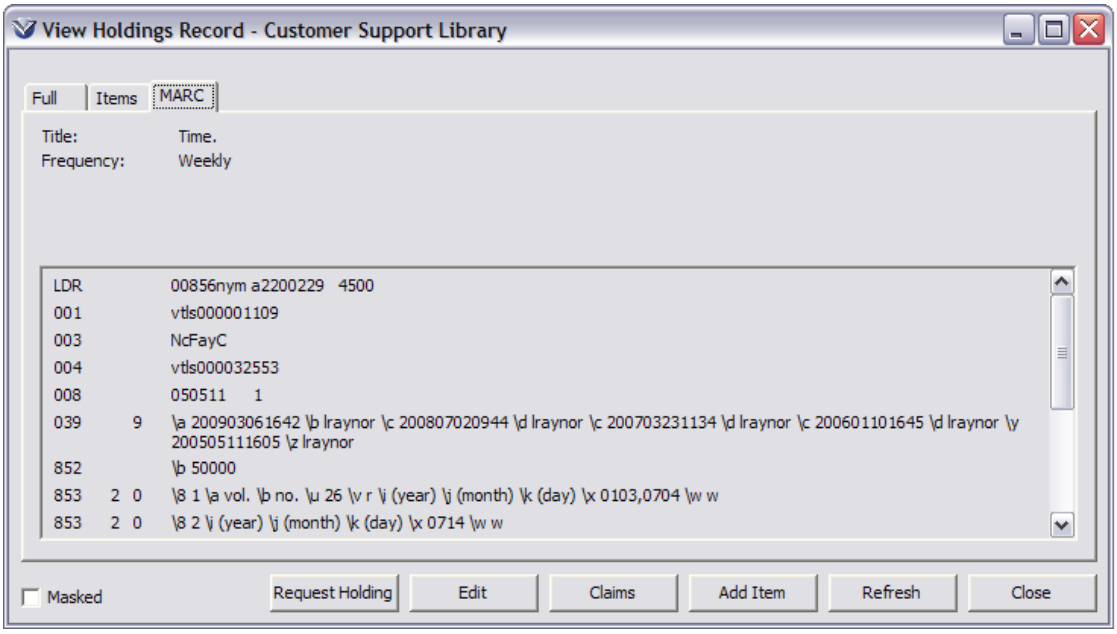
Access the Holdings Record

To access the holdings record, highlight the holdings record on the **View Bibliographic Record** window and click the **View Record** button.

The **Holdings Record** will appear:



Click the **MARC** tab of the Holdings record. Note that bibliographic information displayed at the top of the screen is coming from the bibliographic record associated with the holdings record. This view is configurable in the OPAC tab in the *Virtua Profiler*.

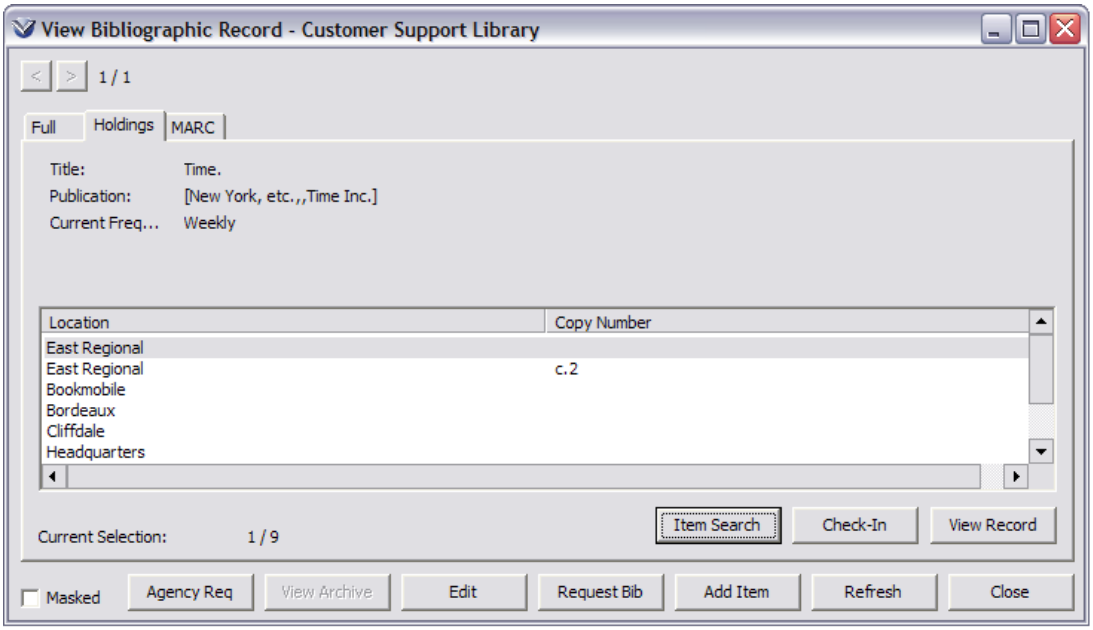


Note: Holdings records, like bibliographic records, can be Masked by checking the Masked box in the lower left-hand corner of the Holdings Record. This will hide holdings records in the database from users that do not have permission to view masked records.

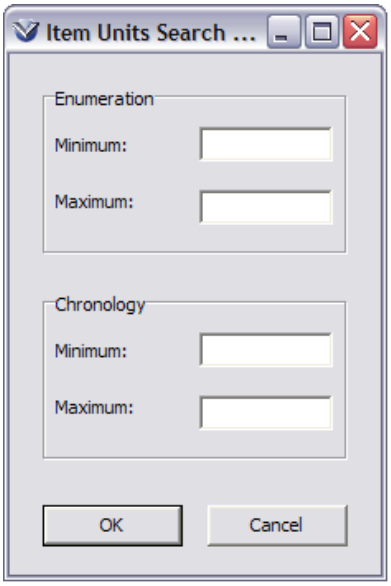
Search for Items Attached to the Holdings Record

Click on the **Holdings** tab of the bibliographic record.

Click on the **Item Search** button.

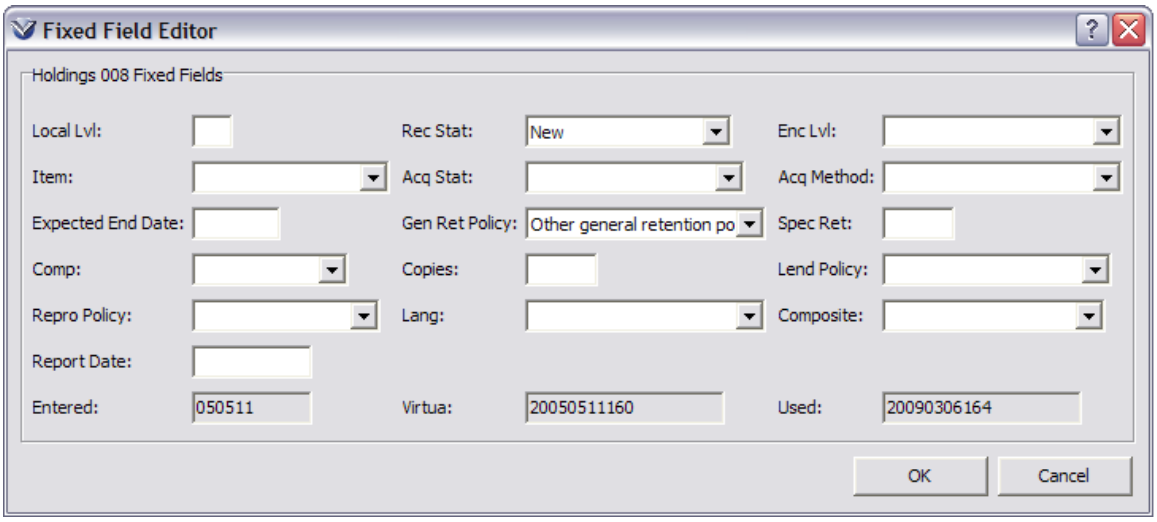


You can search by enumeration minimum and maximum, and chronology minimum and maximum.



Edit the 008 Fixed Field of the Holdings Record

Click in the 008 tag of the MARC holdings record to open the **Fixed Field Editor**.

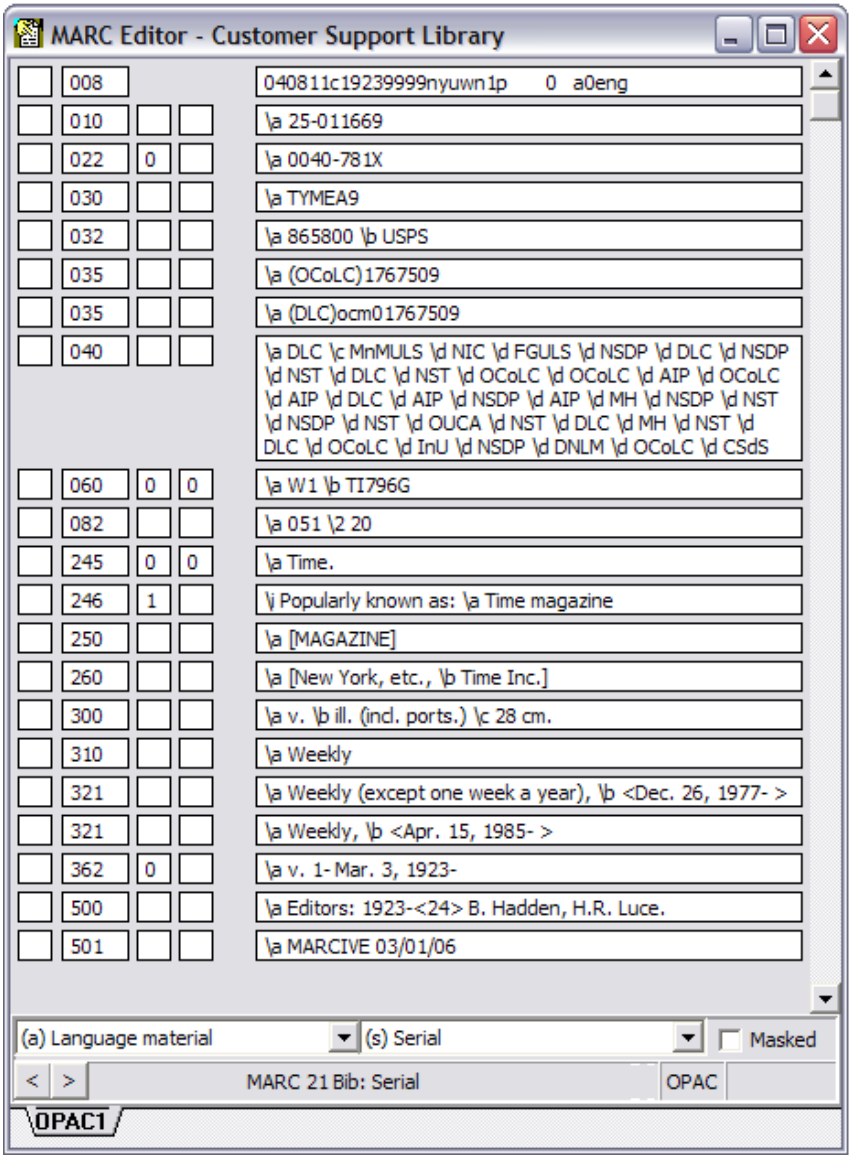


Select the appropriate information from the dropdown menus.

Click the **OK** button to save the information.

Edit the 008 Fixed Field of the Bibliographic Record

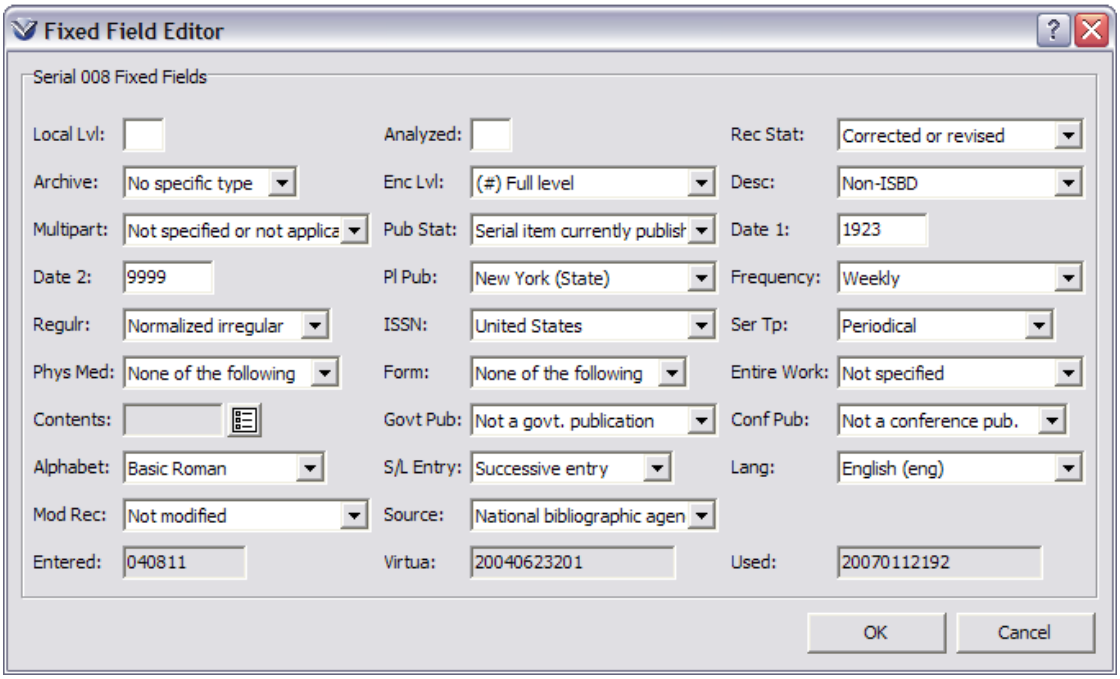
You can edit the fixed fields of the bibliographic record. To open the bibliographic record in the MARC editor, click on the **Edit** button in the **View Bibliographic Record** window.



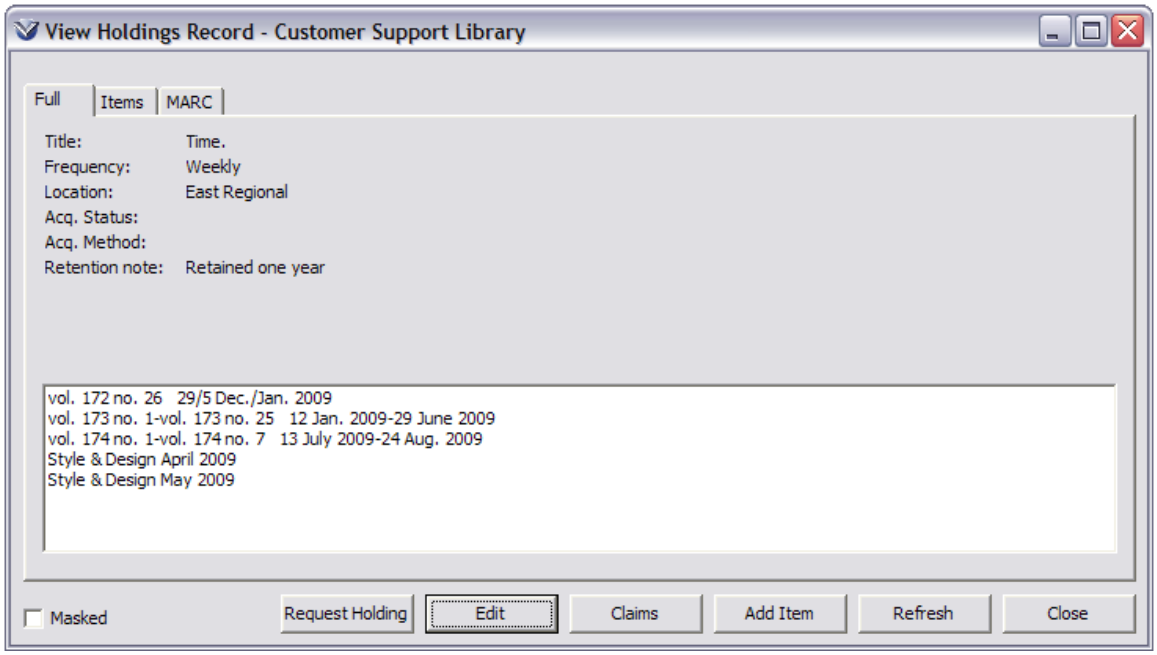
Note: The Bib-ID is in the 001 tag of the bibliographic record. This ID number is copied to the 004 tag of the Holdings record and is used to link the holdings record to the bibliographic record.

Click in the 008 tag of the bibliographic record to open the **Fixed Field Editor**.

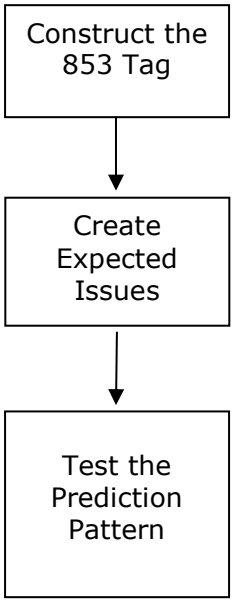
Note: It is possible to have elements from the fixed field display in the **View Holdings Record** window by setting the view in the *Virtua Profiler*.


Fixed Field Editor
Serial 008 Fixed Fields
Local Lvl:
Analyzed:
Rec Stat: Corrected or revised
Archive: No specific type
Enc Lvl: (#) Full level
Desc: Non-ISBD
Multipart: Not specified or not applica
Pub Stat: Serial item currently publish
Date 1: 1923
Date 2: 9999
Pl Pub: New York (State)
Frequency: Weekly
Regulr: Normalized irregular
ISSN:
United States
Ser Tp: Periodical
Phys Med: None of the following
Form: None of the following
Entire Work: Not specified
Contents:
Govt Pub: Not a govt. publication
Conf Pub: Not a conference pub.
Alphabet: Basic Roman
S/L Entry: Successive entry
Lang: English (eng)
Mod Rec: Not modified
Source: National bibliographic agen
Entered: 040811
Virtua: 20040623201
Used: 20070112192
OK
Cancel

Displays as:


View Holdings Record - Customer Support Library
Full
Items
MARC
Title: Time.
Frequency: Weekly
Location: East Regional
Acq. Status:
Acq. Method:
Retention note: Retained one year
vol. 172 no. 26 29/5 Dec./Jan. 2009
vol. 173 no. 1-vol. 173 no. 25 12 Jan. 2009-29 June 2009
vol. 174 no. 1-vol. 174 no. 7 13 July 2009-24 Aug. 2009
Style & Design April 2009
Style & Design May 2009
Masked
Request Holding
Edit
Claims
Add Item
Refresh
Close

Create and Test Prediction Pattern

Recommended Workflow	Explanation
	The MARC 21 Format for Holdings Data supports the storage of both coded and free-text data. Since the primary functions of serials control such as predicting issues rely on the coded holdings data in the holdings record, you must include this data in the 853 tag when creating holdings records. This lesson provides examples of serials coding and how to construct the 853 tag. **Summary** • Understand basics of MARC Serials coding • Enter serials coding patterns into the 853 tag • Create expected issues to test the prediction pattern • Delete Expected Issues • Edit the 853 tag **Key Terms** • Active 853 tag • Chronology • Enumeration • Expected Issue • Irregular Publication Pattern • Issue • Predication Patterns • Publication Patterns • Regular issue • Regular Publication Pattern • Serial Check-in Record

Construct the 853 Tag

When constructing the 853 tag, it is useful to think about the Enumeration Caption, Chronology and Publication Patterns as three distinct parts:

Enumeration Captions: What is the description that is to display in the OPAC?
For example: Volume and Number? Series? Part?
Chronology: How many times it is published per year?
For example: 4 issues/quarterly? 4 issues seasonally? 12 issues/monthly?
Publication Patterns: When does a year start or when does the volume change
For example: for a monthly is issue no. 1 January? For a seasonal pattern is issue no. 1 Spring or March?

Enumeration Caption: It is a *two-level caption* because it is a **Volume** followed by **Number**.
Chronology: The title indicates how often it is published (4 times per year).
Publication Pattern: This is a predictable American journal; the first month of the year is January when the volume numbering changes.

Based on this information, the 853 tag would have the following:

Enumeration Captions		
\a	First (highest) level of enumeration	v.
\b	Second level of enumeration	no.
Chronology Captions		
\i	First level of chronology	(year)
\j	Second level of chronology	(month)
Publication Pattern		
\u	Bibliographic units per next highest level	4
\v	Numbering continuity code	r
\w	Frequency	q
\x	Calendar change	01

Note: Virtua 853 Tag Requirements

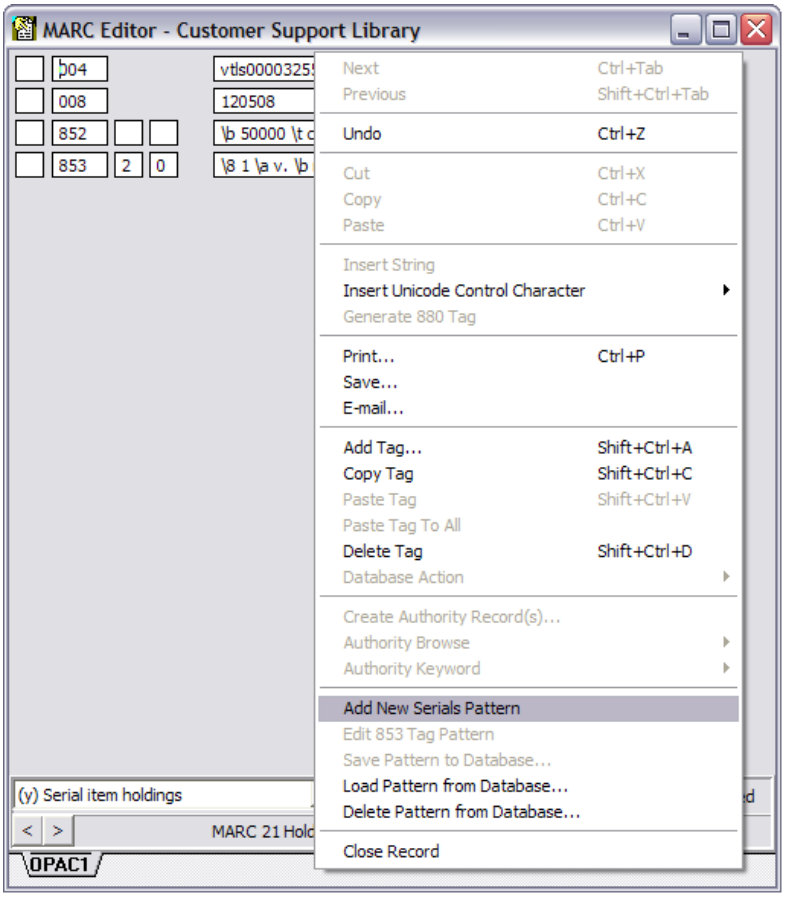
- \8 - a linking number to link the pattern to the corresponding 863 Chronology tag
- \w containing a number, must have a subfield \y.
- If there are no enumeration captions, the chronology captions appear in \a - \h.
- Subfield j can be used to denote an item level call number. However, the item record does not display the item level call number until after you save the item attached to the holdings record for the first time.

Serials Pattern Editor

Virtua provides a **Serials Pattern Editor** that can be used to add new patterns during holdings record creation. This Pattern Editor is intended for new titles that are added and for users that may not know the Holding Marc Coding as well as other users. This Patten Editor should not be used to modify existing patterns. All updates to holdings records and changes in patterns must be conducted from editing the MARC Holdings record directly.

Open the **Serials Pattern Editor** by doing a right mouse click from the holdings record opened in the **MARC Editor** window.

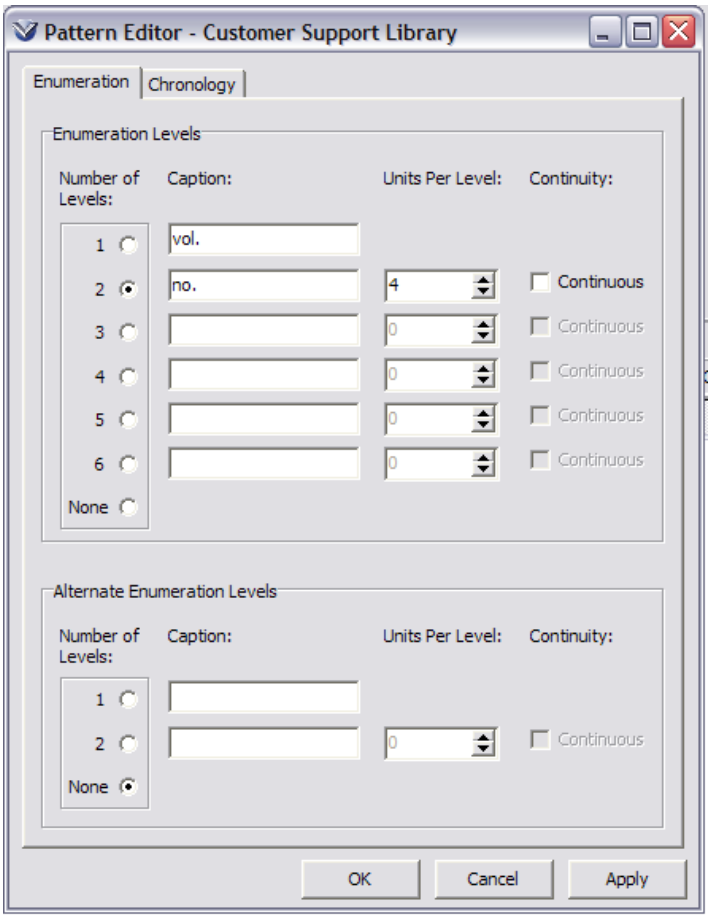
- ***If*** you want to add a new pattern, right mouse click anywhere on the Holdings Record, select **Add New Serials Pattern** from the menu



The **Pattern Editor** window will open, displaying two tabs:

- Enumeration
- Chronology

Enumeration Tab

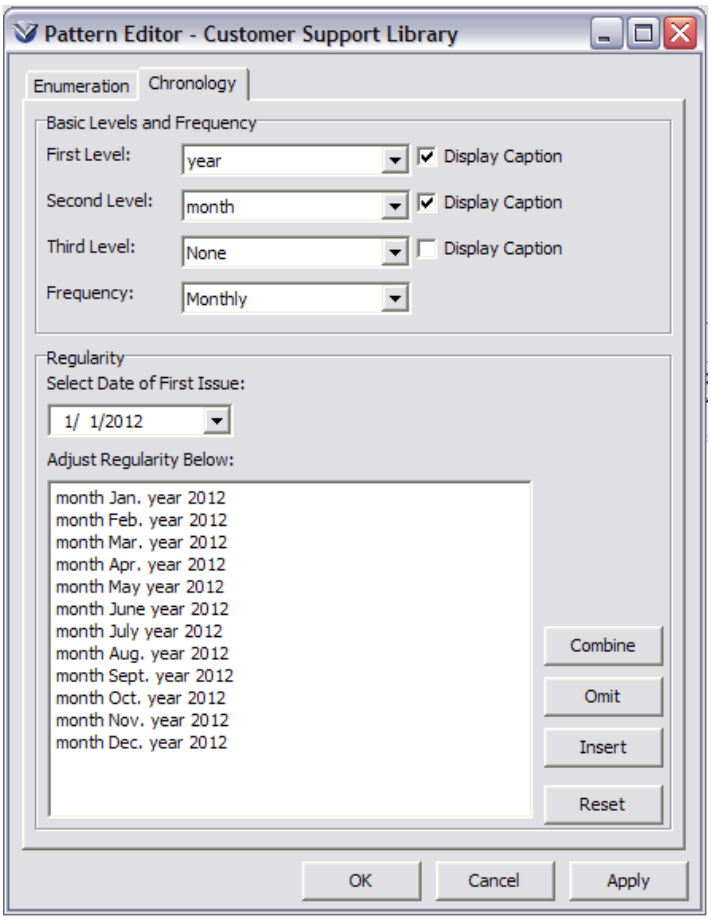


- **Enumeration Levels:** Populates subfields $a - $f that store enumeration captions in the 853 tag.
- **Alternative Enumeration Levels:** populates subfields $g and $h that store the alternative enumeration captions in the 853 tag.

For each enumeration level except the first (where only a caption is required), enter the following information.

- **Caption:** Describes the level. This value is stored in subfield $a-$f.
- **Units per level:** the value at which the next enumeration level increments. This value is stored in subfield $u.
- **Continuous check box:** indicates whether the numbering of that level should be continuous or should restart at the completion of the unit. This value is stored in subfield $v.

Chronology Tab



The **Chronology** tab on the **Pattern Editor** window contains two areas:

- Basic Levels and Frequency
- Regularity

For each level of chronology, select the appropriate information from the dropdown menu (*required*).

Check the **Display Caption** checkbox if you want the caption entered on the enumeration tab to display on the full tab of the holdings record (*required*).

Note: Serials chronology captions can be translated using the *Virtua Language Editor*.

Select a frequency from the **Frequency** dropdown menu. This populates subfield $w in the 853 tag (*required*). Once you select a frequency the Regularity area is populated with one year's issues.

Regularity

The **Regularity** area is used to set/adjust the publication pattern by setting two options:

- Date of First Issue
- Adjust Regularity

If the date of the first issue is incorrect, use the pop-up calendar to change it. The date corresponds to the calendar change value stored in subfield $x of the 853 tag. It indicates the chronological point at which highest-level increments or changes.

After you adjust the date, Virtua displays a sample of one year's worth of issues. Using the buttons to the right of the window, you can manipulate these issues to set the regularity pattern.

- **Combine:** To combine two issues, highlight two adjacent issues, and click this button.
- **Omit:** To remove an issue from the list, highlight the issue, and click this button.
- **Insert:** To add an issue to the list, highlight the issue before which you want to insert an issue, and click this button. An **Insert Issue** dialog box appears. The dialog box displays three pull-down list boxes, each of which contains the corresponding chronology level value already set on the **Chronology** tab. Edit this data as needed and click the **OK** button. The new issue is inserted.
- **Reset:** To reset the list of issues to the original list created by Virtua, click this button.

Click the **OK** button to save the pattern to the holdings record.

- ***If*** this is the first pattern added to the record from the **Pattern Editor**, Virtua sets the subfield $8 (sequence number) to 1.
- ***If*** this is NOT the first pattern added, Virtua adds a new 853 tag and increments the subfield $8 value to one higher than the subfield $8 of the last 853 tag in the record. The 853 tag with the highest value in $8 is the active tag for serials check-in.

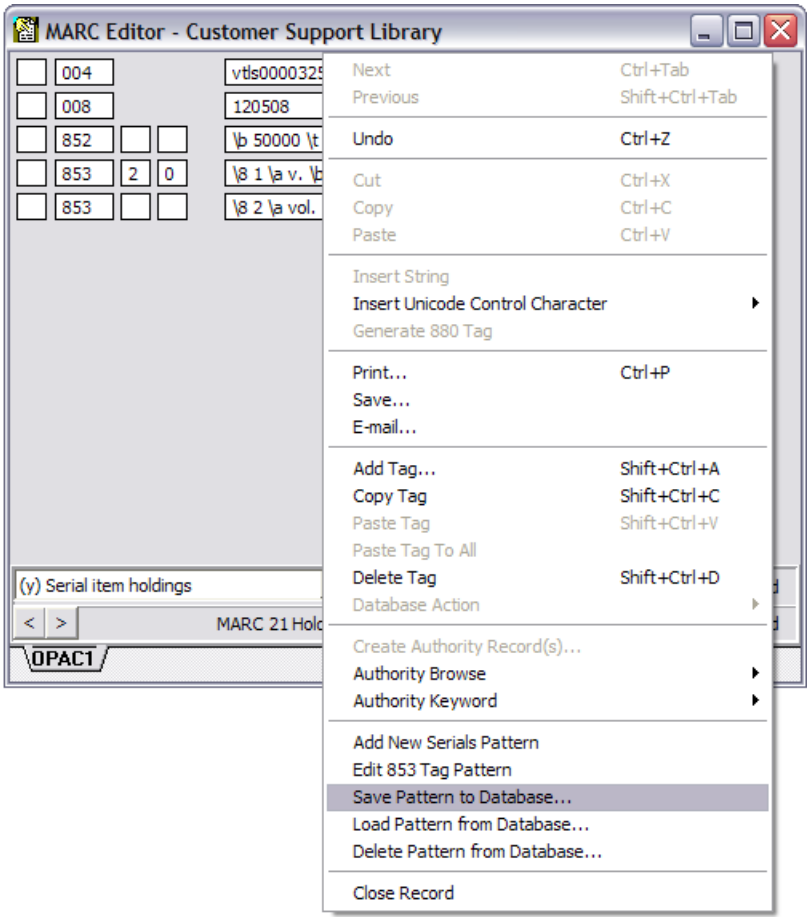
Store Serials Patterns

Virtua allows users to save serial coding patterns to the database from the holdings record. Users can also retrieve a pattern from the database from the holdings record.

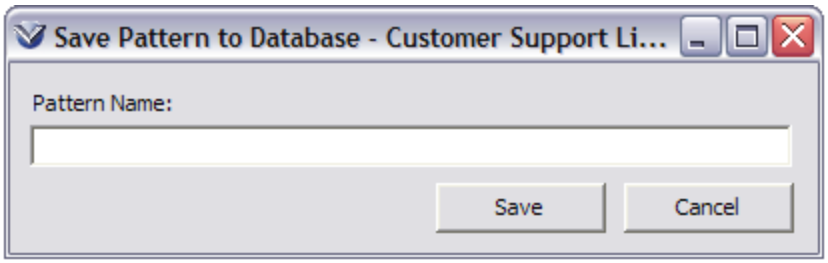
After creating or editing serials patterns, Virtua offers an easy way to save them to a Serial Pattern Database so that they can be retrieved for re-use. For information about running the script **LoadPatterns.ksh**, to load the patterns in **patterns.txt** to the Serials Pattern Database, see the *System Management: Cataloging User's Guide*.

Save a Pattern to the Database

To save a pattern to the database, right mouse click on the **853 tag** containing the pattern you which to save to the database.



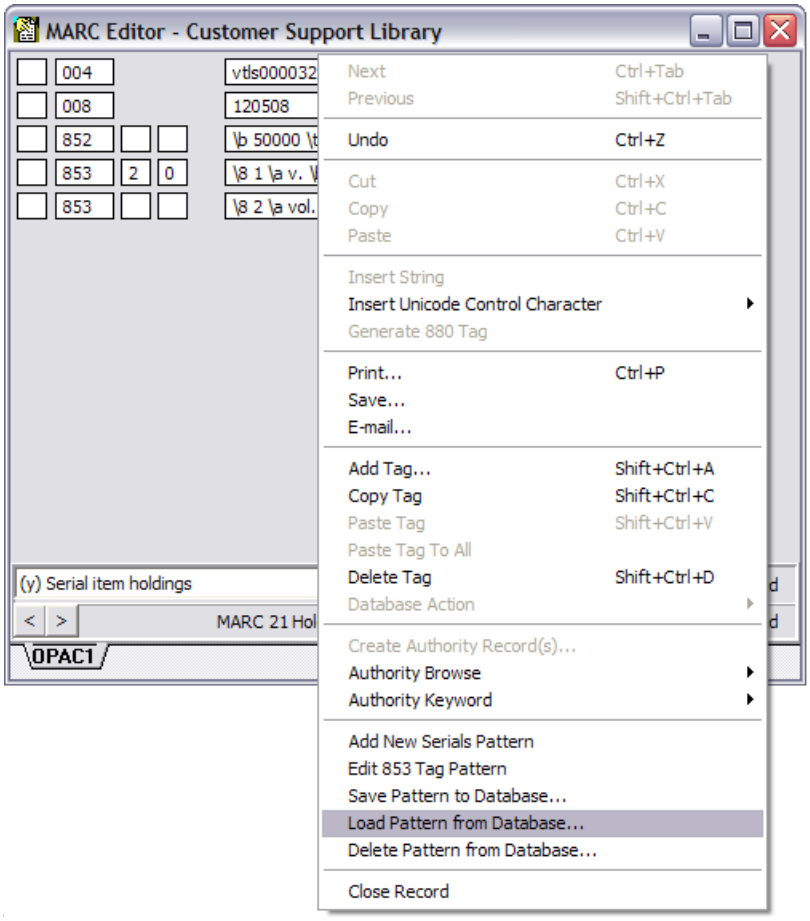
The **Save Pattern to Database** window will appear.



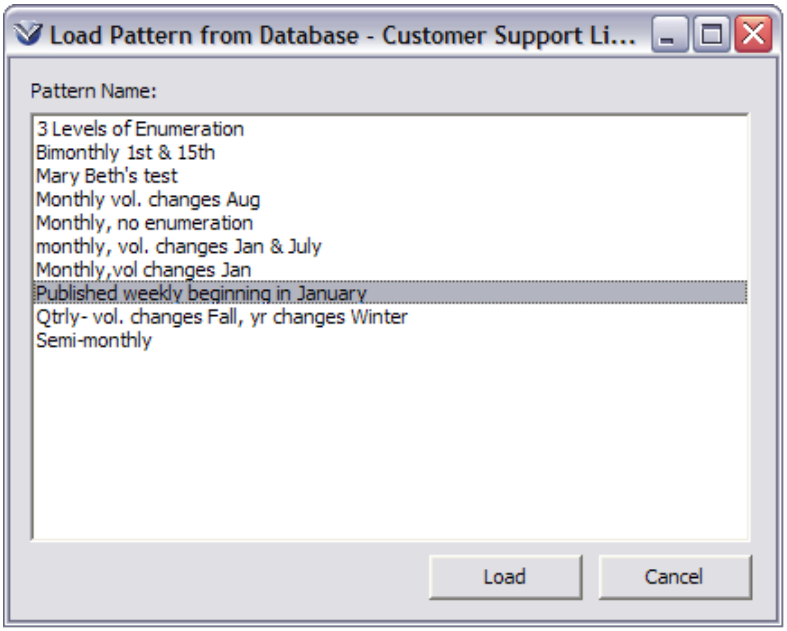
Type a pattern name and click the **Save** button.

Load a Pattern from the Database

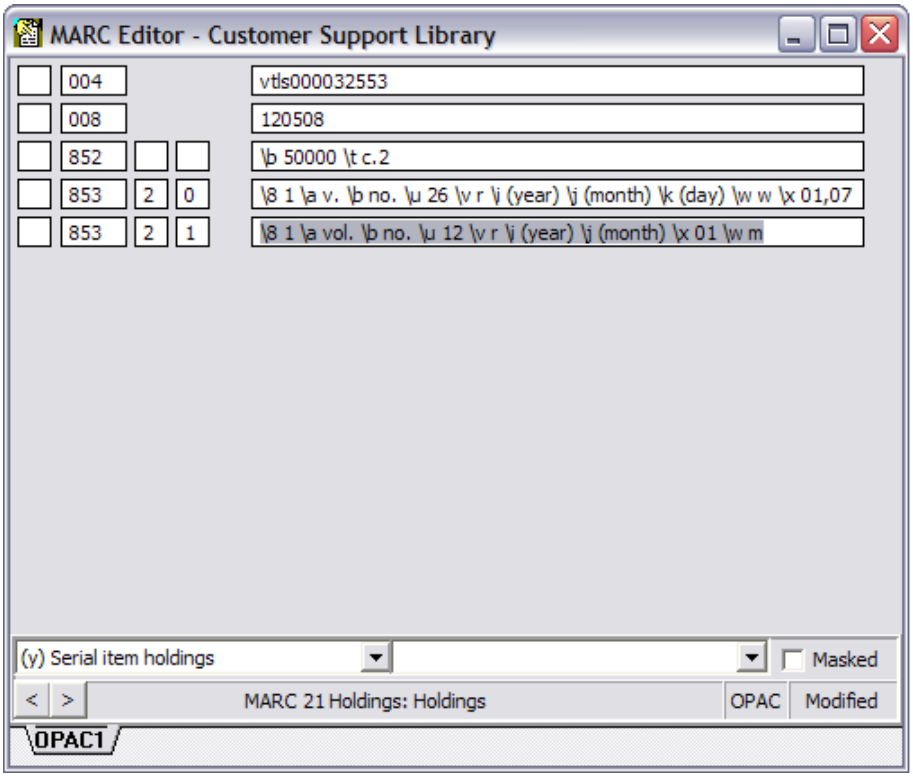
To retrieve a pattern from the database, right mouse click in the **MARC Editor** window containing a holdings record.



A list of all saved patterns will appear in the **Load Pattern from Database** window. Select the appropriate pattern and click the **Load** button.



A new 853 tag with the pattern selected will be added below any existing 853 tags in the holdings record.



Note: The subfield $8 will contain whatever number the pattern had when saved to the database. You may need to edit the sequence number in order for the pattern to appear in the proper order.

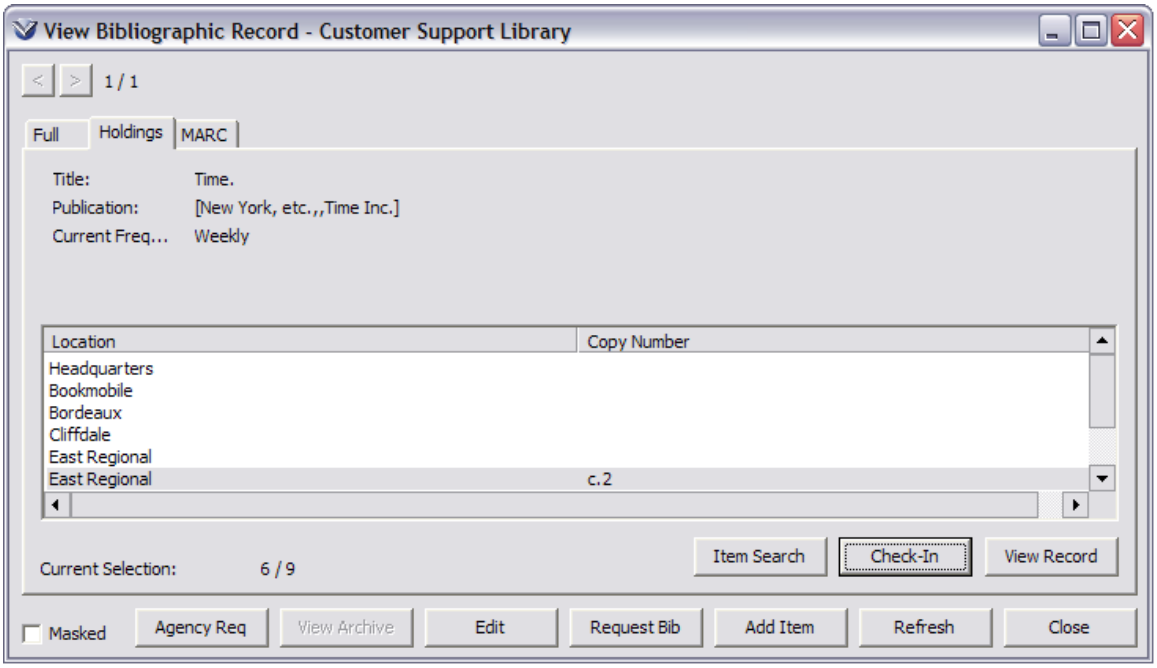
Create Expected Issues

Issues must exist as expected issues before they can be checked in. The expected issue is the next issue you anticipate receiving based on the last issue checked in.

When the first issue of a serial arrives, you must add it *manually* using a template that will be based on the pattern set up in the 853 tag. The status of a newly created issue is automatically set to *Expected*.

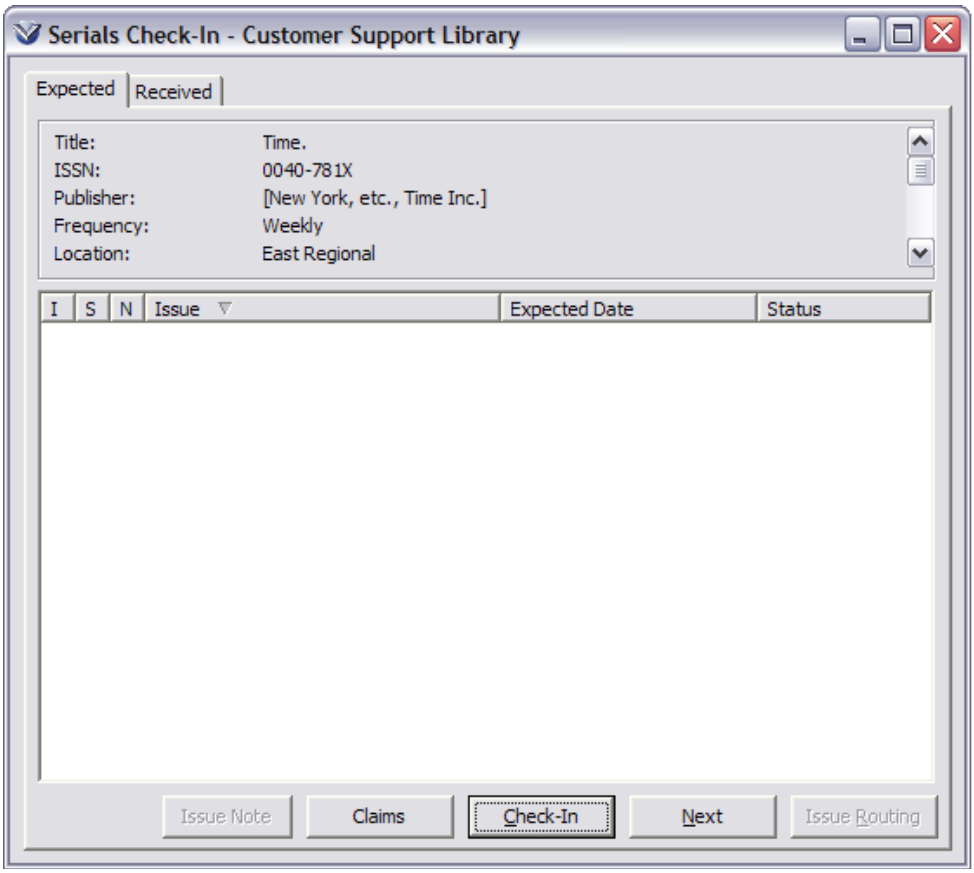
The Serials Check-In Window

From the **Holdings** tab of the **View Bibliographic Record** window, click the **Check-In** button.



The **Check-In** window (**Expected** tab) will appear.

Expected Tab

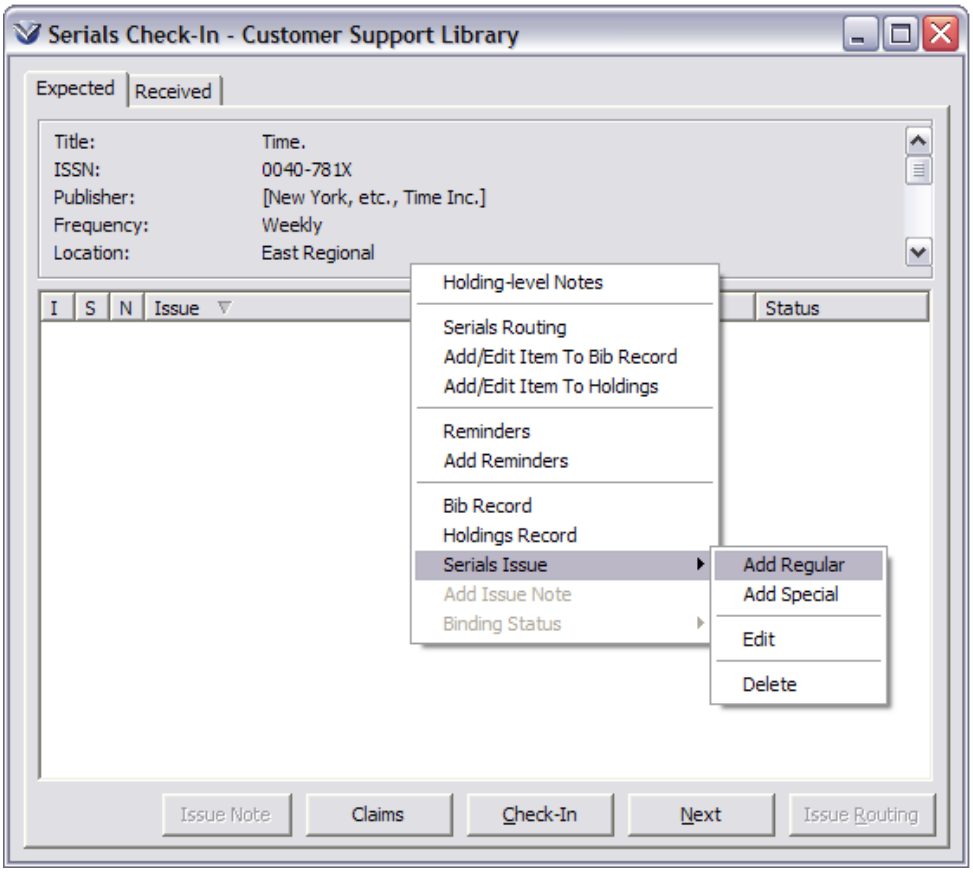


Columns

- **I (Item):** Indicates that the issue has an item record attached
- **S (Special Issue):** Indicates that it is a Special Issue
- **N (Note):** Indicates an issue level note is attached.
- **B (Bindery):** Indicates Bindery status. Binding Status is covered in *Lesson 5, Other Check-In Related Functions*.

Note: The default sort order on the **Expected** tab of the **Check-In** window is by *Expected Date.*

To create the first expected issue, position your cursor within the **Check-in** window, **Expected** tab and right mouse click. Select **Serials Issue** from the pop-up menu:



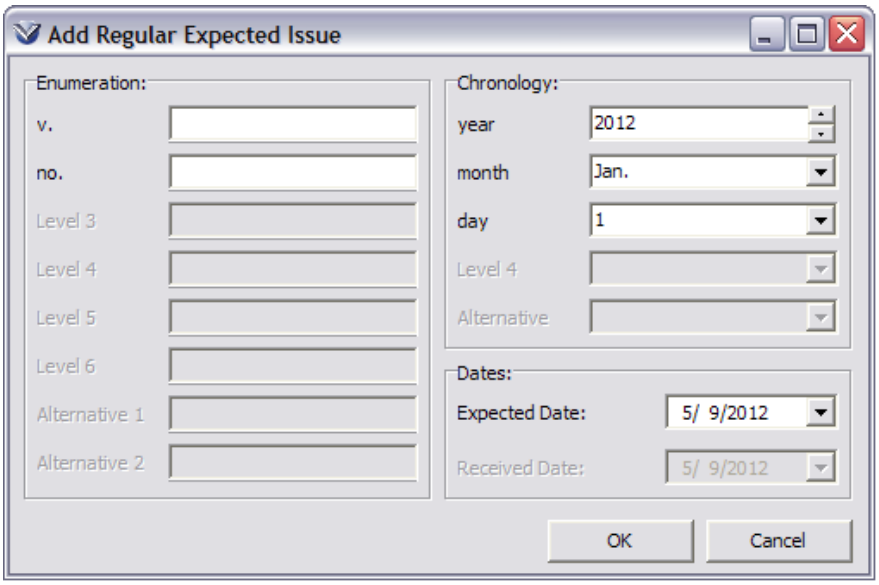
Active 853 Tag: Since a holdings record may have more than one 853 tag, the 853 tag with the highest link number is considered the active 853. The prediction is based on the information contained in the active 853 tag and the information entered in the serial issue template.

Automatic prediction of Expected Issues: If the pattern set up in the 853 tag is regular or a *normalized* irregular pattern (meaning that it arrives X number of times per year but you don't know when: use \y), Virtua will automatically predict additional expected issues. If the serial is irregular, you need to add each issue individually and then check it in.

Direct Editing of 863 Tag: Your library may choose not to use the Serials Check-in function. In that case, you can directly record the receipt of any issue of the serial by modifying or adding an 863 or 866 tag in the holdings MARC record. (To add an 863 tag, an 853 tag must exist.)

Add the First Expected Issue

Choose **Add Regular** from the Serials Issue menu. The **Add Regular Expected Issue** window appears.



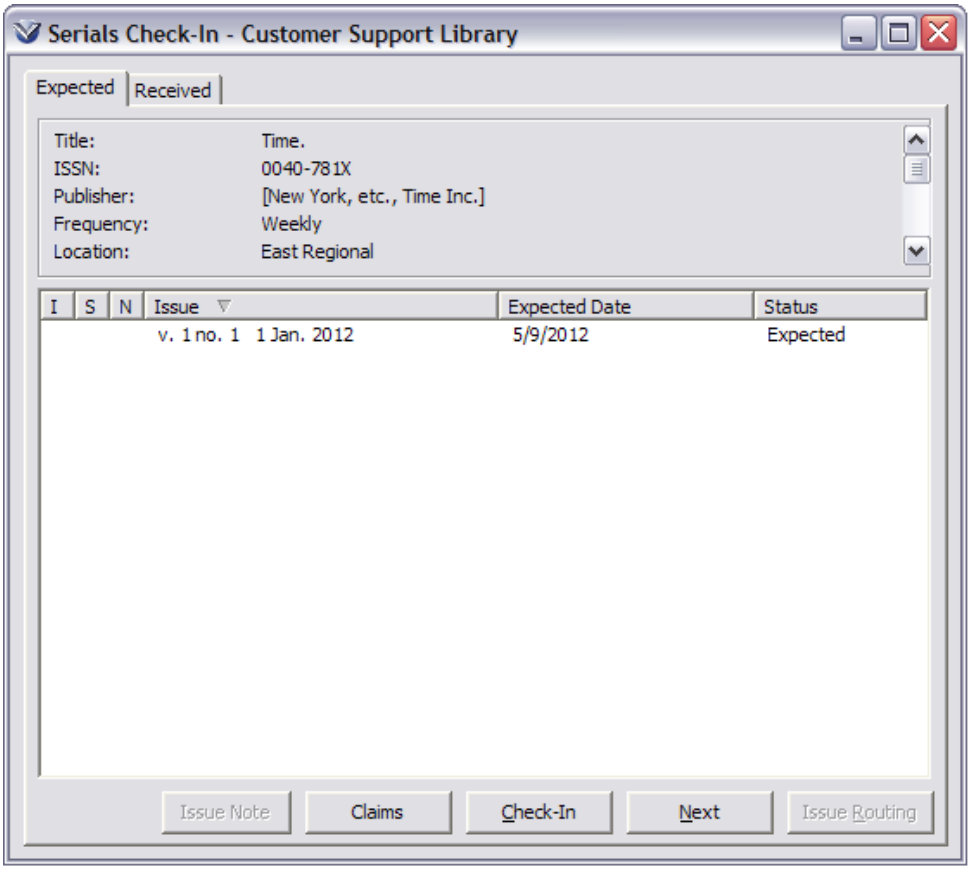
- Each level of **Enumeration** and **Chronology** as defined by the 853 tag with the highest link number will be active.
- Expected date, with the current date as the default, is active.

Fill in the **Enumeration** values with those needed for the first received issue. Note that MARC21 codes need to be used.

Modify the **Chronology** values with those needed for the first received issue. Note that MARC21 codes need to be used.

Accept or modify the default **Expected Date**.

Click the **OK** button. The expected regular issue is created.



Note: Because of the implications for updating the 863 field, the system will NOT create a regular expected issue without all expected enumeration and chronology values.

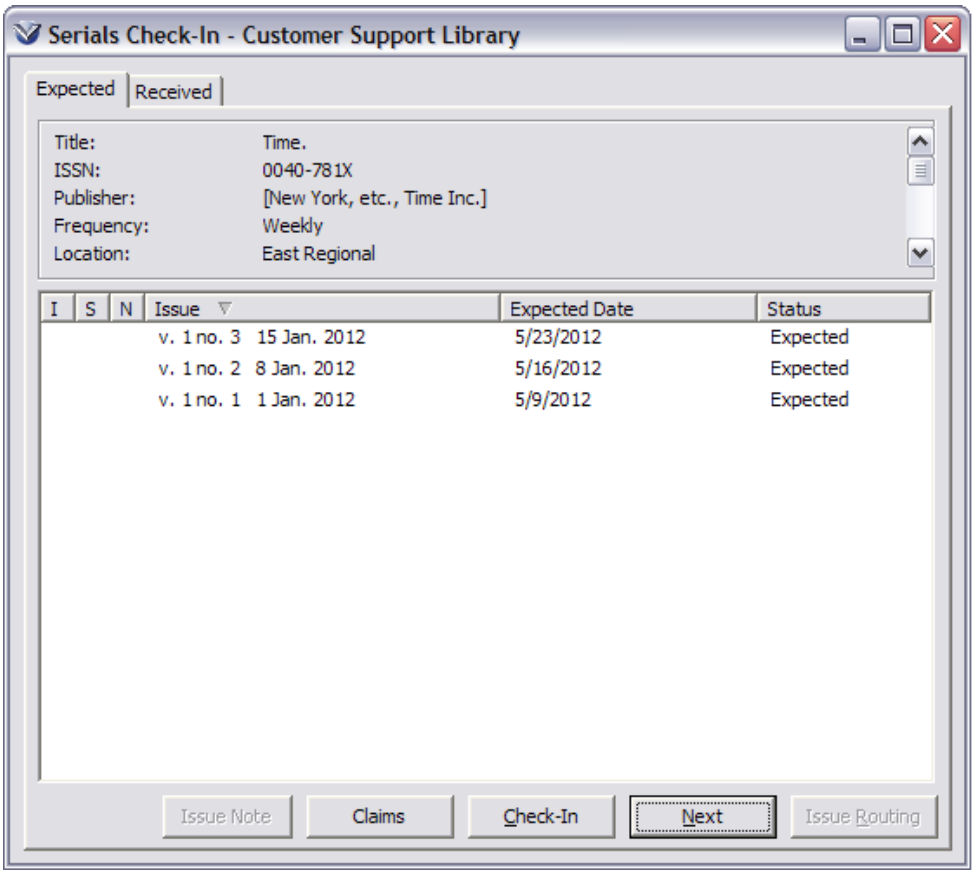
Test the Prediction Pattern

After the first issue has been entered, you can continue predicting the next expected issue until the pattern numbering changes. This allows you to verify that you have the correct numbering, if the right issue prompts the calendar change and so on.

From the **Expected** tab on the **Serials Check-In** window, click the **Next** button. This will create the next issue based on the first expected issue and the pattern in the 853 tag.

Continue to click **Next** until the pattern calendar changes.

- ***If*** the pattern is predicting correctly, the issue records can be left as they are in the **Expected** tab (and checked in as they arrive), or they can be deleted.
- ***If*** the pattern is not predicting correctly, the issues should be deleted and the 853 tag edited to fix the pattern.



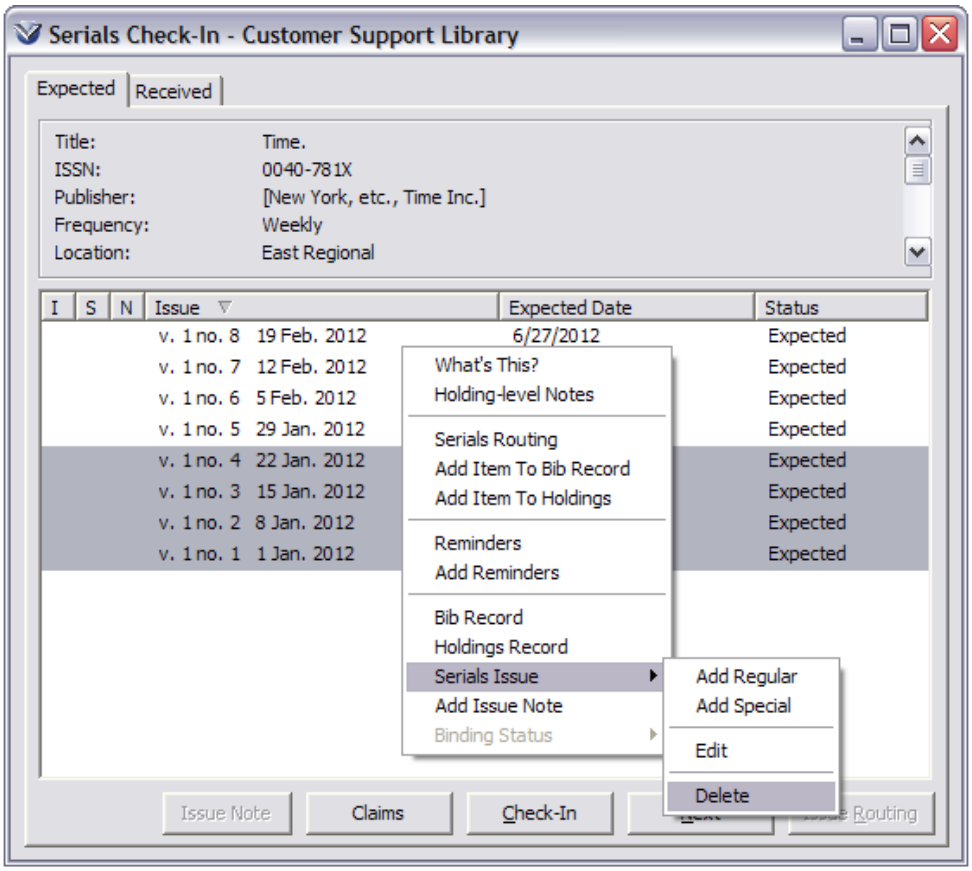
Note: In normal check in, the software will automatically predict the next expected issue.

Delete Expected Issues

From the Serials Check-in **Expected** tab select issue(s) to delete. To multiple select, click and drag or use the shift key.

Right mouse click, the serials pop-up menu will appear

Select **Serials Issue** → **Delete**. The selected issues will be deleted.

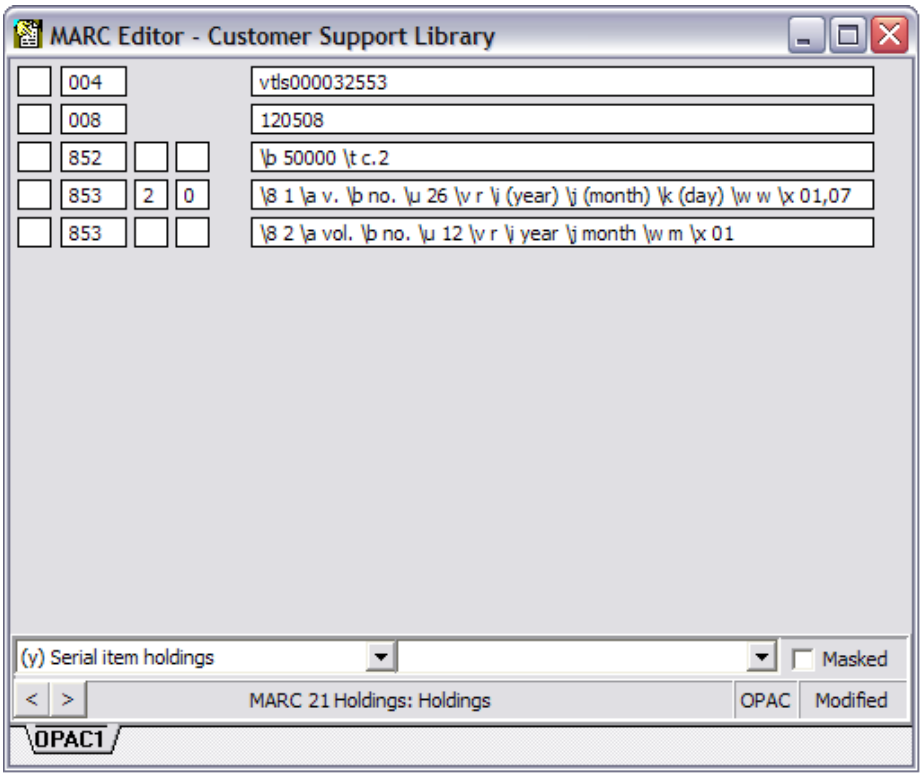


Pattern Changes

The publication pattern for a serial sometimes changes. When this happens, you need to create a new prediction pattern in a second 853 tag.

Delete any outstanding expected issues that were incorrectly predicted with the old pattern.

Right mouse click to add the new 853 tag with a higher link number and the new pattern.



Return to the **Serials Check-In** window. On the **Expected** tab, click the right mouse button.

On the pop-up menu, choose **Serials Issue**.

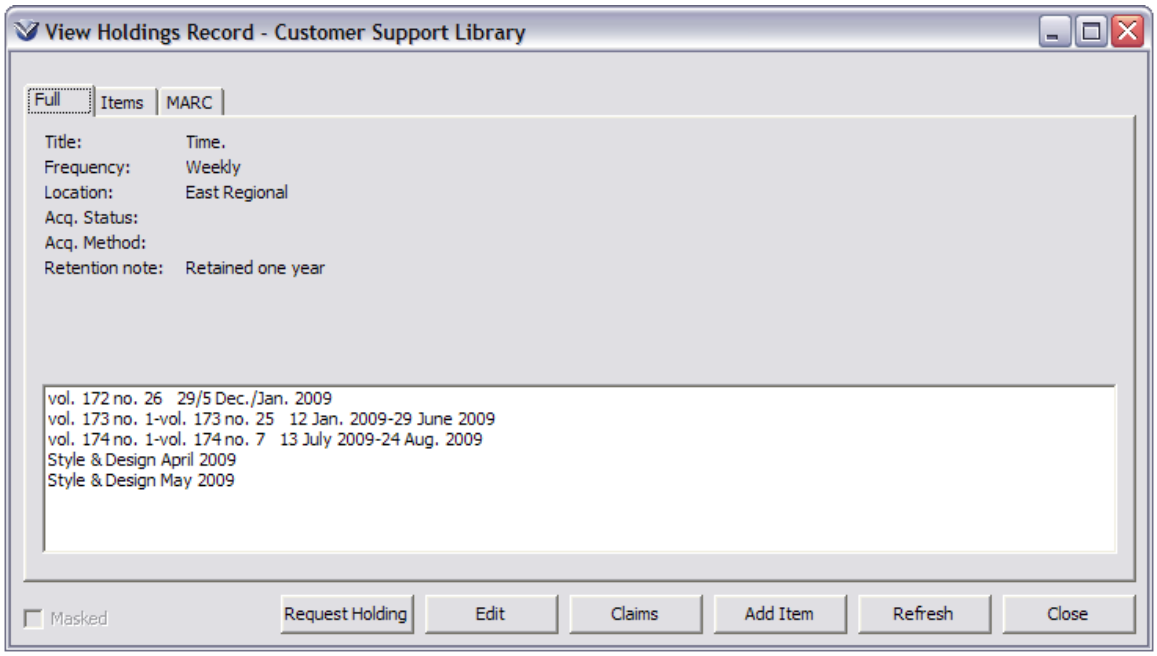
Then choose **Add Regular**. The **Add Regular Expected Issue** window appears.

Accept or modify the default Expected date.

Click the **OK** button. The expected regular issue is created.

Predict additional issues to test the new pattern by clicking the **Next** button.

Once issues are checked in the pattern change will be apparent on the **Full** tab of the **View Holdings Record** window.



Add Holdings Features

Recommended Outline	Explanation
Add Holdings Notes 866 Textual Holdings Special Issues Indexes and Supplements	Libraries may wish to record other information about the Serial Holding that is not suitable for display in the OPAC. This information could be check-in instructions, acquisitions information, general holdings notes, and so on. These notes are keyword searchable by staff with permission. Additionally, there are times when holdings will need to be added for which check-in records are not needed. For example if a one off supplement arrives, or if the library has been given donations there is no point is creating issue records and then checking them in. In this case a single tag holding the "text" of the issue/s can be added. **Summary** • Create holdings notes using the 9xx tags • Create textual holdings notes using the 866 tag • Receive Special Issues • Receive Supplements and Indexes **Key Terms** • Holding Notes • Textual Holdings Record • Supplements • Indexes

Add Holdings Notes

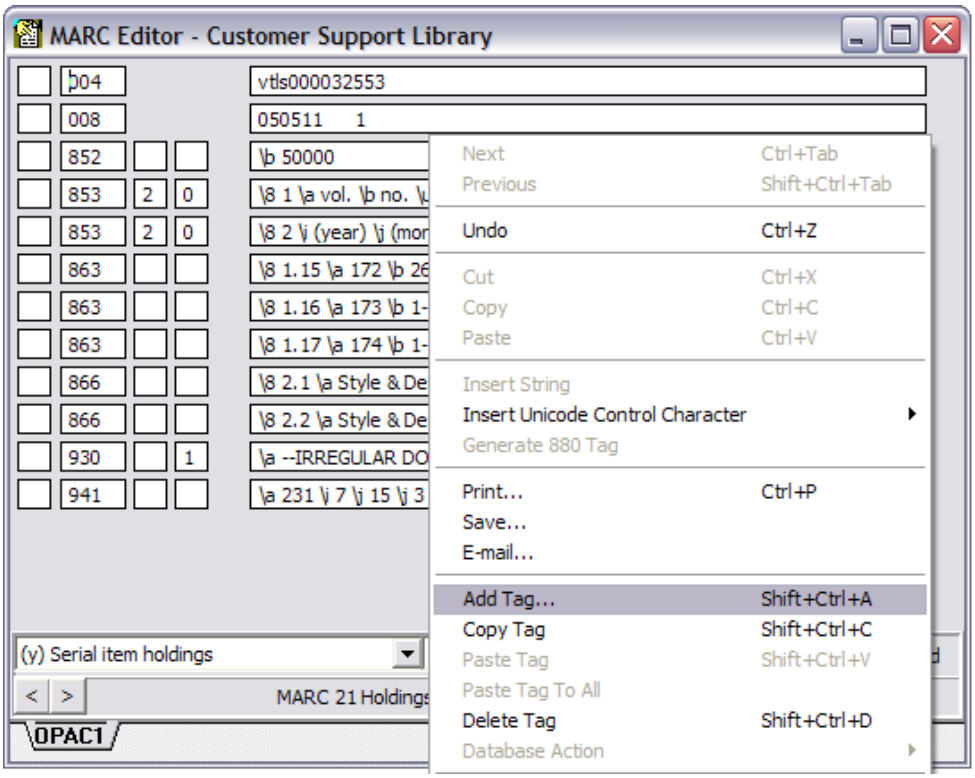
Virtua provides for this information to be held in specific 9XX tags in the Holdings Record. Once the 9XX tags are entered, they will display in a **Holdings** window from the **Holdings View** window. Virtua the 9XX tags in the holdings record as follows:

Holdings tag	**Label**
(90x)	General Holdings Notes
(91x)	Retention Notes
(92x)	Receiving/Handling Notes
(93x)	Check-in Notes
(94x - except 941)	Claiming Notes
(941)	$a Vendor-id $b Vendor Title Number $c P.O. # $d Vendor Name $e Order Date $f Paid Through $g Invoice Number $h Invoice Date $i Claim Interval $j Reclaim Interval $k Max Claims
(95x)	Routing Notes
(96x - except 961)	Binding Notes
(961)	Vendor-id for Binding
(97x)	Cataloguing Notes
(98x)	Acquisitions Notes
(990) (Each line of the label subfield $a.)	Shelving Label

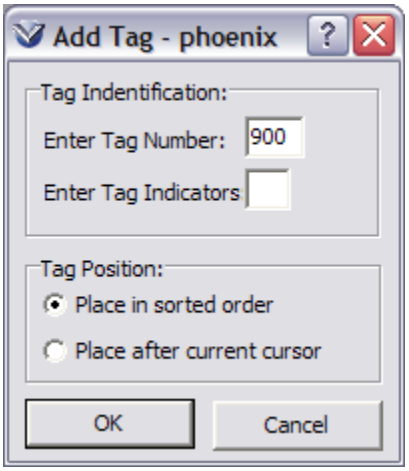
Note: mandatory subfields for claiming are \a \i \j \k

- All notes fields except the 990 are repeatable.
- All notes display on the Notes pop-up window with the labels noted in the table on the next page.

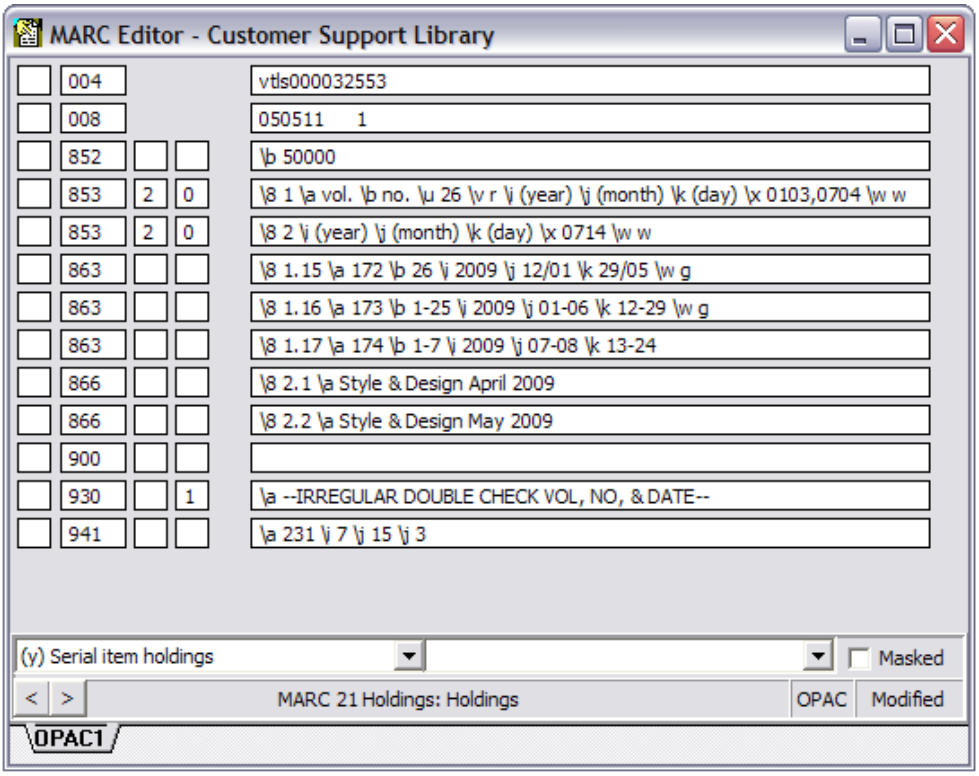
From the **View Holdings Record** window, click **Edit** to bring the holding record into the MARC Editor.



Right mouse click, select **Add Tag**. The **Add Tag** window will appear.

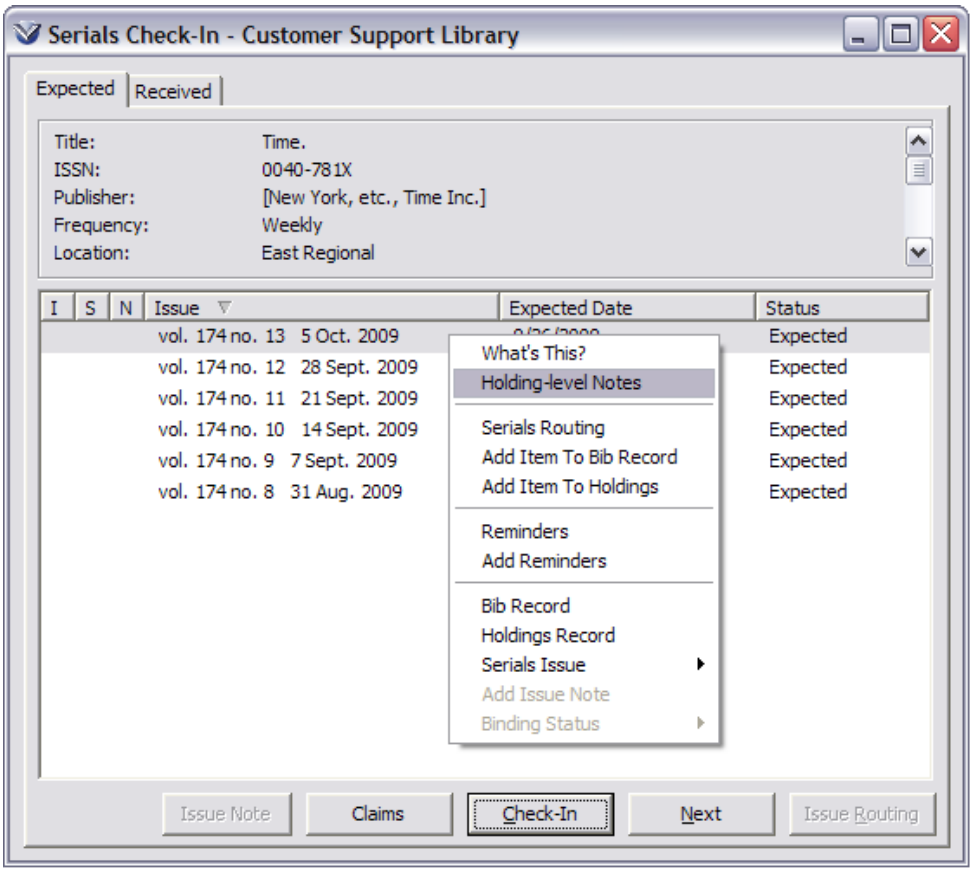


The window above shows a 900 General Holdings Note tag. The tag will appear in the MARC editor in numeric sequence.



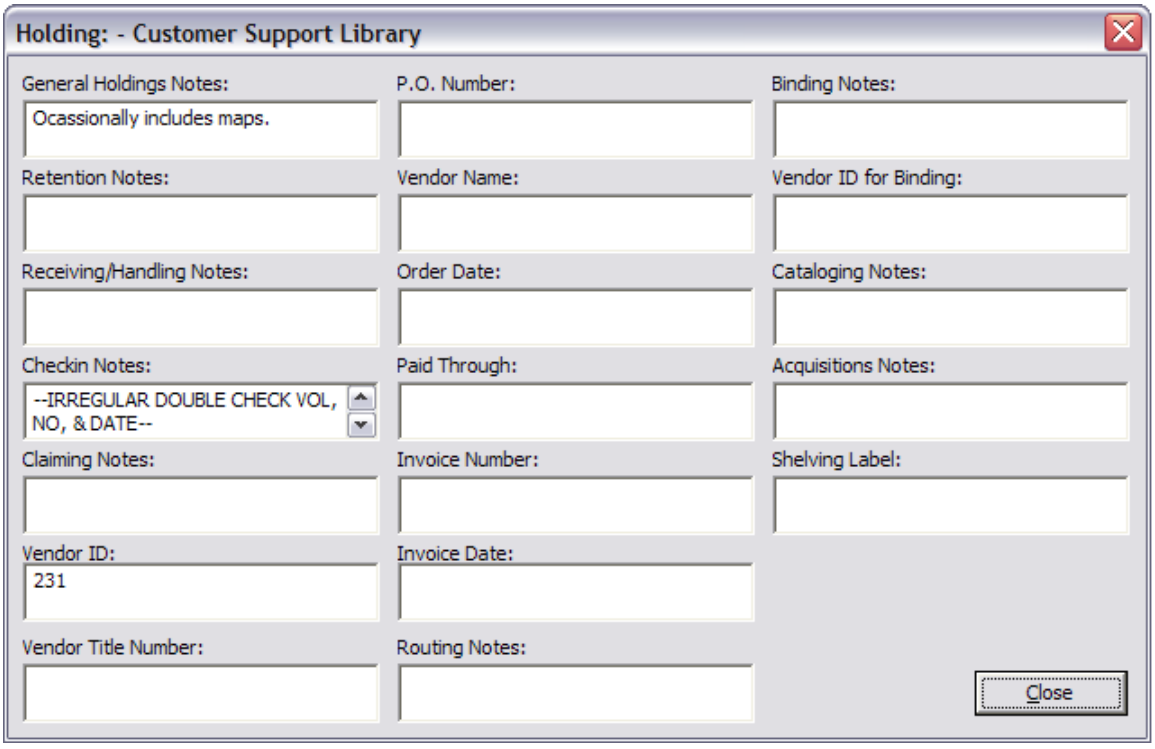
Add other tags as needed and save the record to the database.

To display the Holdings notes right-click on the **Serials Check-In** window, and select **Holding-level Notes** or right-click from the **View Bibliographic Record** window.



The **Holdings Notes** window appears.

Note: A scroll bar will not appear in the text box if multiple notes are present. To see additional notes, click inside the text box and then arrow down from the arrow keys on the keyboard.

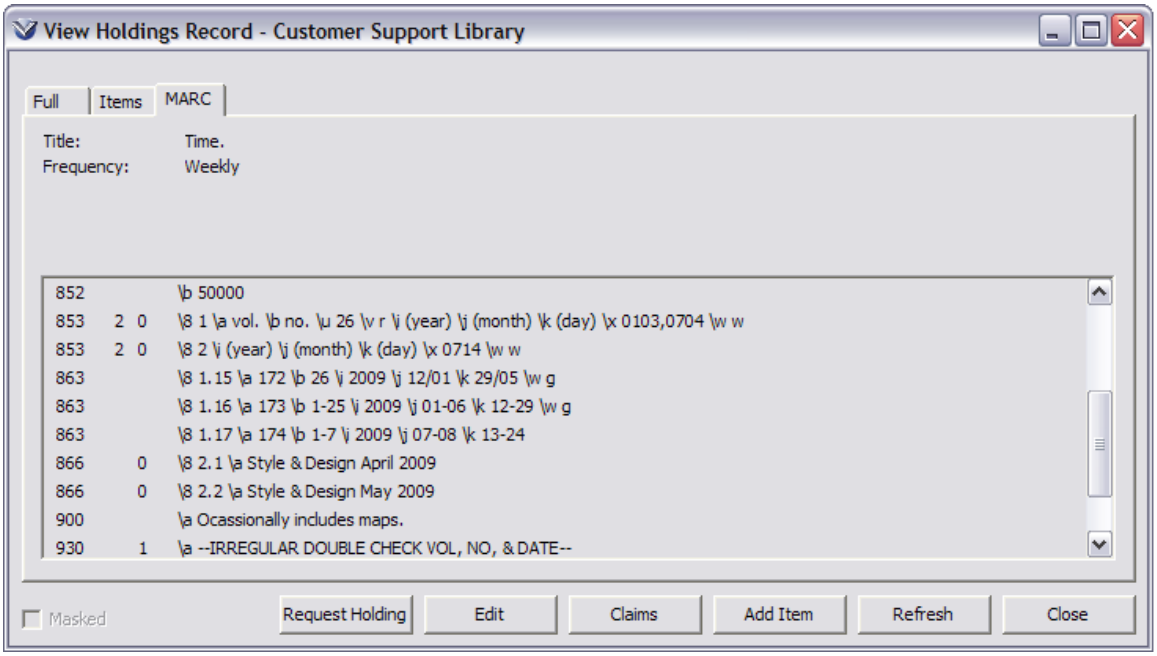


Note: This is a view only window. You must add the notes in the **MARC Editor**.

Add 866 Textual Holdings

There are times when holdings will need to be added for which check-in records are not needed. For example if a one off supplement arrives, or if the library has been given donations there is no point is creating issue records and then checking them in. In this case a single tag holding the "text" of the issue/s can be added.

The tag that holds this information is the 866 Textual Holdings Tag. It is entered directly into the MARC record.



Note: If the 866 tag is created without a linking subfield \8, it will display at the top of the list of 863 tags. By using the \8 link the display can be ordered to "pair" with a particular 863 tag or forced to the bottom of the display.

Subfields

\8 Linking control number (SCN) [NR]

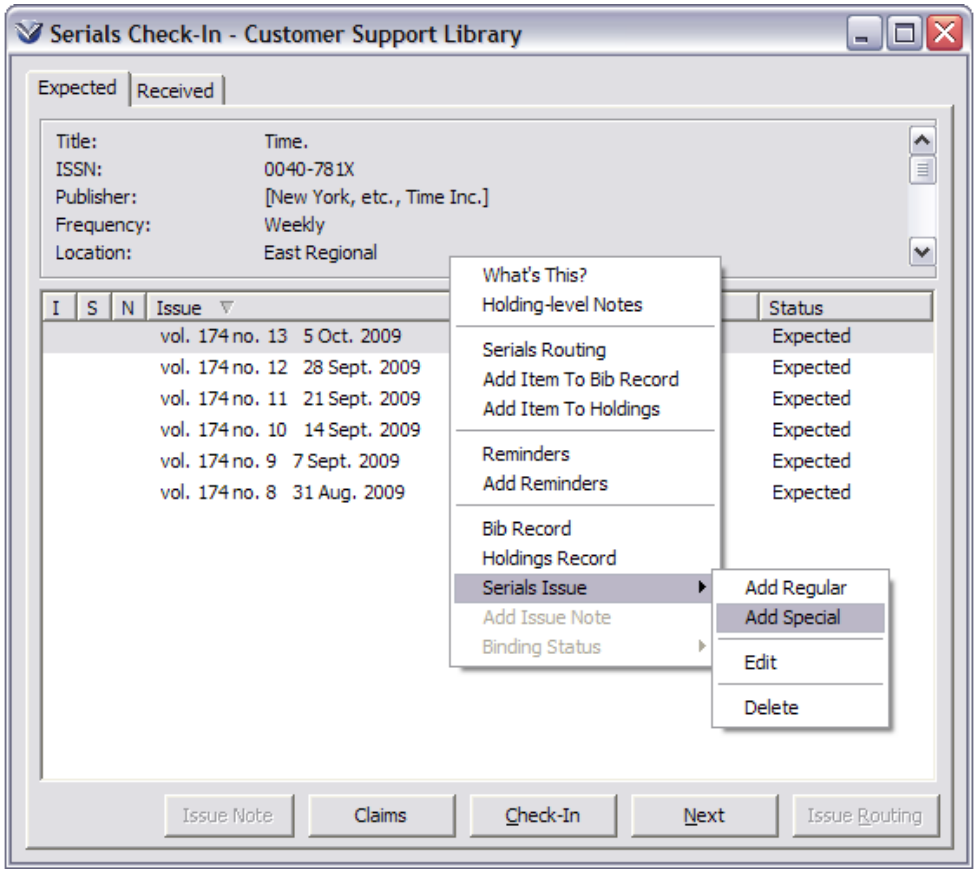
\a Textual string [NR] - repeatable in MARC standard

\x Non-public note [NR] - repeatable in MARC standard

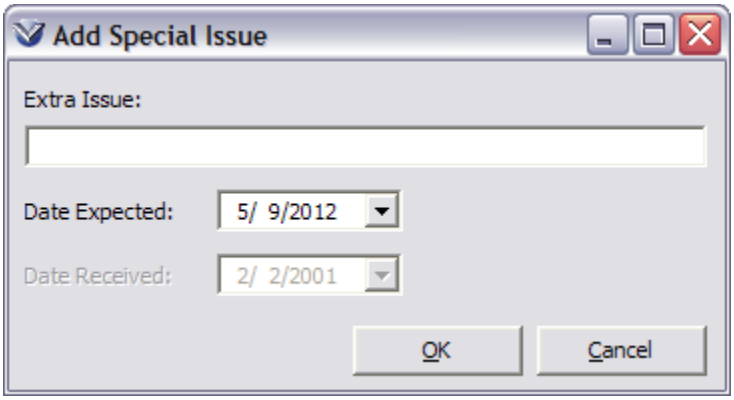
\z Public note, displays on **HOLDINGS** window [NR] - repeatable in MARC standard

Add Special Issues

From the **Serials Check-In** window, right mouse click, then select **Serials Issue → Add Special.**

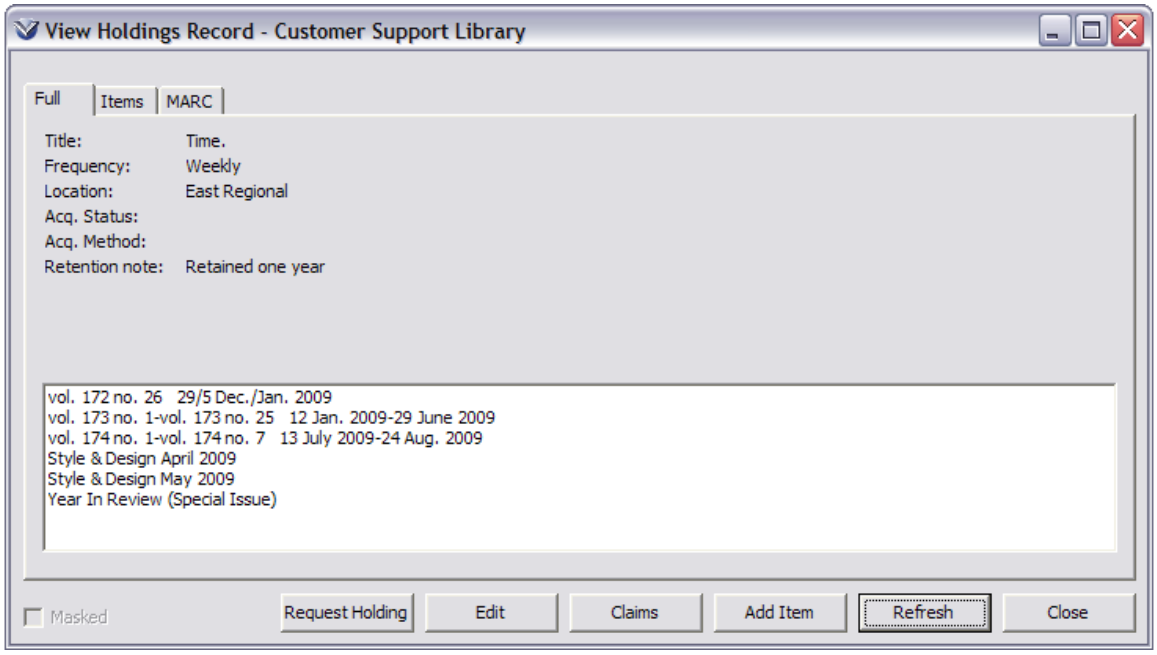


In the **Add Special Issue** dialog box, type a description of the issue (up to 50 characters), then click **OK**.



The special issue will appear on the Expected tab of the **Serials Check-In** window. Highlight it and click the **Check-In** button to move it to the **Received** tab. This will create an 866 tag in the holdings record.

Click the **Refresh** button on the **View Holdings Record** window to see the *Special Issue* in the holdings record.



Add Supplements and Indexes

Virtua does not support prediction on the 854 tag (Caption and Patterns – Supplementary Material) or the 855 tag (Captions and Patterns – Indexes). In order to generate a display of supplementary material, a separate holdings record may be created using the 854 tag linked by a \8 to an 864 tag (enumeration and chronology – Supplementary Material) but as prediction is not possible, it is suggested that the user input supplementary information in the 864 tag or the 867 tag (See *Serials Coding Training Guide* for further details) to generate a display for supplements or the 865 tag or 868 tag for indexes.

It is not necessary to enter an 854 tag in conjunction with the 864 tag, since there is no prediction, nor is it necessary to use a \8 linking tag as supplements will appear below the Supplements label in the full view (public display) of the holdings record. The Supplements and Indexes labels appear by default in this view.

864 and 865 Tags

Edit the **MARC Holdings** record and add an 864 tag for supplements or an 865 tag for indexes.

Example:

853			\8 8 \a vol. \b no. \u 12 \w r \i (year) \j (month) \w m \x 01
853			\8 9 \a vol. \b no. \u 6 \w r \i (year) \j (month) \w b \x 01
863			\8 8.1 \a 10 \b 1-12 \i 2000 \j 01-12
863			\8 9.1 \a 11 \b 1-6 \i 2001 \j 01-11
864			\a vol. 10 \b suppl. 1 \i 2000

866 Tag

To record information in regard to bibliographic units, an 866 tag may be used to generate the proper display and linkage.

Edit the **MARC Holdings** record and add an 866 tag.

Example: a BOUND note was added that is linked to the first 853 generated.

853			\8 8 \a vol. \b no. \u 12 \w r \i (year) \j (month) \w m \x 01
853			\8 9 \a vol. \b no. \u 6 \w r \i (year) \j (month) \w b \x 01
863			\8 8.1 \a 10 \b 1-12 \i 2000 \j 01-12
863			\8 9.1 \a 11 \b 1-6 \i 2001 \j 01-11
864			\a vol. 10 \b suppl. 1 \i 2000
866			\8 8.1 \a BOUND

Full View Display

vol. 10 no. 1-12 Jan.-Dec. 2000
BOUND
vol. 11 no. 1-6 Jan.-Nov. 2001

Supplements:
vol. 10 suppl. 1 2000

To Add an Index Note

853			\8 8 \a vol. \b no. \u 12 \w r \i (year) \j (month) \w m \x 01
853			\8 9 \a vol. \b no. \u 6 \w r \i (year) \j (month) \w b \x 01
863			\8 8.1 \a 10 \b 1-12 \i 2000 \j 01-12
863			\8 9.1 \a 11 \b 1-6 \i 2001 \j 01-11
864			\a vol. 10 \b suppl. 1 \i 2000
866			\8 8.1 \a BOUND
868			\a Index vol. 11 2001

Relinking Holdings Records

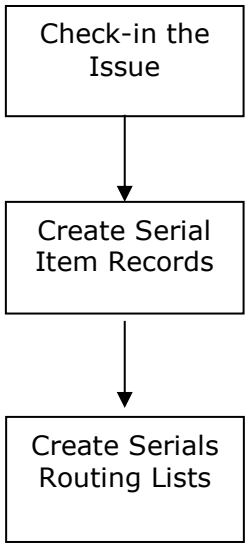
You can relink holdings records by selecting an option from a pop-up menu, available from the **Holdings** tab of the **View Bibliographic Record** window: Hold Holding(s) for Relink, Relink Holding(s), and Release Holding(s). These options allow you to link holdings records that are attached to a bibliographic record to a new parent bibliographic record.

- **Hold Holding(s) for Relink** - Lets you save to the internal clipboard selected holdings from one record in order to relink them to another bibliographic record. This command is available *only* on the Holdings tab and is enabled *only* if one or more holdings are highlighted in the holdings list box.

- **Relink Holding(s)** - Relinks holdings saved from one record to the bibliographic record displayed on the View Bibliographic Record window. This command is available on any tab but is enabled *only* if one or more holdings have been held.

- **Release Holding(s)** - Clears from the internal clipboard holdings that have been held for relink. This option is enabled *only* if one or more holdings have been held using the Hold Holding(s) for Relink command

Serials Check-In, Circulation, and Routing

Recommended Workflow	Explanation
	Virtua provides a user-friendly interface for checking in serials. In this lesson we will cover how to get to the **Check-In** window, creating item records for circulating serials, and creating routing lists. **Summary** • Access the **Serials Check-in** window from the **View Record** window • Access the serials check-in window from the ISSN Serials search in the OPAC • Checkin an issue • Create Serials Item records • Create a Serials Routing list **Key Terms** • Holdings-level Routing List • ISSN • Issue-Specific Routing List • Item • Item Record • Received Issue • Routing List • SICI Barcodes • SICI Check-in

Open the Serials Record in the Check-In Window

Open a Serials Record: ISSN Search

Click the **F10** button or click on the **Browse Search** icon, select the **Control Number** tab, and then chose **ISSN** from the dropdown menu.

Enter the ISSN number of the serial and click the **Search** button.

- ***If*** there are multiple holdings records, the serial record will appear in the **View Record** window.
- ***If*** there is only one holdings record, the serials check-in window will appear.

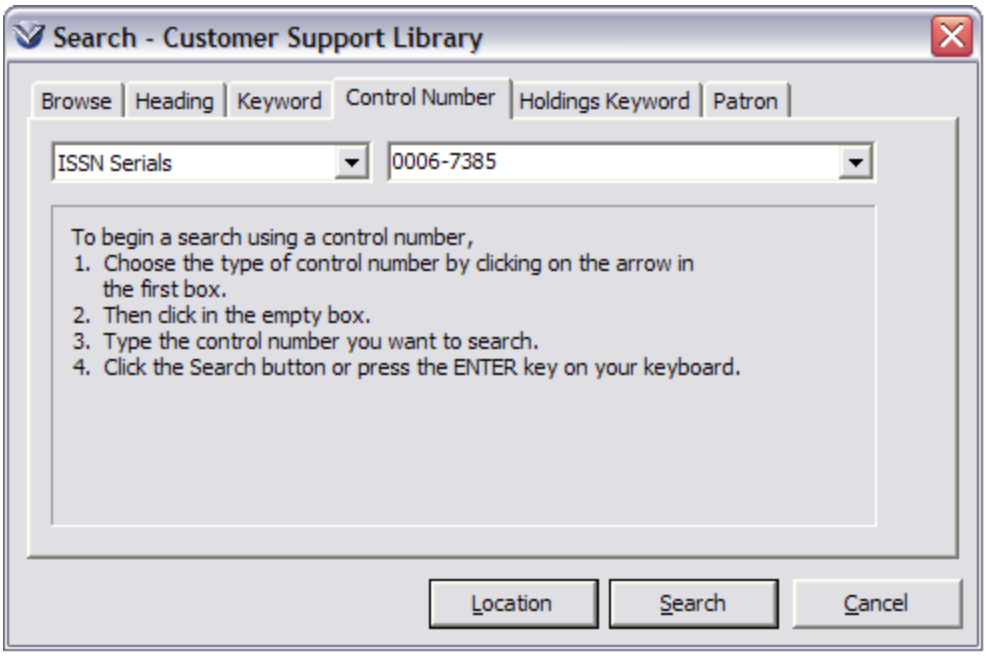
At the **View Record** window, click on the **Holdings** tab.

Double click on one of the serials holdings records, the record will appear in the **View Holdings Record** window.

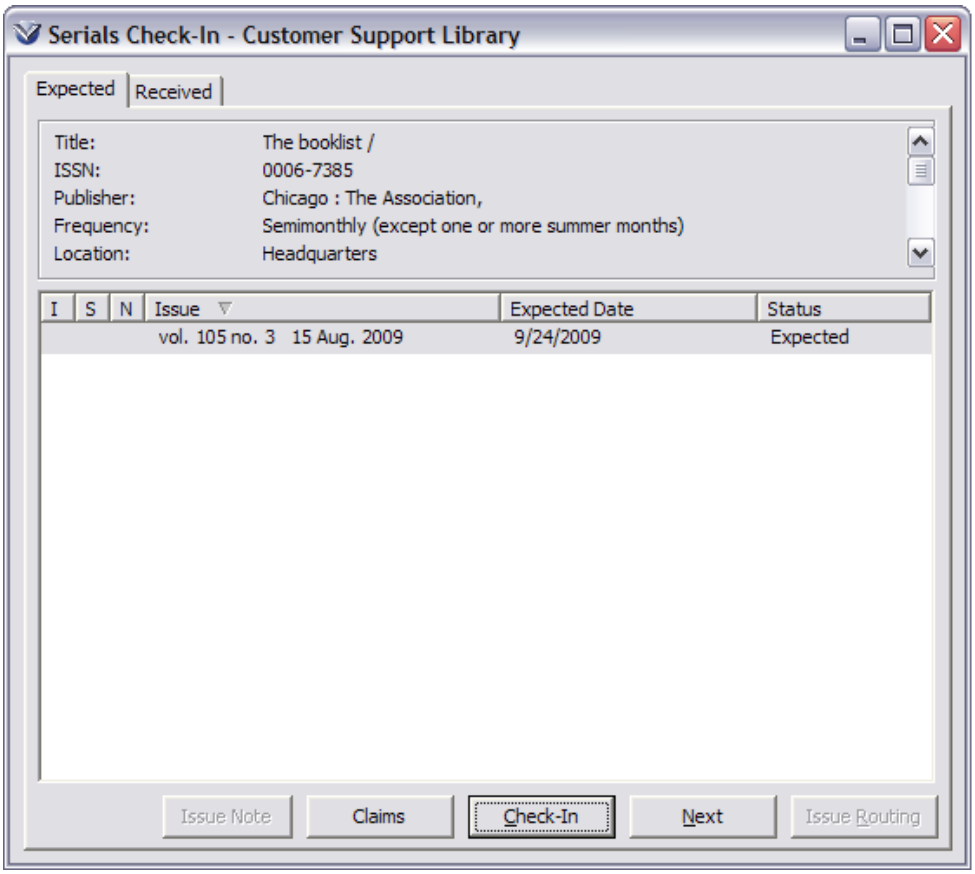
Right mouse click and select **Serials Check-in** to open the **Serials Check-in** window.

Open a Serials Record: ISSN Serials Search

Click the **Browse Search** icon and select the **Control Number** tab, and the chose **ISSN Serials** from the drop-down menu or press the **F10** key.

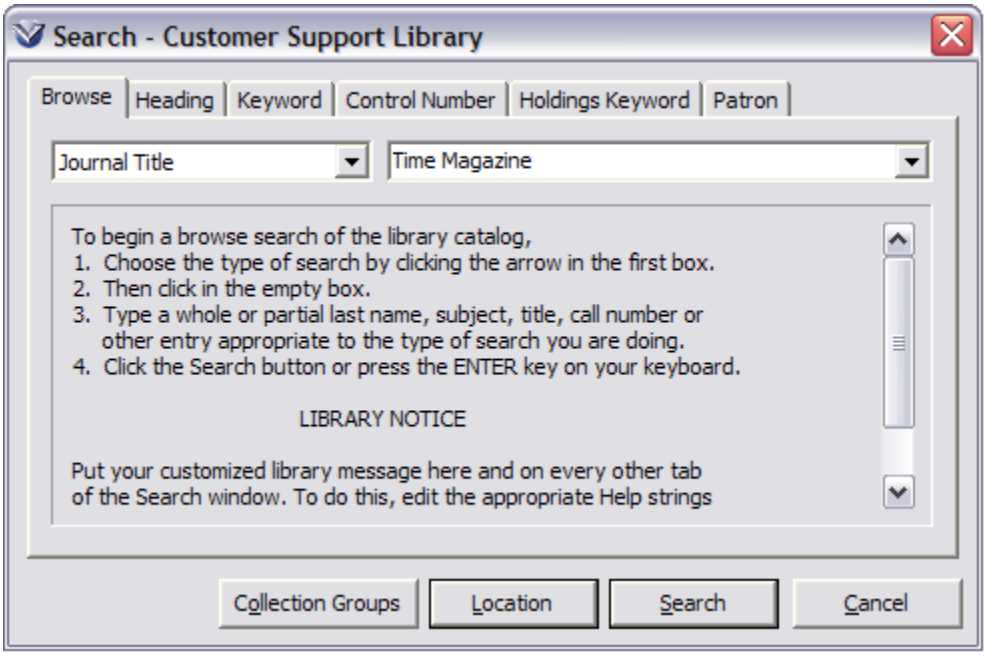


Click **Search**. The **Serials Check-in** window for the first holdings record associated with that ISSN will open. You can right mouse click to go to the holdings record to verify it is the correct one.

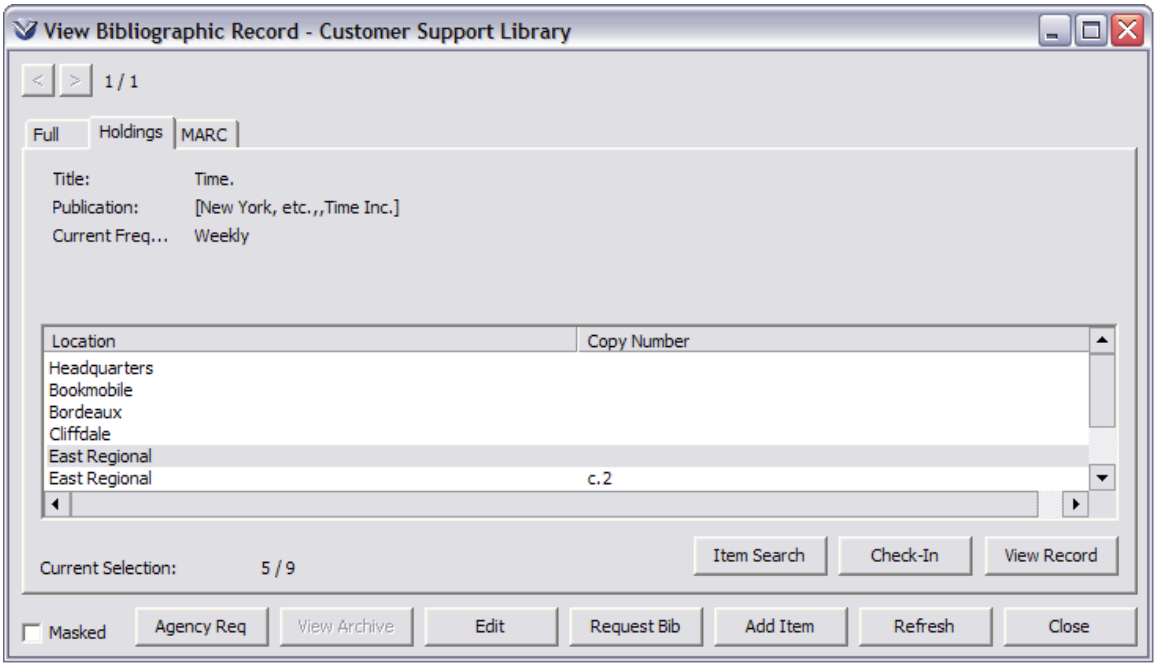


Open a Serials Record: Journal Title Search

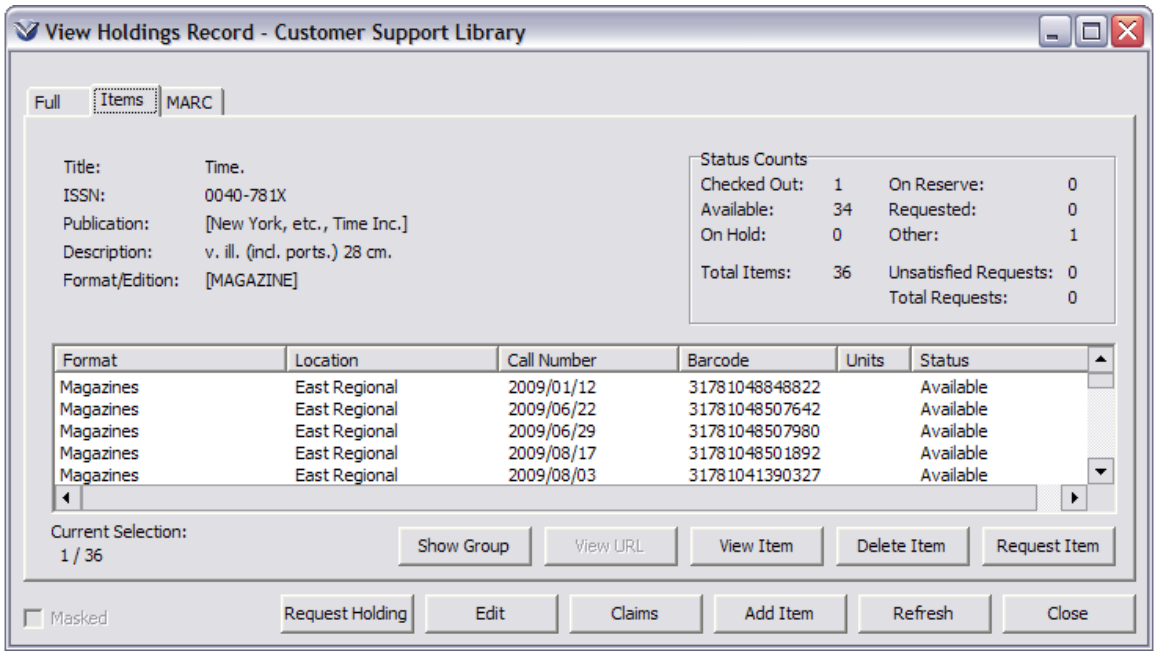
Click the **Browse Search** icon and select **Journal Title** from the dropdown menu.



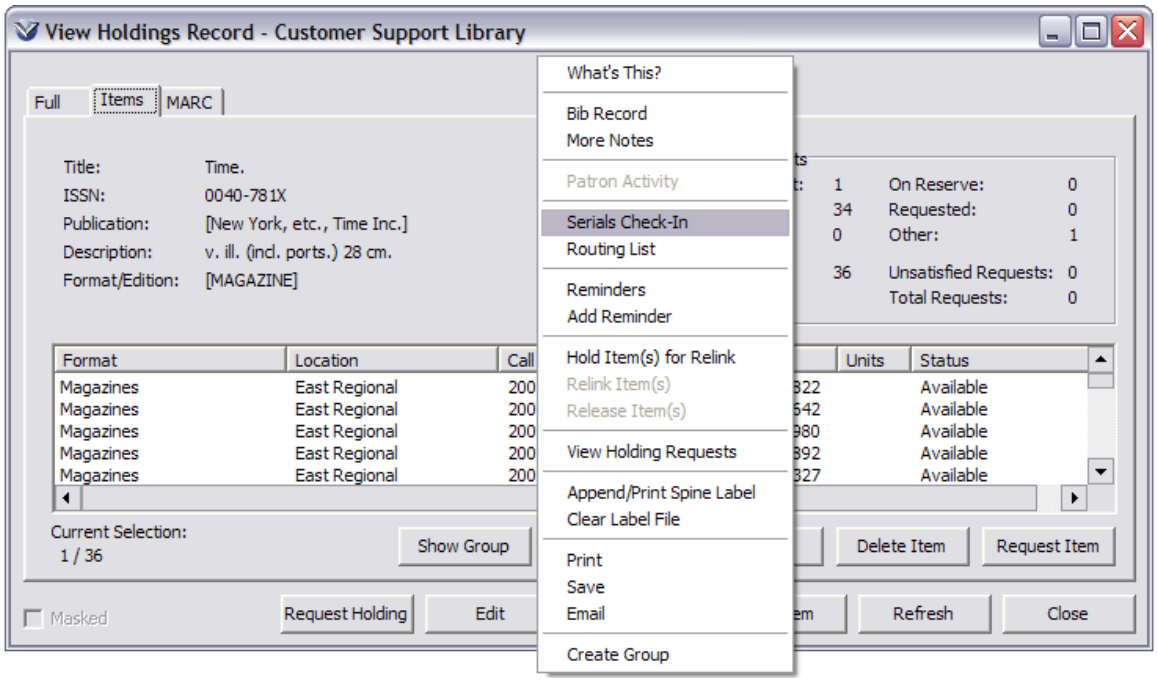
At the **View Bibliographic Record** window, click on the **Holdings** tab.

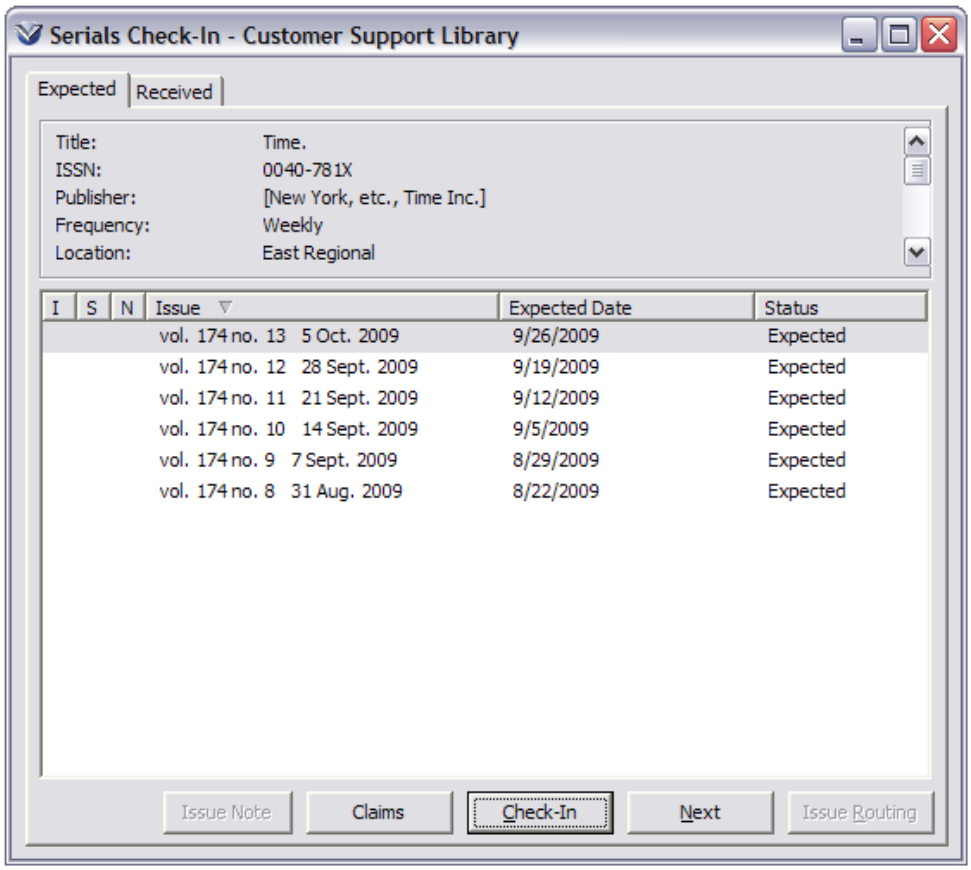


Double click on one of the serials holdings records, the record will appear in the **View Holdings Record** window.



Right mouse click and select **Serials Check-In** to open the **Serials Check-In** window.

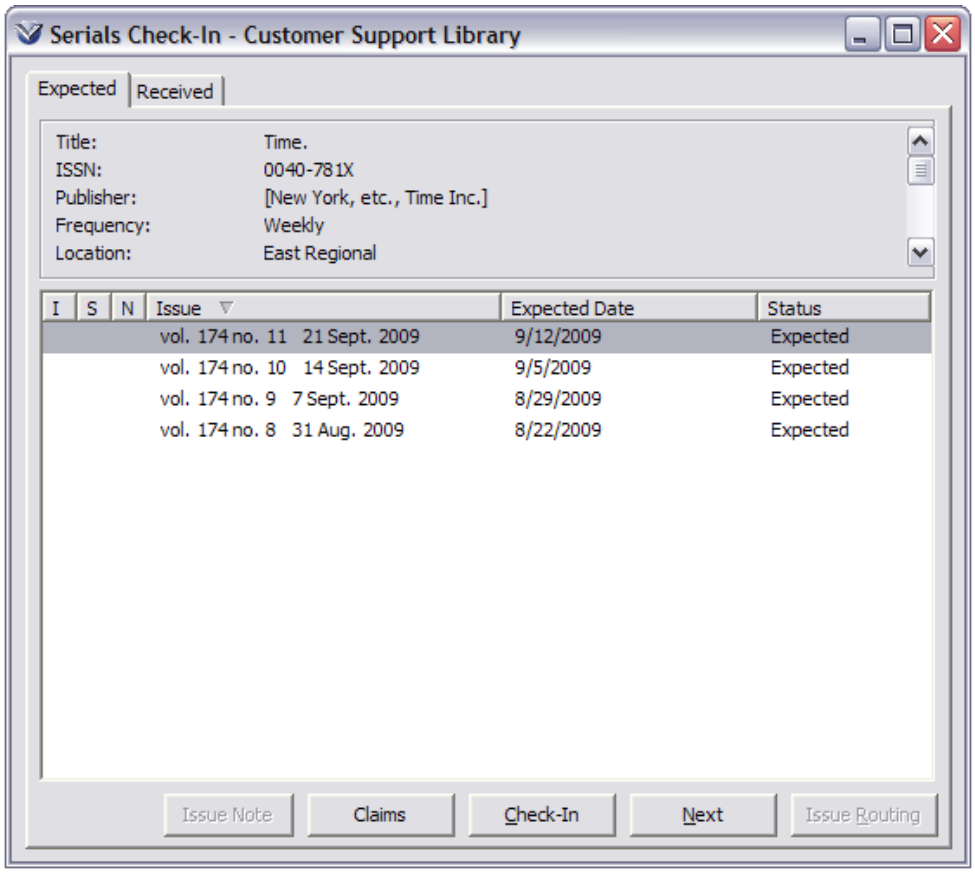



Serials Check-In - Customer Support Library
Expected
Received
Title: Time.
ISSN: 0040-781X
Publisher: [New York, etc., Time Inc.]
Frequency: Weekly
Location: East Regional
I
S
N
Issue
Expected Date
Status
vol. 174 no. 13 5 Oct. 2009 9/26/2009 Expected
vol. 174 no. 12 28 Sept. 2009 9/19/2009 Expected
vol. 174 no. 11 21 Sept. 2009 9/12/2009 Expected
vol. 174 no. 10 14 Sept. 2009 9/5/2009 Expected
vol. 174 no. 9 7 Sept. 2009 8/29/2009 Expected
vol. 174 no. 8 31 Aug. 2009 8/22/2009 Expected
Issue Note
Claims
Check-In
Next
Issue Routing

Check-In the Issue

Check-in Without SICI Barcodes

From the **Serials Check-In Expected** tab select the issue(s) to check in. Use the Control or Shift keys to select multiple issues.

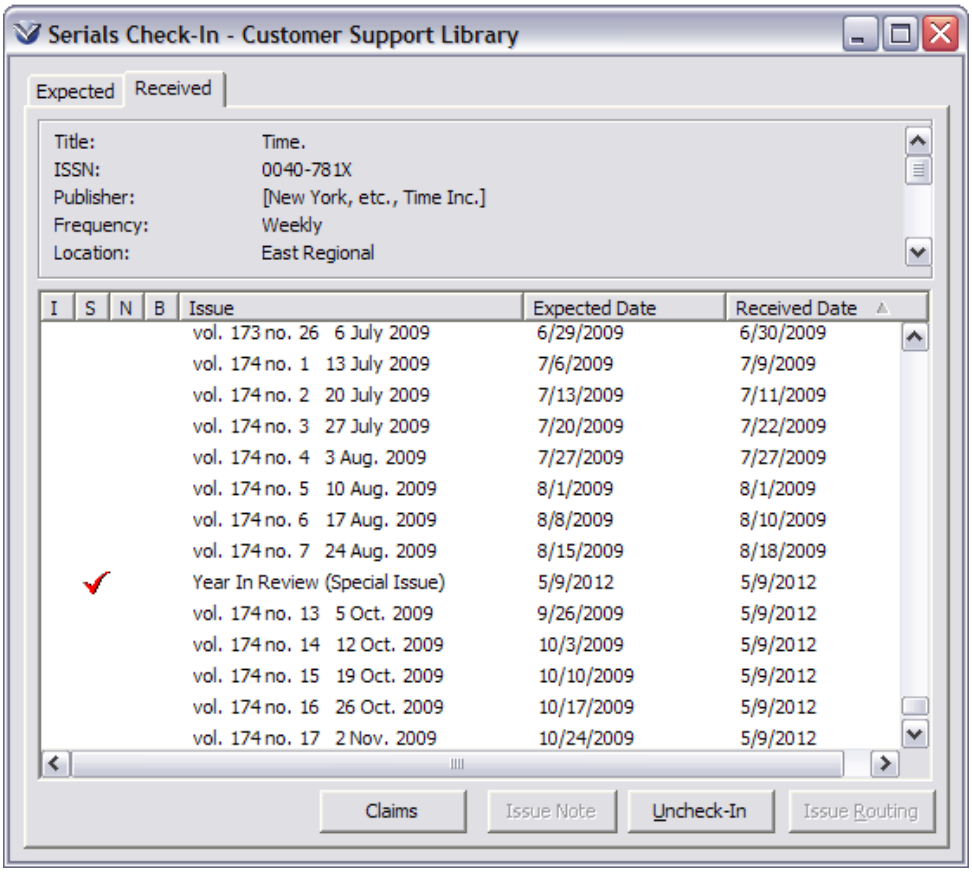


Click the **Check-In** button. A number of things happen while you remain on the **Expected** tab:

- The Check-in process changes the status of the issue record from Expected to Received.
- The issue disappears from the **Expected Issue** list box and appears in the Received Issue list box on the **Received** tab
- The issue below the one just checked in is now highlighted.

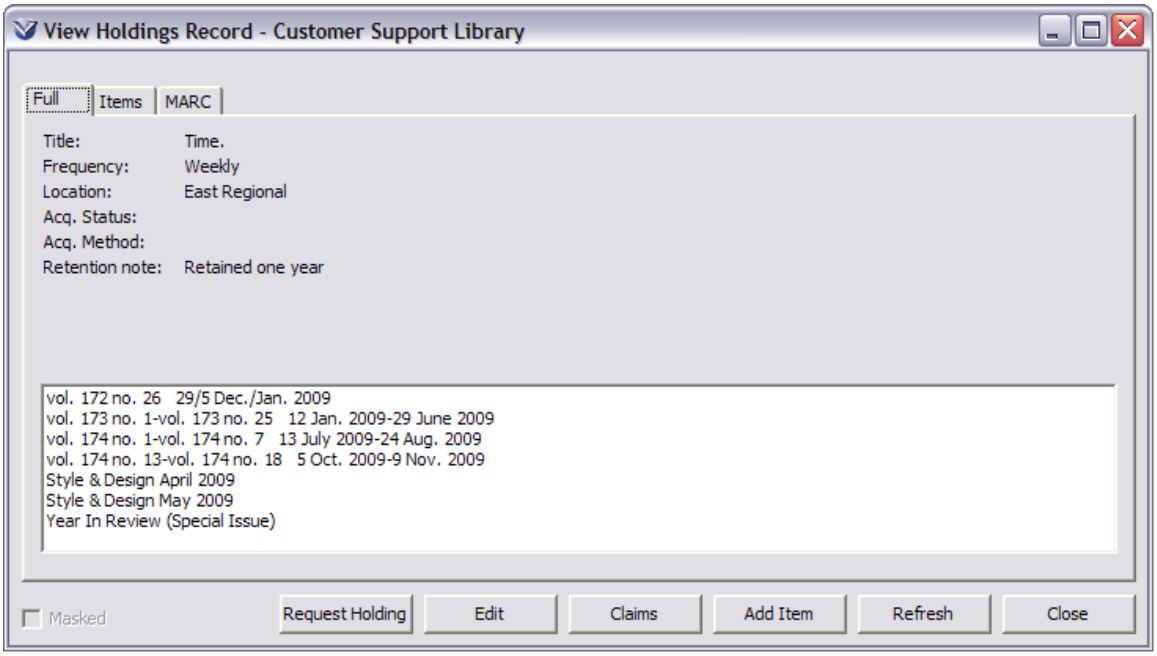
If the user does not have permission to check-in for this location, a Patron Authentication window appears. If the user has override permissions, they can override this block.

Click the **Received** tab, a list of all issues that have been received will display in expected date order. A number of things happened when the issue moved from **Expected** to **Received**.



- The status of the issue becomes **Received**.
- The 863 tag is created/updated.
- The software adds the system date as the Received date for the issue.
- The operator ID of the person doing the check-in is added to the issue record.
- Any Reminders for the issue are deleted.

Note: When an issue appears on the **Received** tab of the **Serial Check-In** window, the system sets the status to *Received*. You cannot add received issues directly on the **Received** tab.

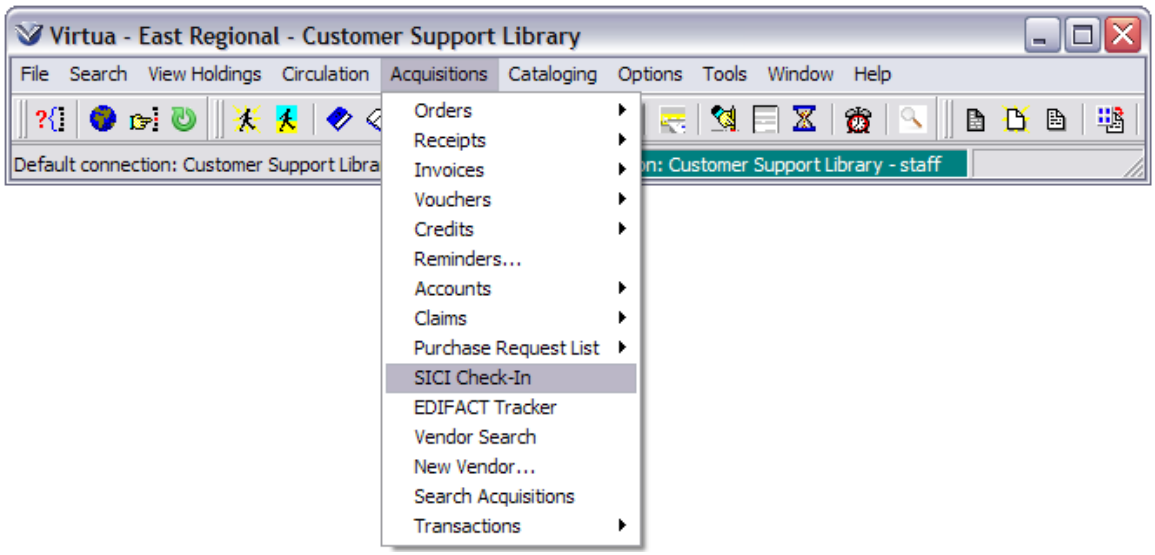


Note: Check-in automatically updates the OPAC Holdings View to reflect that new issues have been received and checked in.

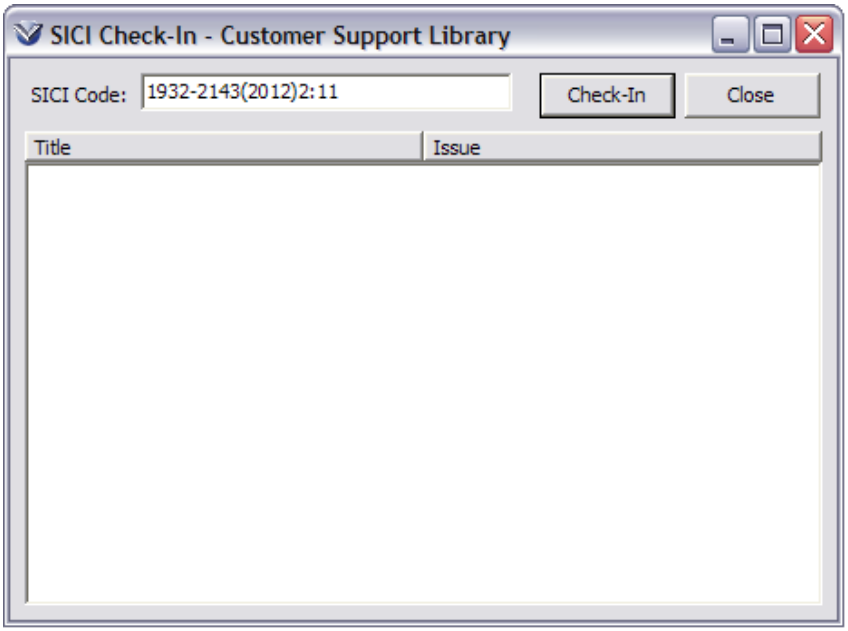
Check-In With SICI Barcodes

SICI (Serial Item and Contribution Identifier) barcodes are barcodes that are printed on the journal cover which contain issue specific information. Virtua supports the use of these barcodes to check-in serials. For more information on SICI barcodes go to www.bisg.org/sici.htm.

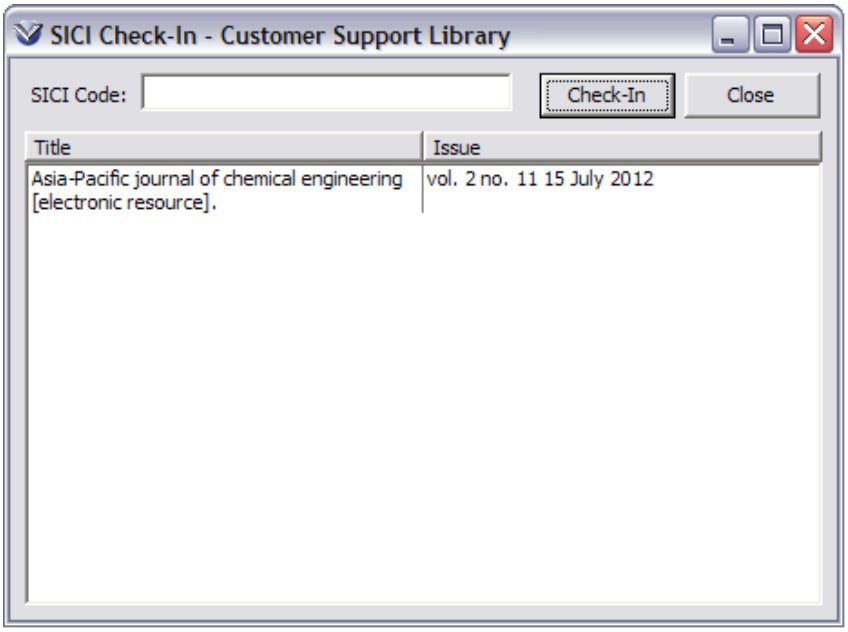
Select **SICI Check-In** from **Acquisitions** pull-down menu.



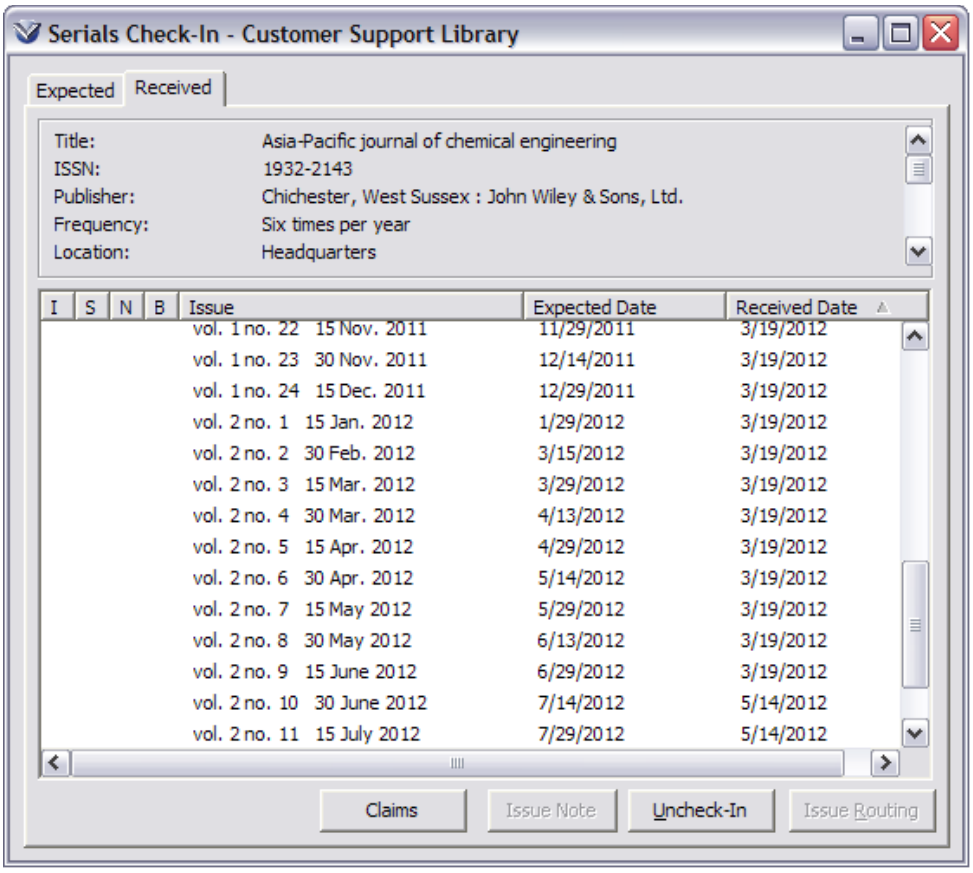
Enter the SICI barcode from journal issue.



Enter additional SICI Codes.



Click **Check-In**. Issues will appear on the **Received** tab of the **Check-in** window.



Create Serial Item Records

Not all libraries circulate their serial issues. For those libraries that do circulate serial issues, Virtua allows for the creation of item records associated with those issues. Items can be attached directly to the **bibliographic** record or items can be attached to an associated **holdings** record.

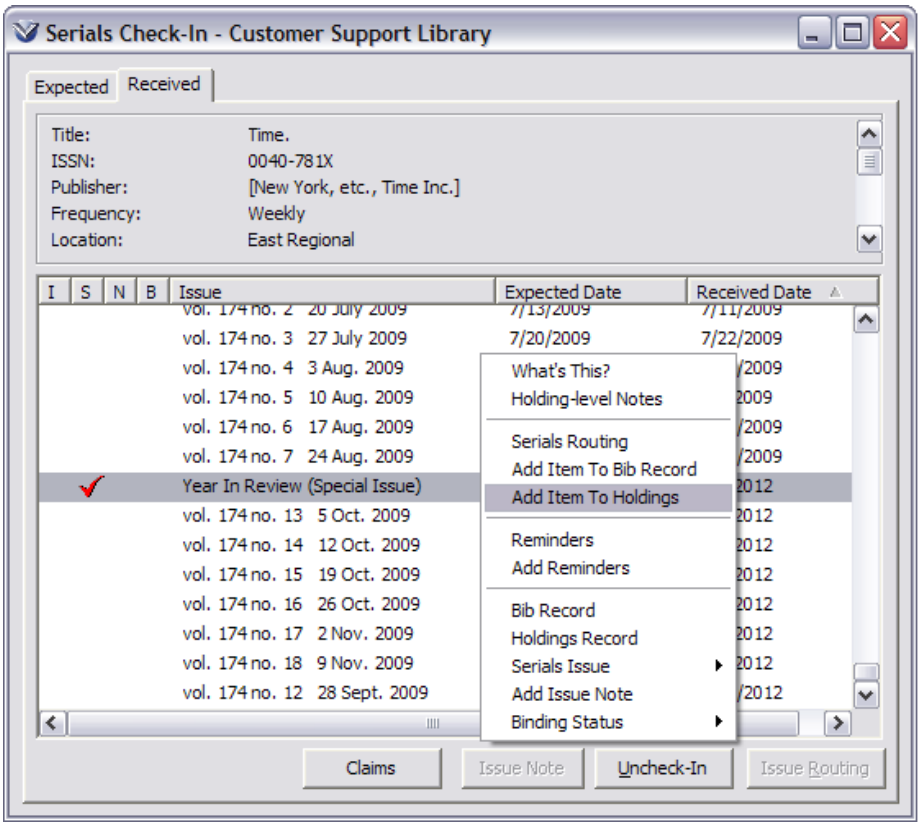
- All items associated with the ***bibliographic*** record display in the **Items** tab of the **View Bibliographic Record** window.
- All items associated with a specific ***holdings*** record display on the **Items** tab of the **View Holdings Record** window.

From the **Holdings Record** window click the **Check-in** button to display the **Check-in** window.

Highlight the desired serial issue on either the **Expected** or **Received** tab.

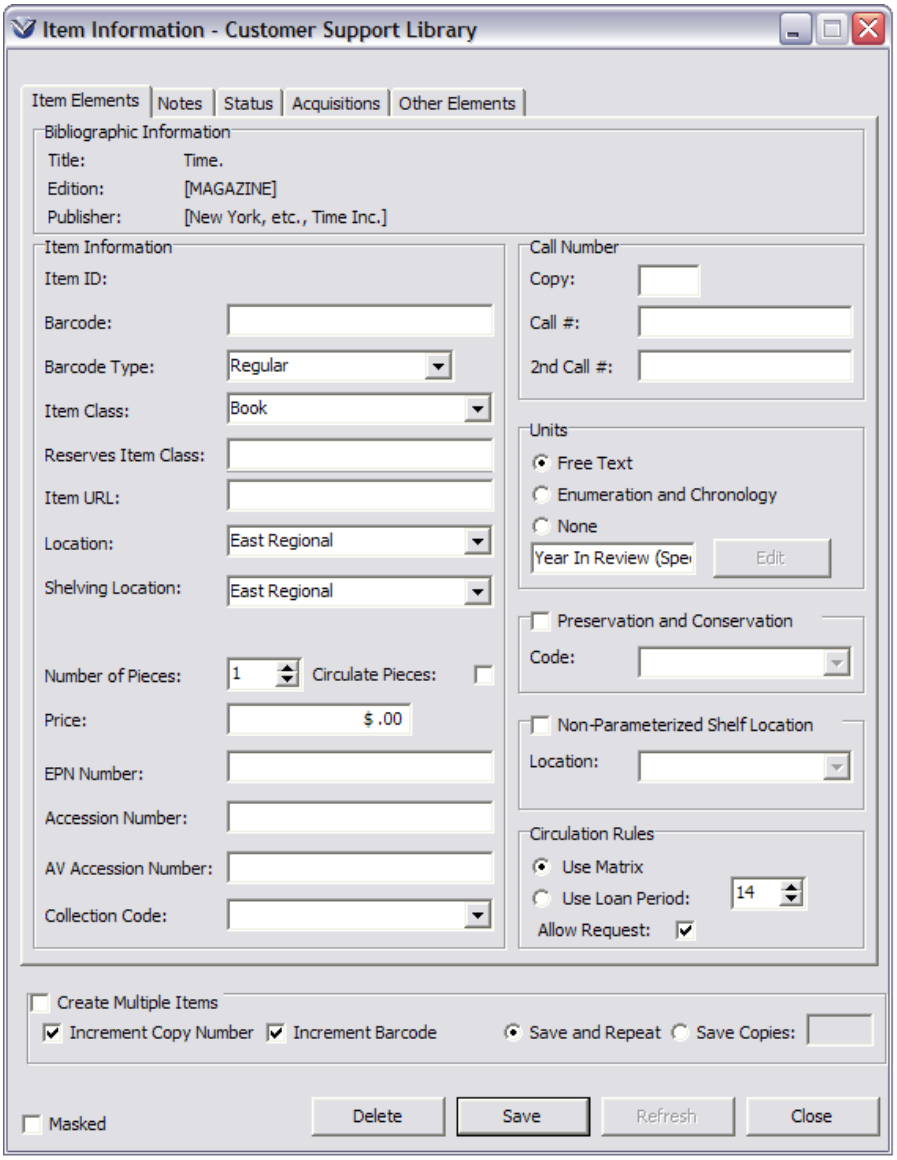
Note: If you select an issue that already has an item (indicated by an i at the beginning of the line item), the **Item Information** window appears. You can view the item information or click the **Edit Item** button to edit the item record.

Click the right mouse button. The pop-up menu appears.



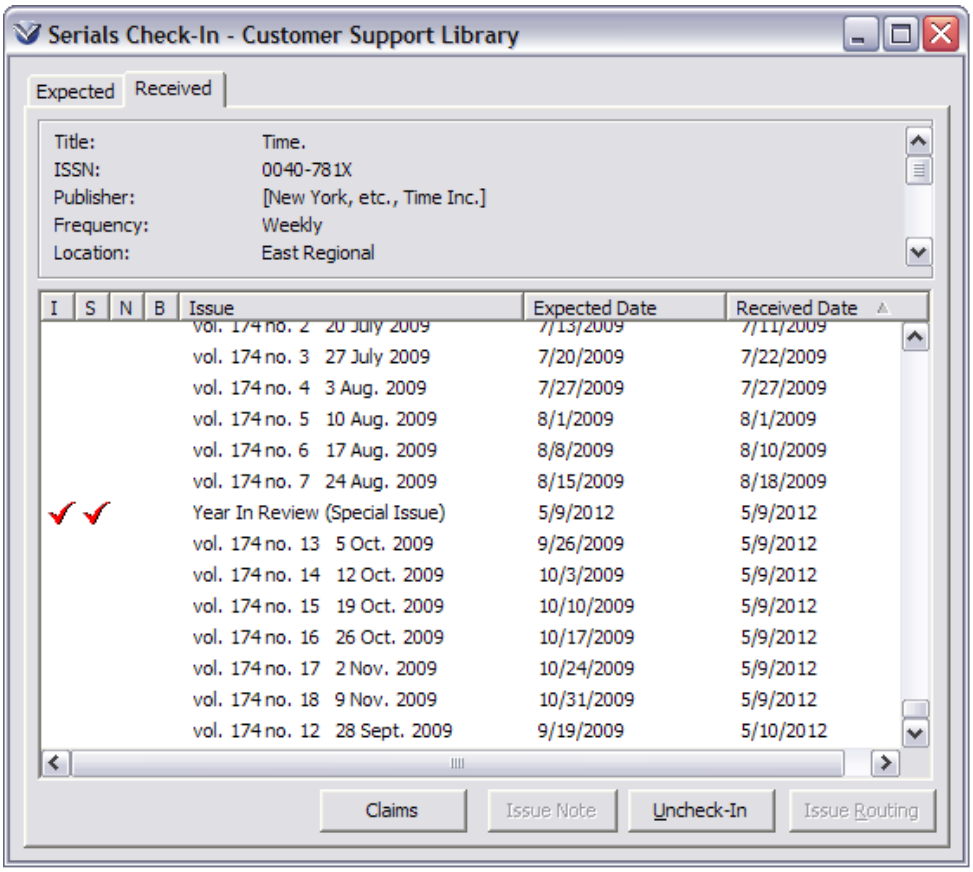
Select **Add Item to Holdings**. The **Item Editor** window appears displaying all the default data for the item you want to create.

Add additional information to the item record as desired. For example, enter the barcode that applies to the issue.



Click the **Save** button to save the item record. The item record will be associated with the Expected or Received issue.

Note: The Units value is automatically populated from the enumeration and chronology information on the **Serials Check-in** window.



Note: When an item record is created automatically or manually directly from a serial issue record, the item number is stored as part of the issue record. As an indication of this, a check mark displays in the "I" column beside the issue in the list box on the **Serials Check-in** window.

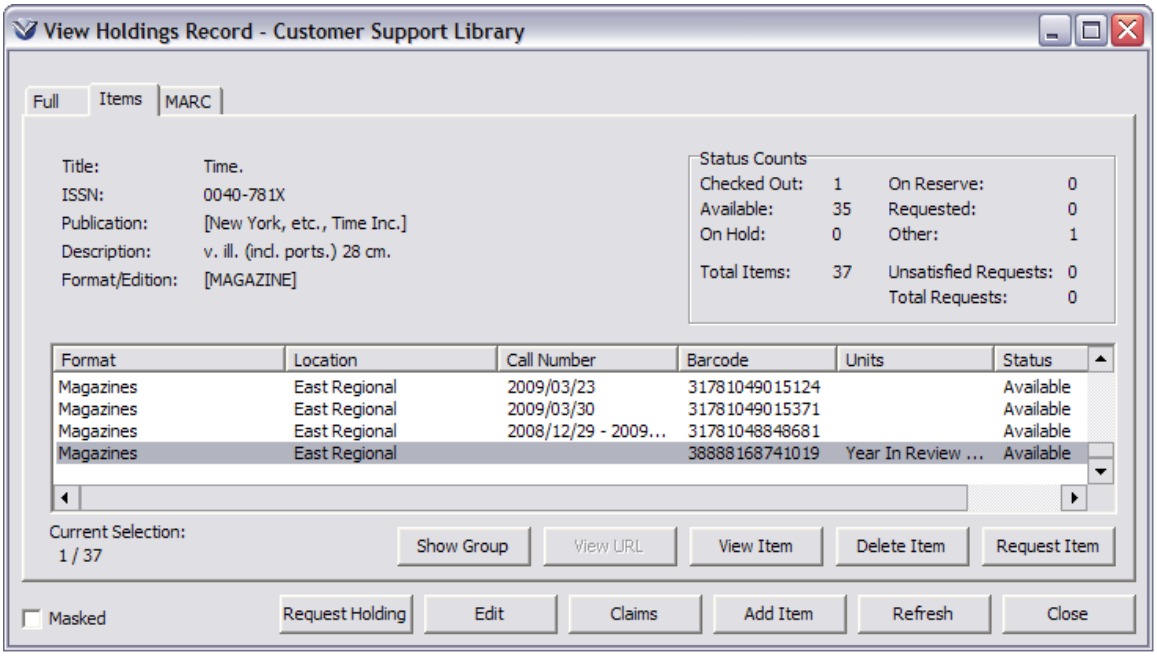
Non-Issue-Specific Item Records

You can add a non-issue-specific item to a holdings record, or create an item record for an issue that does not appear on the **Serials Check-In** window.

Search the OPAC for the bibliographic record.

Display the **View Bibliographic Record** window. Click the **Holdings** tab.

On the **Holdings** tab window, select a line item from the display box. Click the **View Record** button. The **View Holdings Record** window will appear.



Click the **Add Item** button

Complete the **Item Information** window and save the record. The new item is saved and linked to the holdings record and the **Item Information** window will close.

On the **View Holdings Record** window, click **Refresh**.

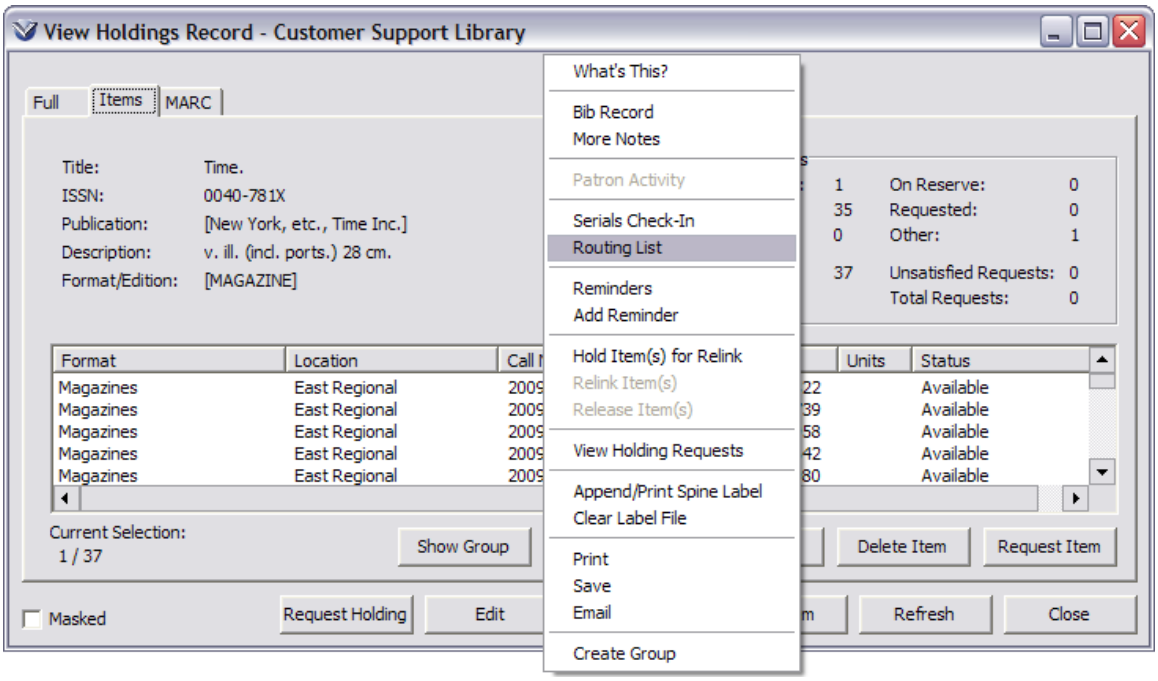
The item you added now appears on the **Items** tab of the **View Holdings Record** window.

Create Serials Routing Lists

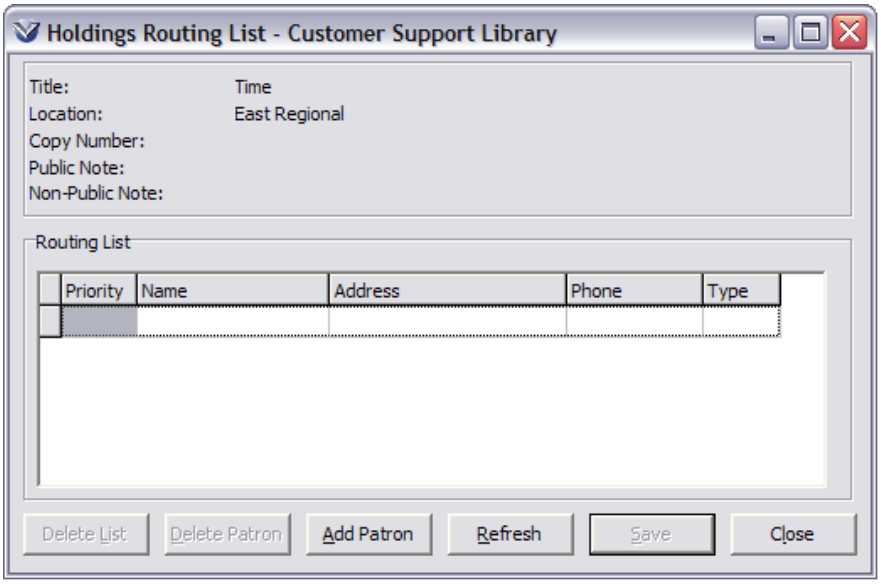
Virtua supports two types of serial routing lists: Holdings-level and Issue-Specific.

Note: To appear on a routing list, a person or routing destination must have a patron record in Virtua.

From any tab on the **View Holding Record** window right click and select **Routing List**.

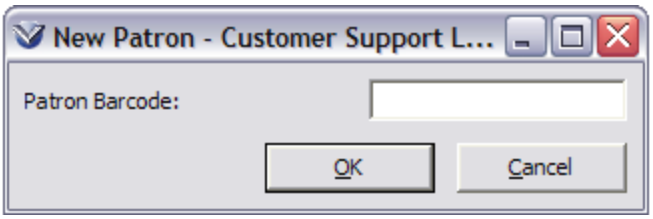


The **Holdings Routing List** window will appear.

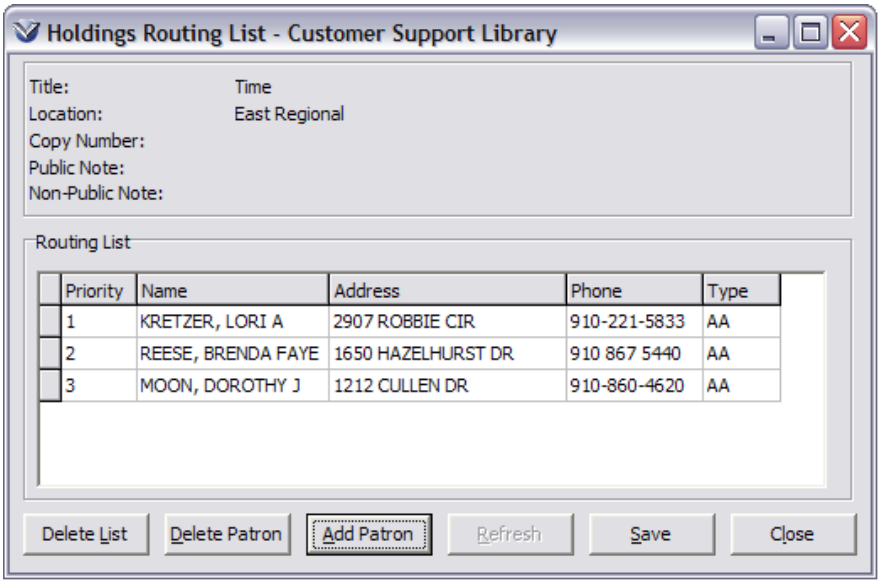


Note: No Routing List exists for the Holdings copy in the above example.

Click **Add Patron**. The **Add Patron** window will appear.



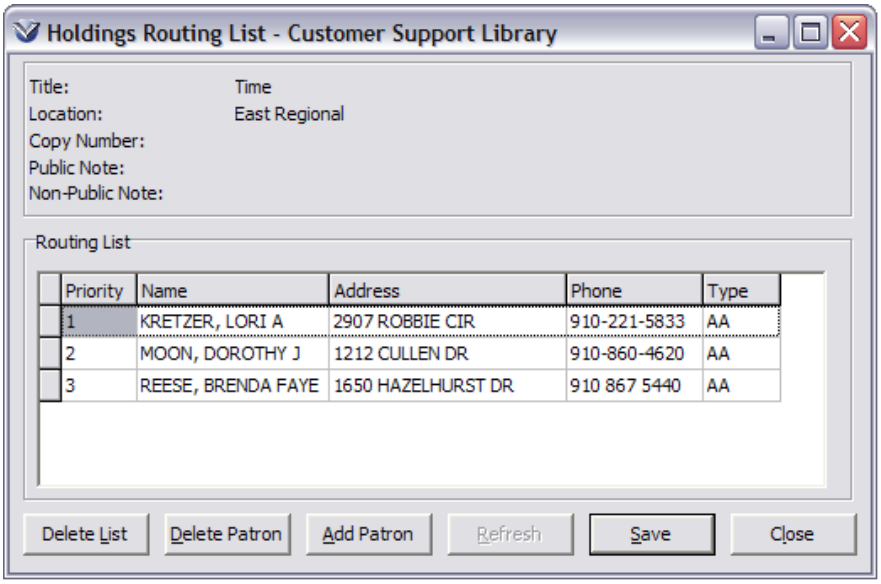
Enter the barcode number of the patron. The patron will be added to the routing list.



Once all patrons have been added, click on **Save** and the Routing List will be saved.

Note: The **Refresh** button reverts to the last saved list.

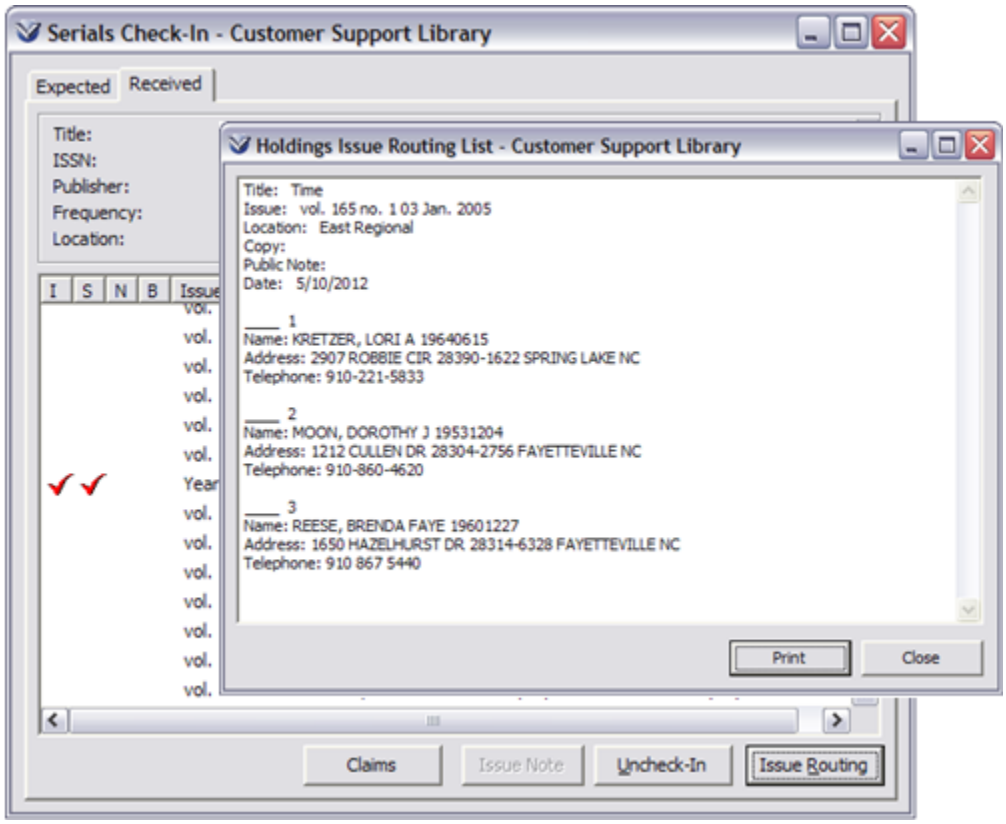
To change the order of the patrons in the list, click and drag on the area next to a patron name to re-order the list.



Print Routing Lists

Open the **Serials Check-In** window for that holdings record.

Click the **Issue Routing** button on the **Serials Check-In** window. This will display the routing list, as it will be printed.



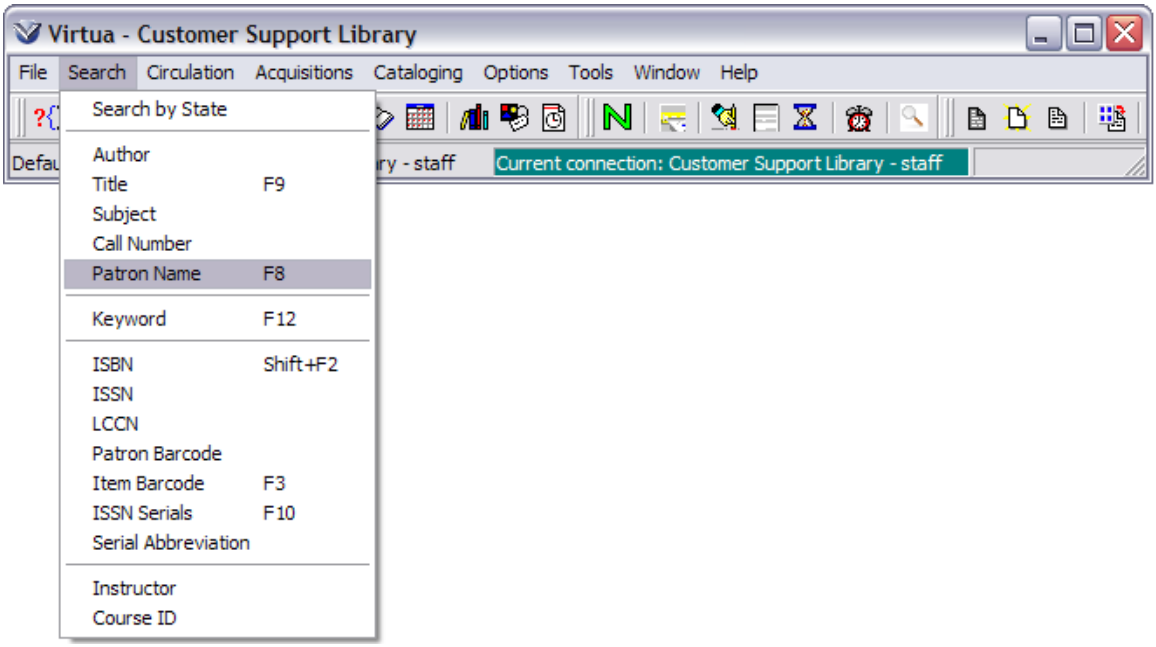
To print the list, click the **Print** button.

Note: To specify the information that you want to appear in the Holdings Issue routing list, use the **MARC View Editor** in the **Virtua Profiler** to edit the **Patron: Holdings Issue Routing List View** record.

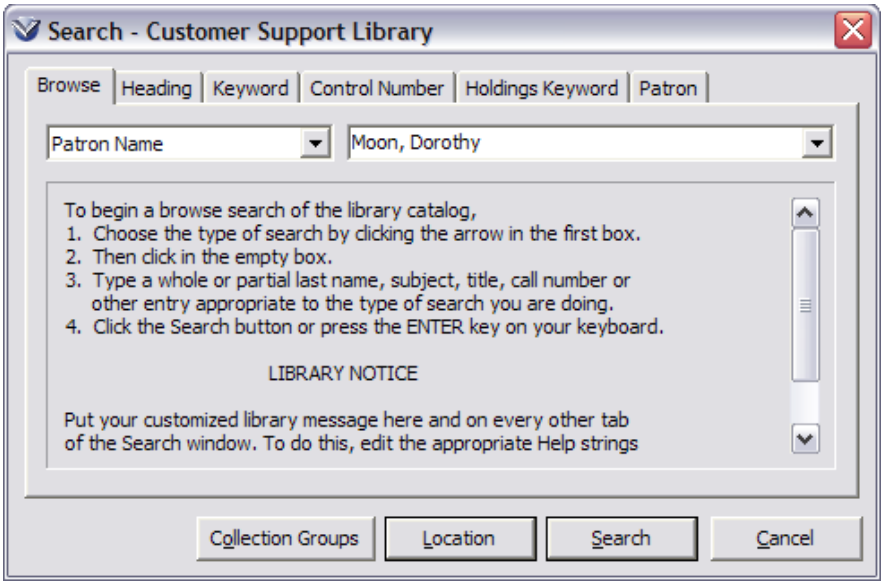
View Patron's Routing Lists

Virtua allows you to view all routing lists for a specified patron.

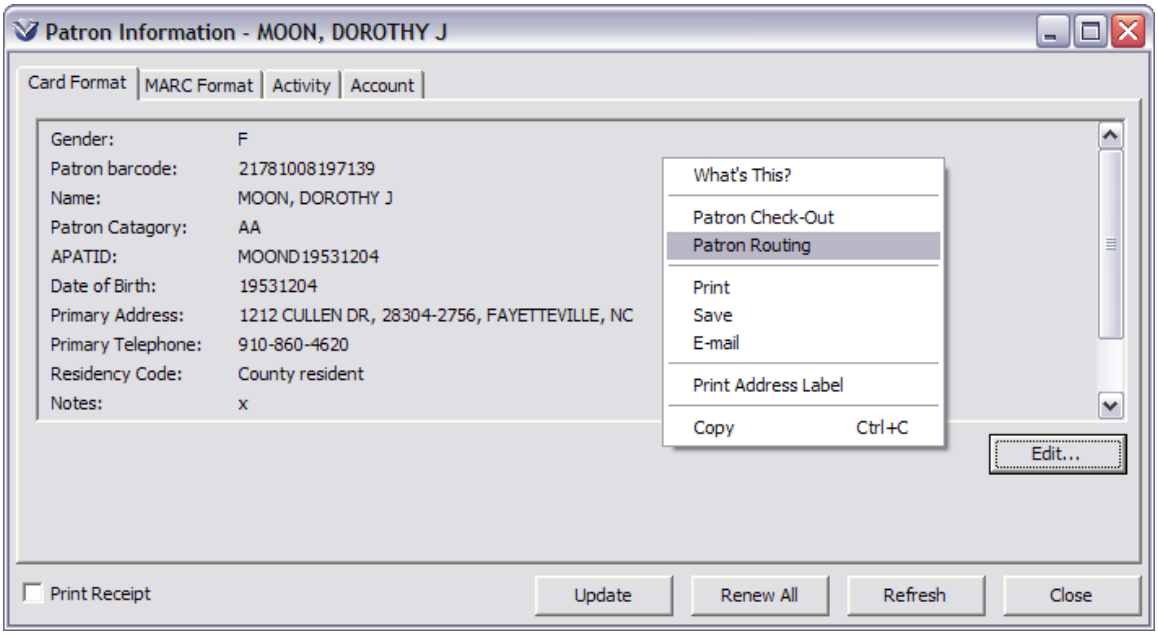
To search for the patron, select **Patron Name** from the search menu, or hit the **F8** key.



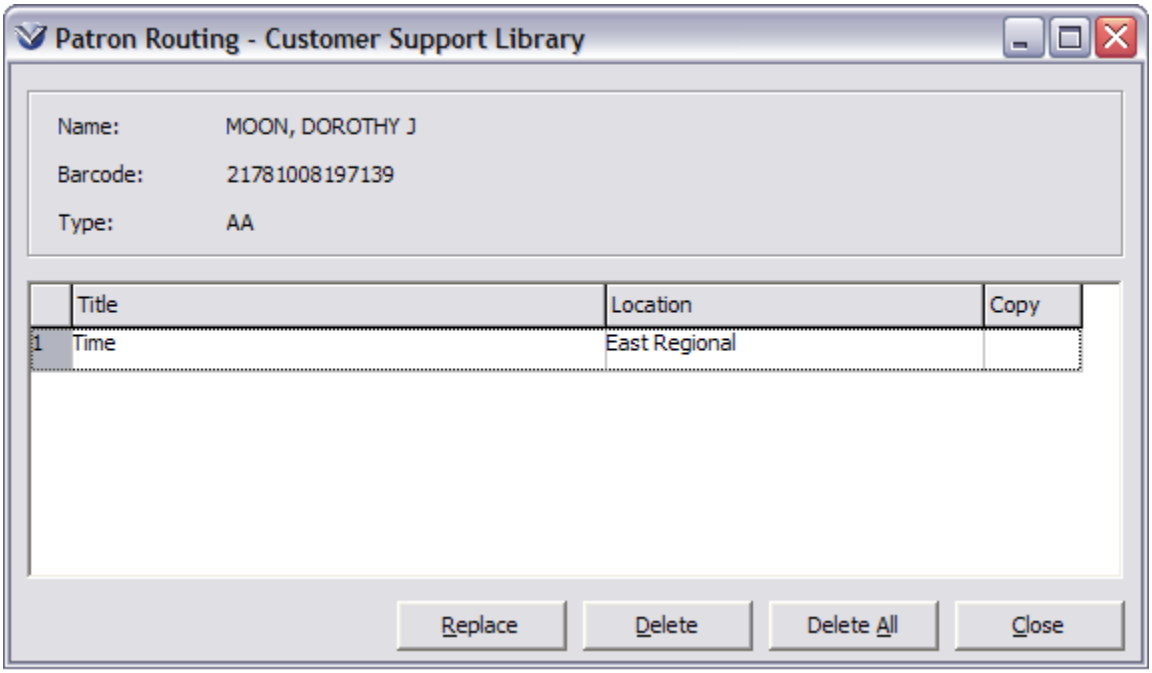
In the **Search** window, enter the patron's name (last, first).



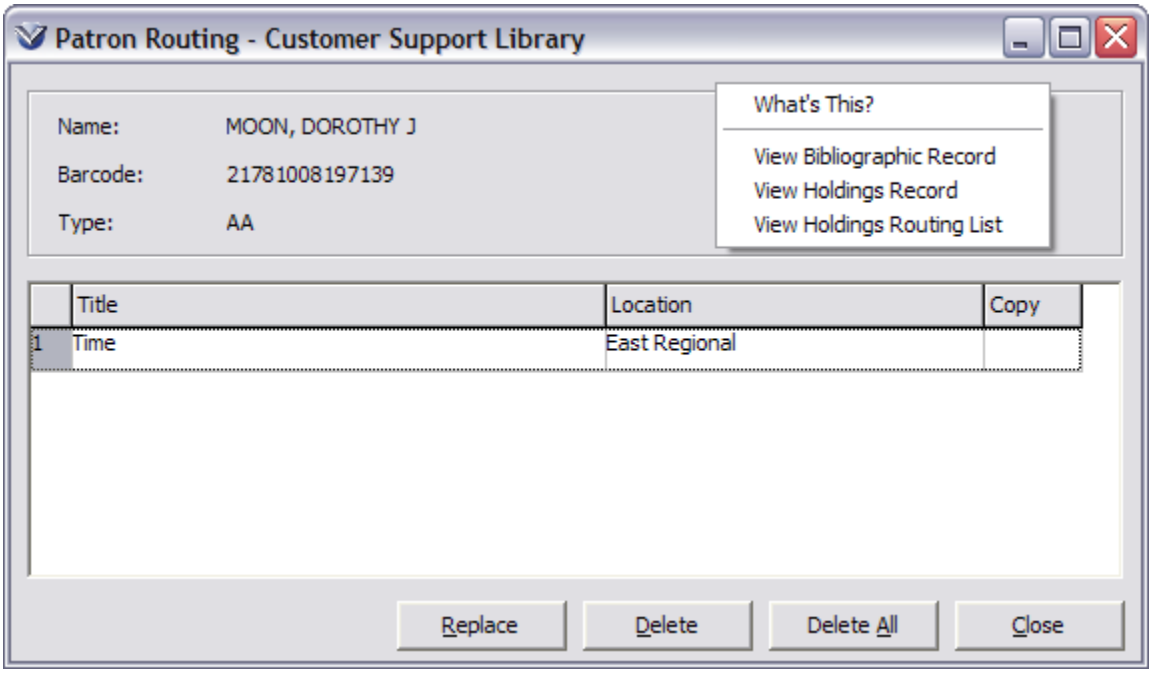
From the **Patron Information** window, right mouse click to access the pop-up menu.



Select **Patron Routing**, the patron routing list for that patron will appear.



From the **Patron Routing** list you can access the Bibliographic record, Holdings record, or Holdings Routing list by doing a right mouse click.



Other Check-In Issue Functions

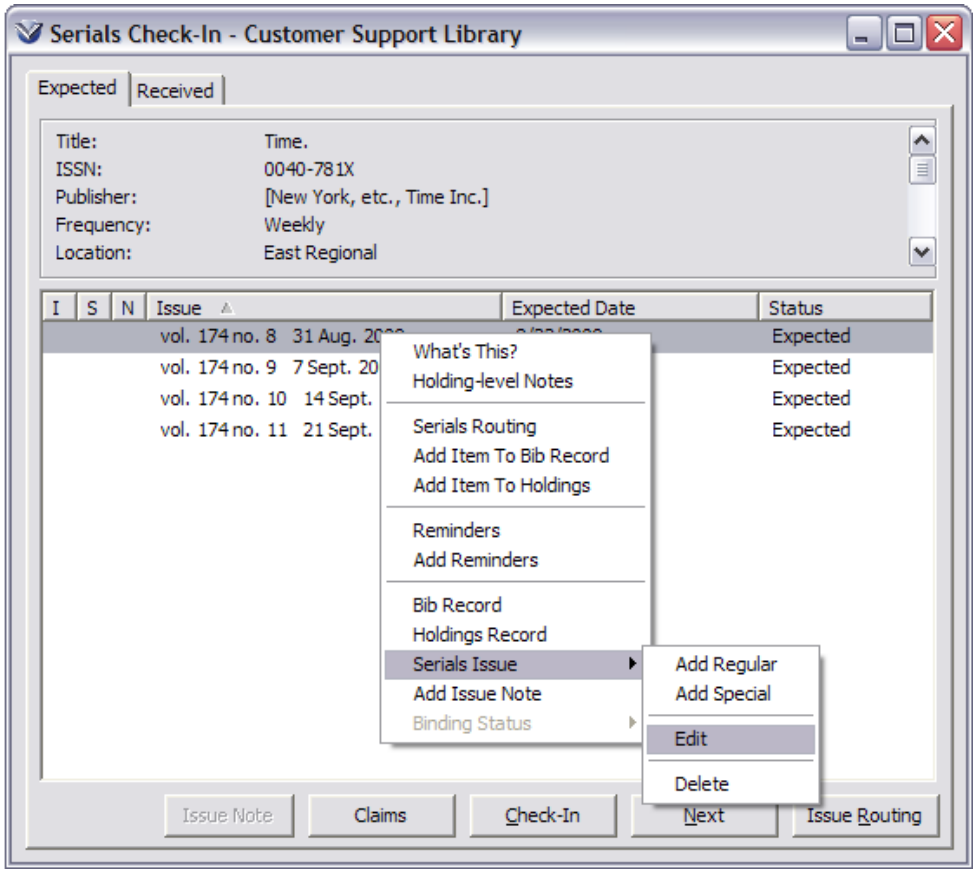
Recommended Outline	Explanation
Modifying Issue Specific Information Deleting Received Undoing a Check-in Receiving Gap Issues Adding Issue Notes Adding Bindery Statuses Adding Issue-Level Items	Virtua Series offers great flexibility in modifying check-in information to accommodate changes in subscription patterns, special issues, and gaps in receiving issues. This lesson covers the basics of modifying check-in records. **Summary** • Check-in records for special issues • Modify check-in records for expected and received issues • Delete check-in Records for expected and received issues • Undo a check-in • Receive a gap issue and modify the holdings record **Key Terms** • 969 tag • Bindery Control • Compress Holdings • Gap Issue • Special Issue **InfoStation Report** • **Bindery Pull List:** Generates a list of all serial issues at the *ready for binding* status.

Modify Issue-Specific Information

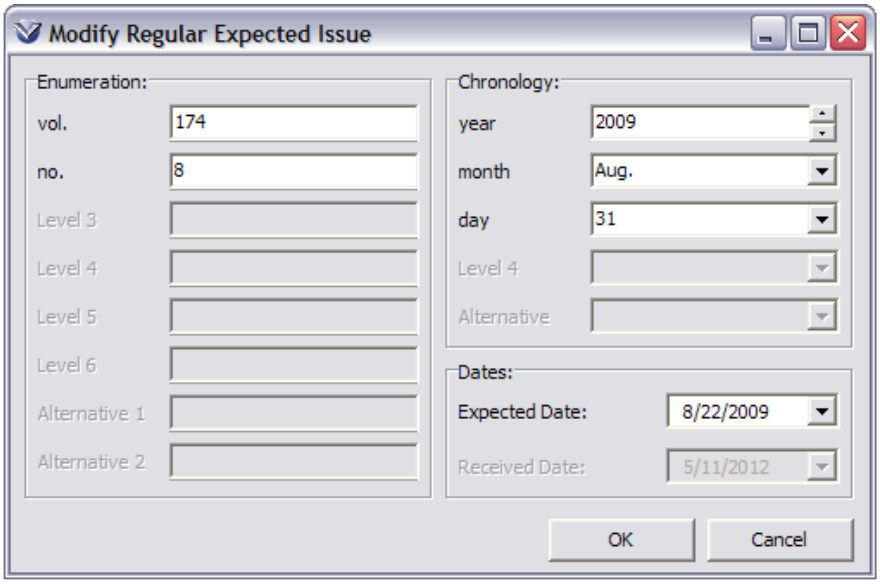
Sometimes it is necessary to work directly with the Issue records as well as working with the holdings MARC record.

On the **Expected** or **Received** tab of the **Serials Check-In** window, highlight the issue you want to modify.

Click the right mouse button, from the pop-up menu; choose **Serial Issue – Edit**.



The **Modify Regular Expected Issue** window or Modify Regular Received Issue appears.



Similar to the **Add Issue** window, the **Modify Regular Issue** windows consist of labeled data boxes for:

- Each level of enumeration and chronology and alternate enumeration and chronology specified for the issue
- Expected date
- Received date

Modify the information as needed. Click **OK** to save the changes.

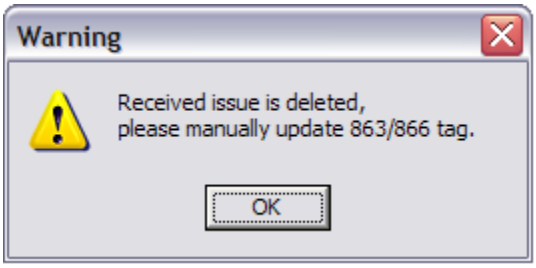
Delete Received Issues

On the **Received** tab, highlight the issue you want to delete.

Click the right mouse button.

On the pop-up menu, choose **Serial Issue – Delete**.

A pop-up warning message appears, reminding you to manually revise the 863/866 tag for the deleted issue.

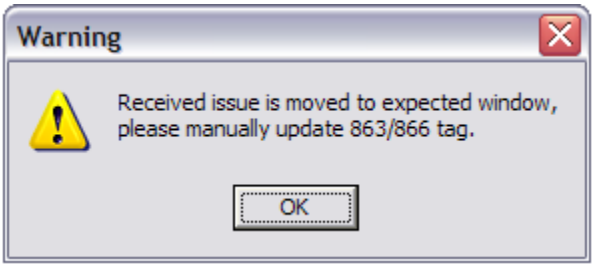


Undo a Check-In

Sometimes a problem or error is detected after a specific serial issue is checked in. To change the status of an issue from "Received" to "Expected" (for example, because the issue was erroneously checked in), the user can:

Modify the received issue by deleting the received date using the process described above.
OR
Highlight the issue on the **Received** tab and click the **Uncheck-In** button.

Regardless of the method used, you will receive a message warning you that the associated 863 tag may need to be updated manually to reflect the change.

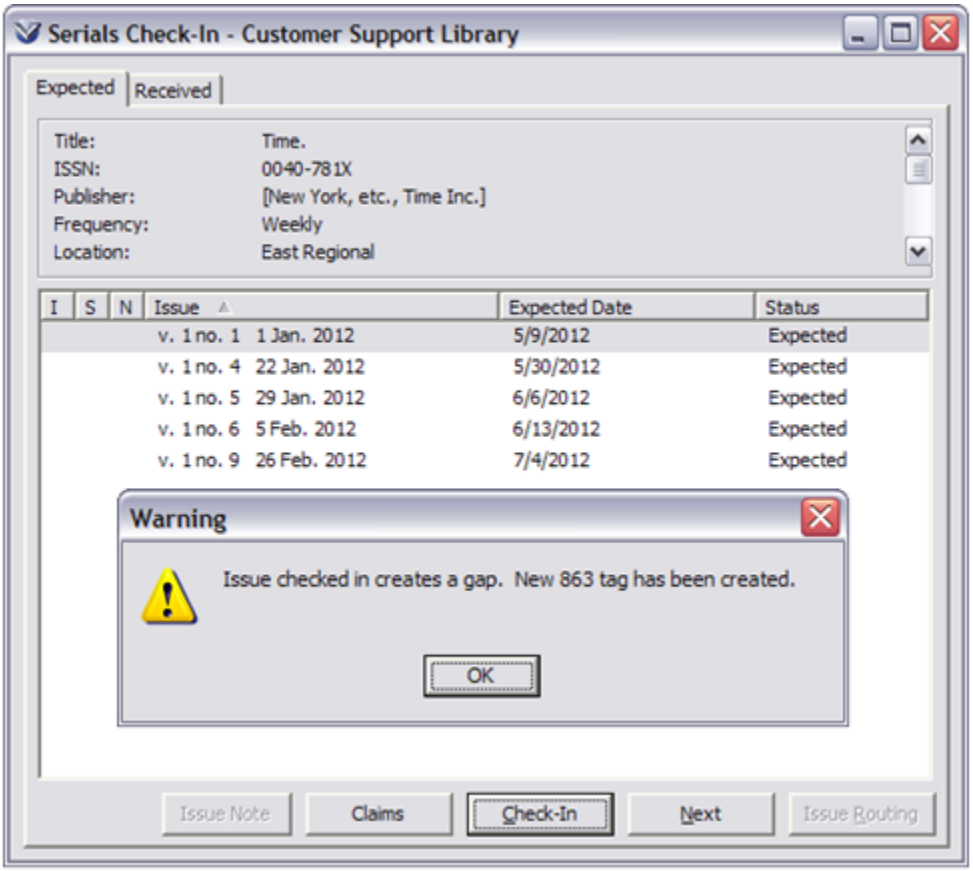


Receive Gap Issues

When you check in an issue out of sequence, a *gap* in the serial holdings is created. This happens when an issue is checked in:

- Before one or more proceeding expected issues, or
- After the latest expected issue.

To check in an issue out of sequence, highlight the issue to check in and click the **Check-In** button.

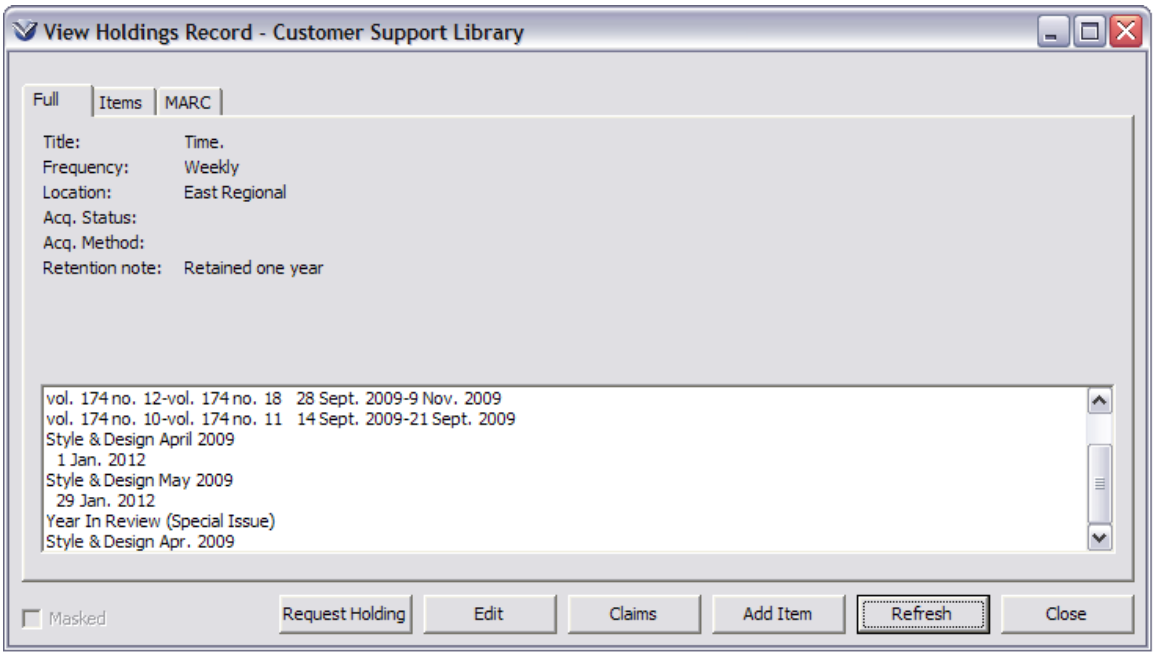


In accordance with the MARC standard, when the out-of-sequence issue is checked-in, the following occurs:

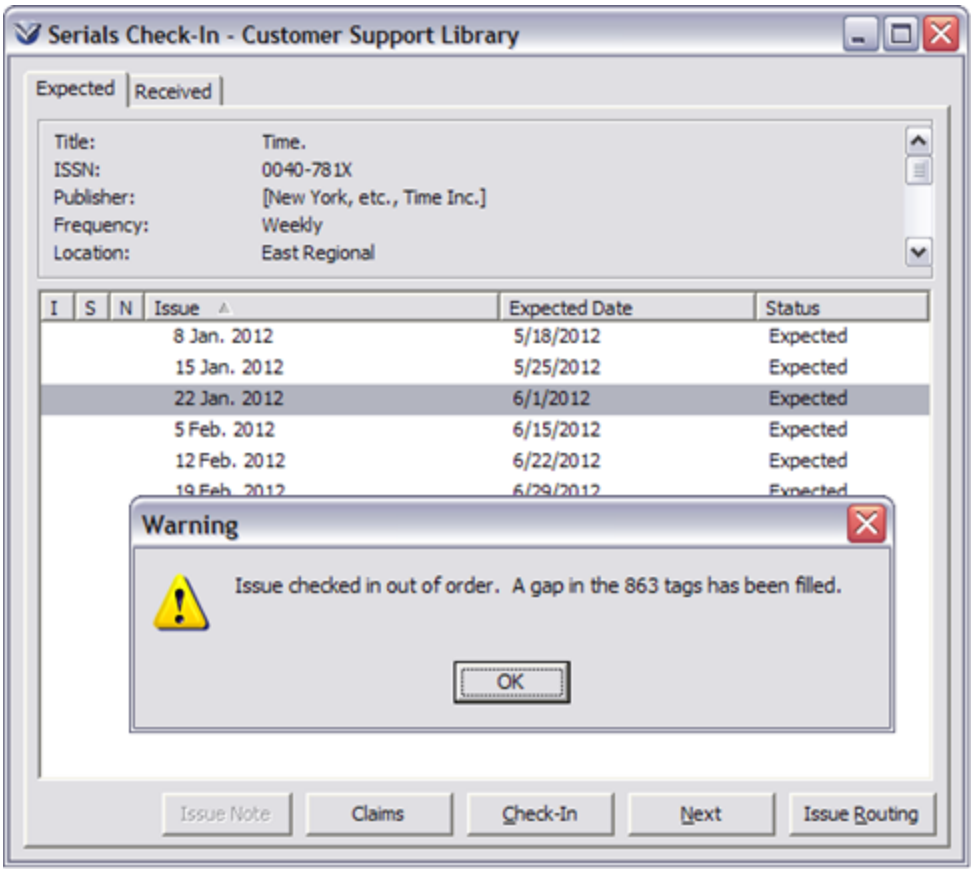
- A warning message is generated
- A new 863 tag beginning with the issue being checked in is created
- A subfield $w with a value of "g" is added to the preceding 863 tag

Note: (In MARC, the a subfield $w indicates that issues are missing between the 863 that contains the $w and the 863 with the next highest sequence number).

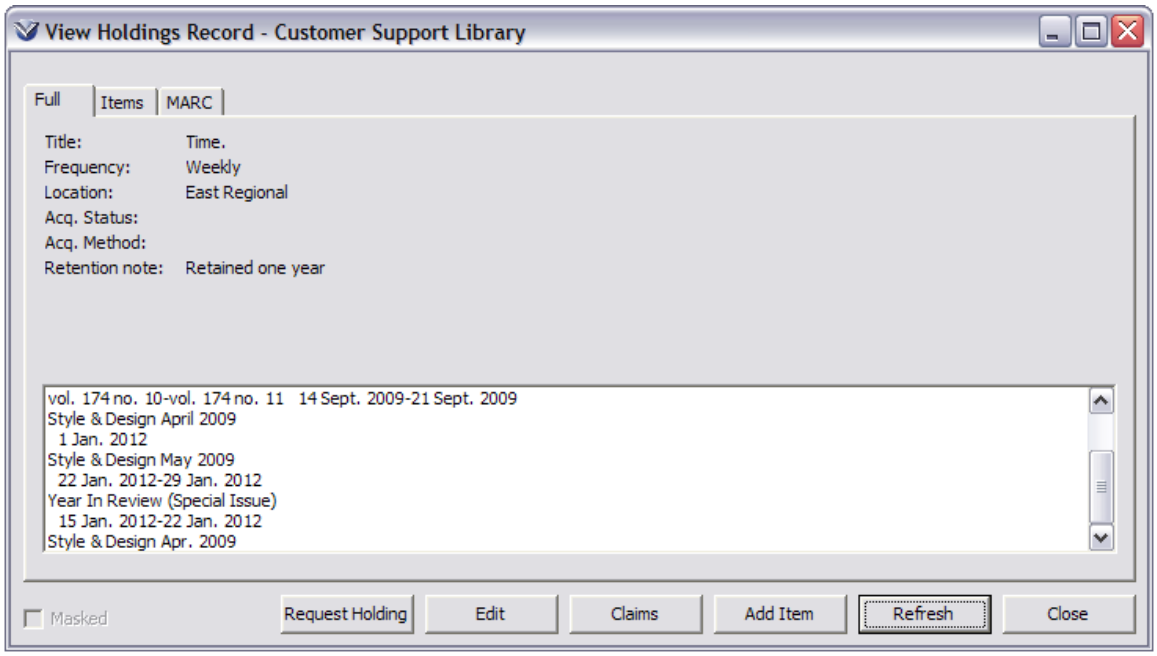
At this point, the separate 863 tag for the out-of-sequence issue generates another line on the holdings record.



When the gap issue arrives, highlight the issue and click the **Check-In** button.



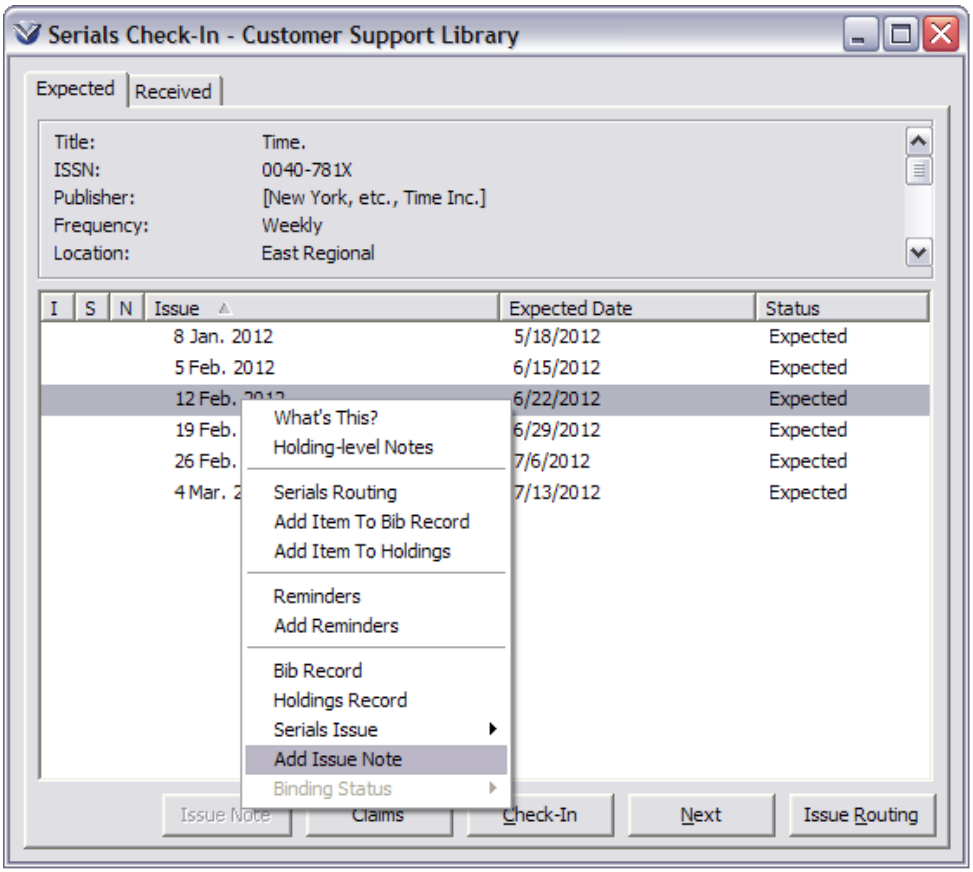
Click the **OK** button; Virtua automatically compresses the 863 tags of the holdings record.



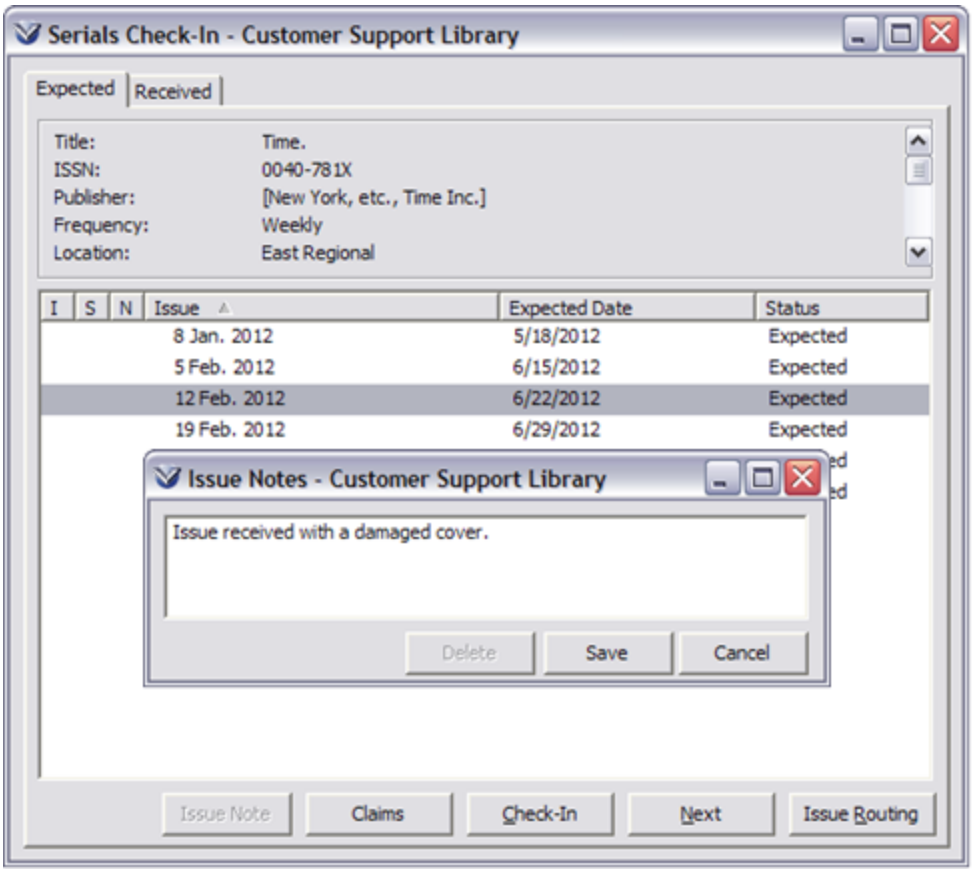
Add Issue Notes

From the **Serials Check-In** highlight the issue to which you would like to add a note.

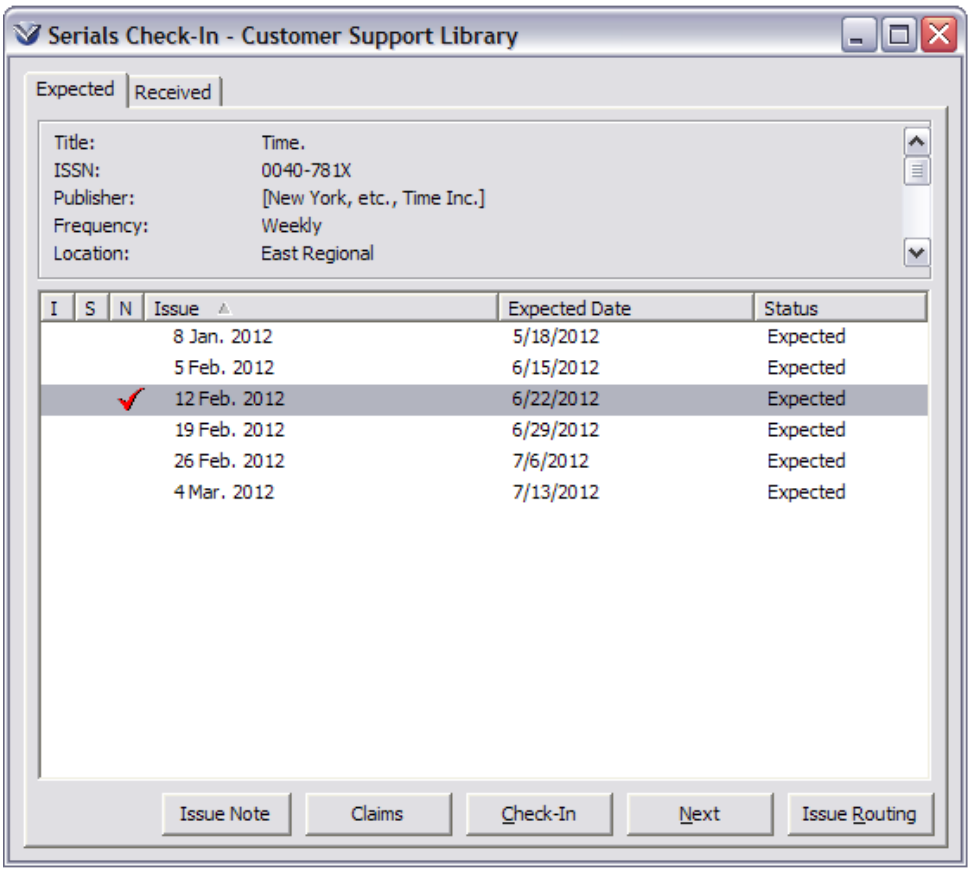
Right mouse click and select **Add Issue Note** from the pop-up menu.



A free text box will appear. Enter the information for the note and click **Save**.



The **Issue Notes** button will be active only when the selected issue has notes attached.

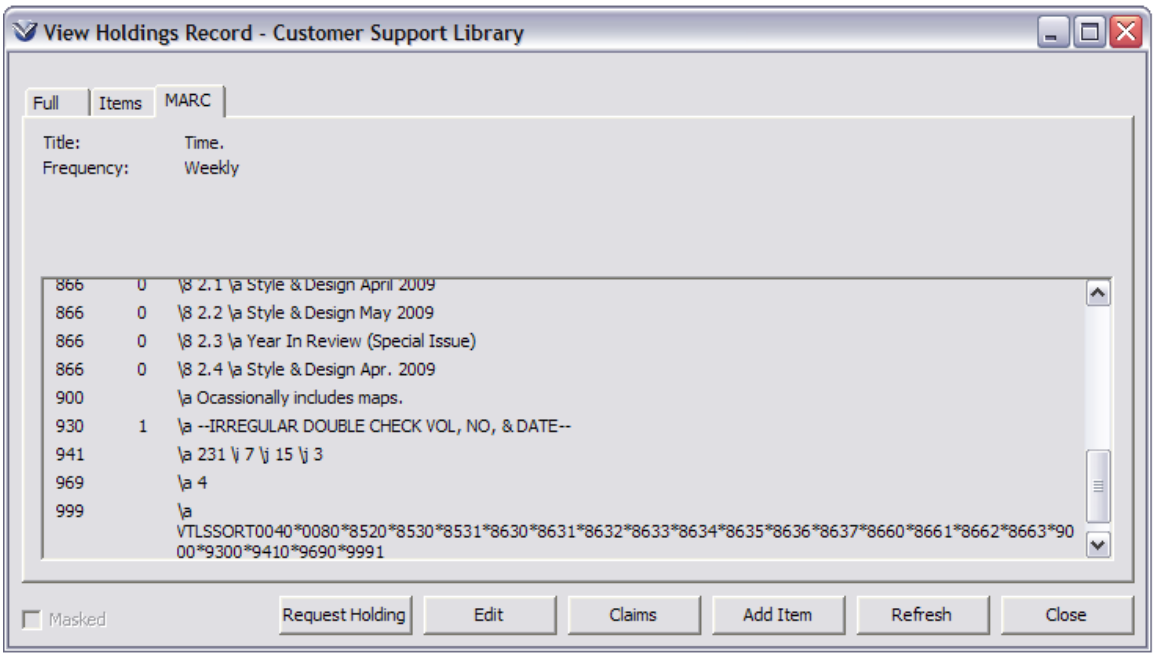


Bindery Control

Bindery Control allows your library to manage received journal issues and to track which issues should be sent to the bindery. There are three main aspects to bindery control: binding reminders, bindery displays on the **Serials Check-In**, and a *Bindery Pull List* report that generates a list of serial issues ready to be pulled for binding.

Add 969 Tag to Holdings Record

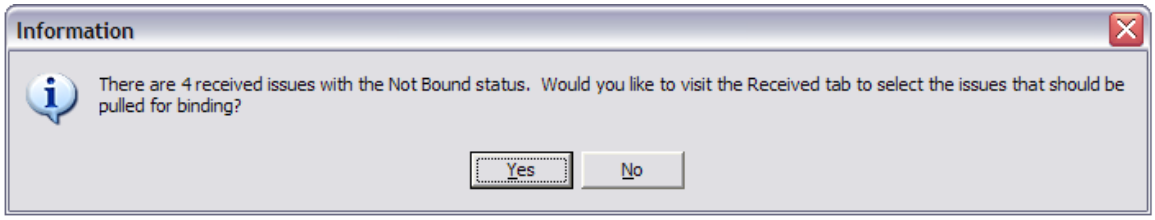
Bindery notification uses the 969 tag subfield a, of the MARC Holdings record to indicate how many issues are in a bound volume. For example, if a 4 is entered in this field, then after the 4th issue is checked in a pop up message will alert the user that that the issues should be sent to the bindery.



Bindery Reminders

Binding reminders appear under two circumstances:

- When the issue received is the nth issue (where n=the value in subfield $a of the 969 tag) with the status of Not Bound.
- When an issue with the status Not Bound is received, making the new total number of Not Bound issues on the **Received** tab greater than n.
- The binding reminder tells you that n number of issues with the Not Bound status has been received.



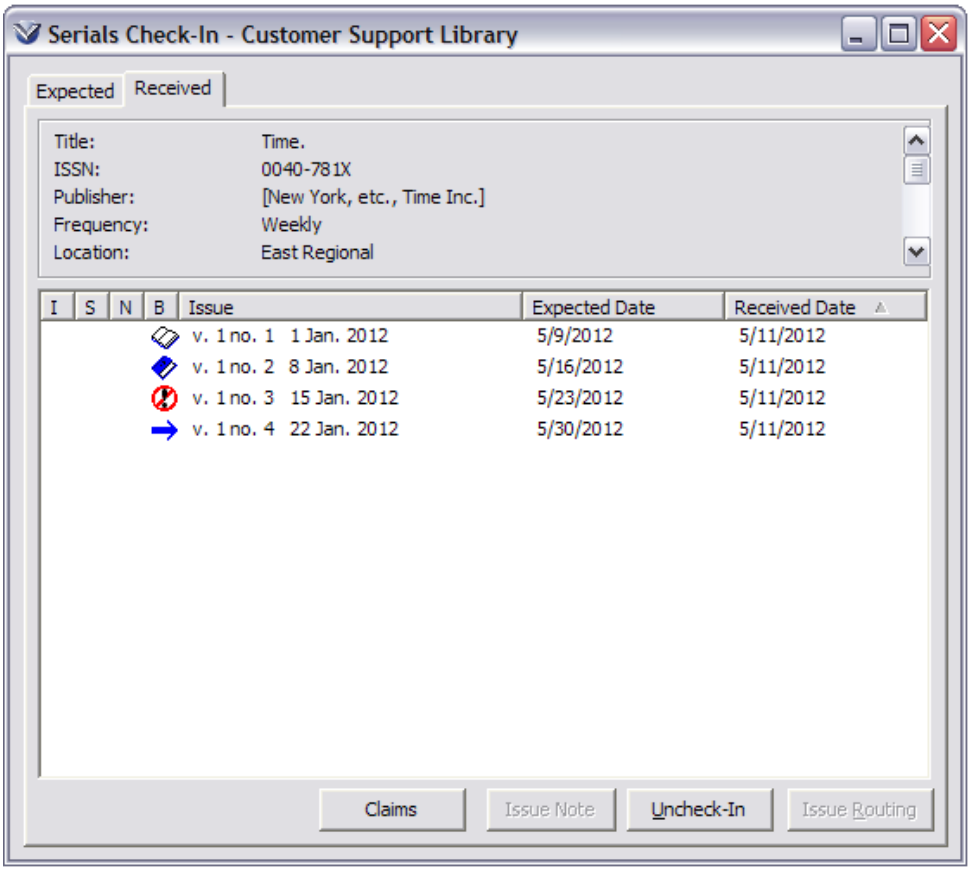
- ***If*** you click **Yes**, the system displays the **Received** tab of the **Check-In** window and highlights all issues without a binding status. From there you can modify the list of issues by de-selecting issues or selecting other issues or you can click the right mouse button to see a pop-up menu and choose a new binding status.
- ***If*** you click **No**, the bindery message closes.

Set Bindery Statuses

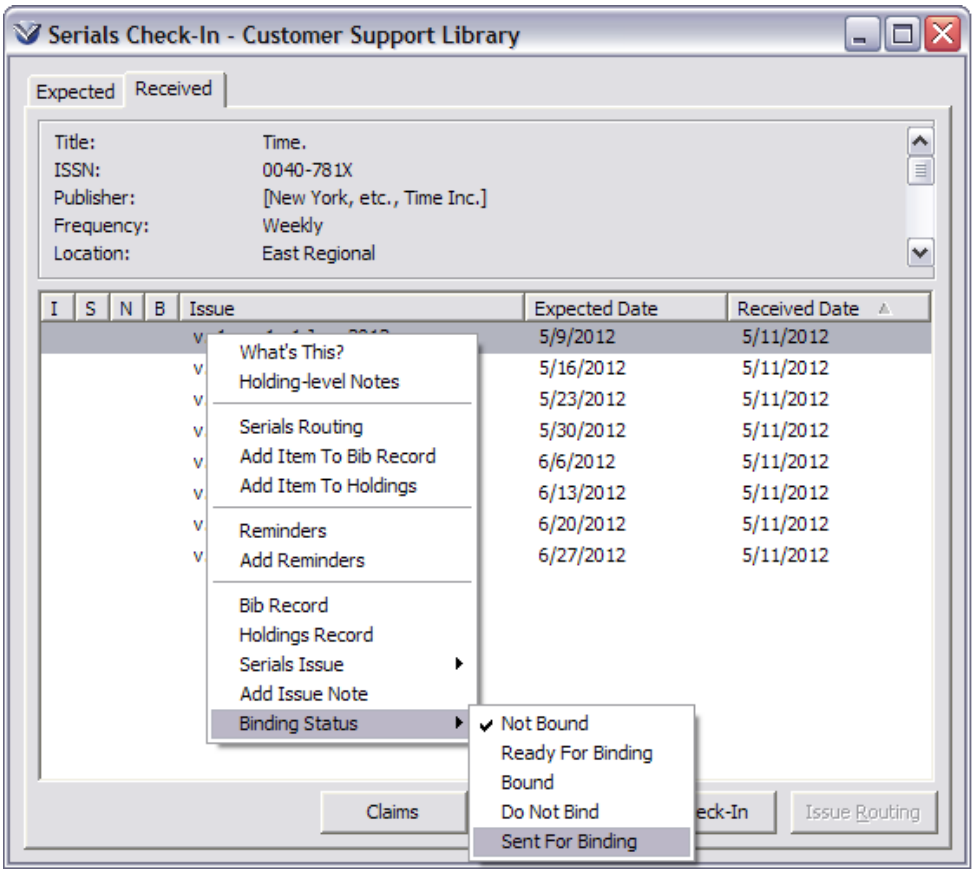
From the **Holdings Record** tab of the **View Bibliographic Record** window, click the **Check-in** button to open the **Serials Check-In** window.

Click on the **Received** tab. Column B of the **Received** tab can display icons indicating the following bindery statuses.

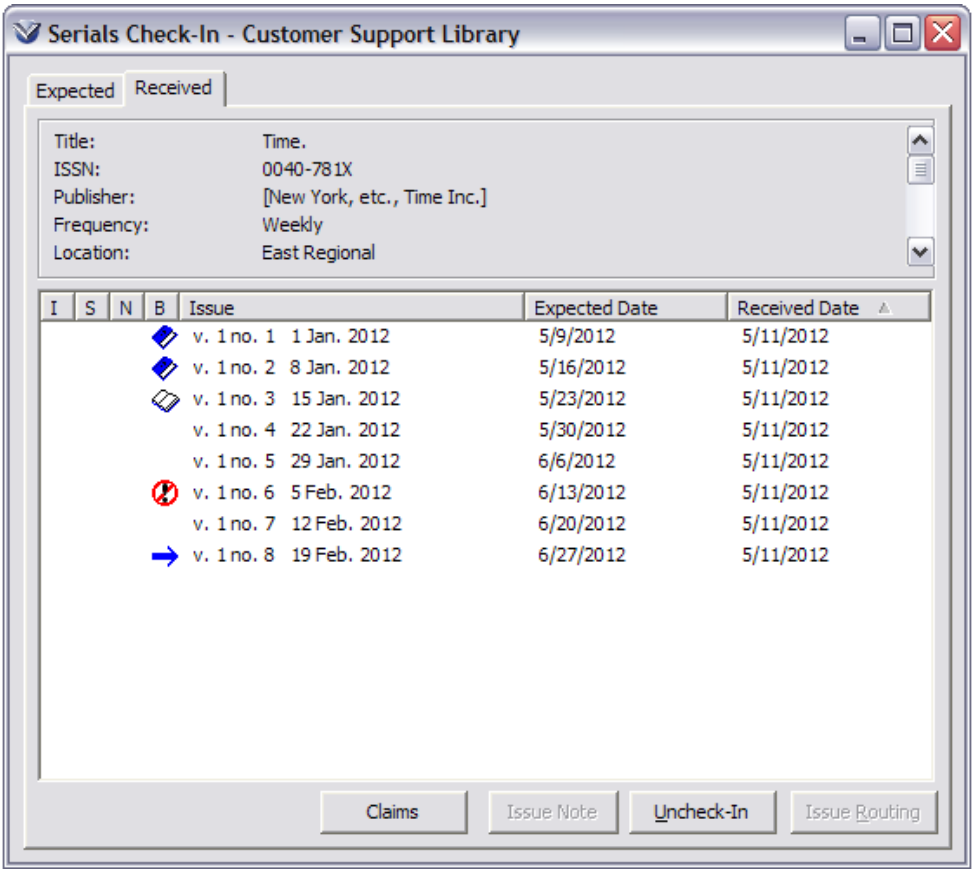
Not Bound	Blank
Ready for Binding	
Bound	
Do not bind	
Sent for Binding	



To set a bindery status, select the issue(s) and right mouse click. The Serials popup menu will appear.



Select a Binding Status. The icons will appear to the left of the issue number.



Relink Items

There may be times when you need to associate an item with a different parent record. Virtua lets you relink item records in various combinations.

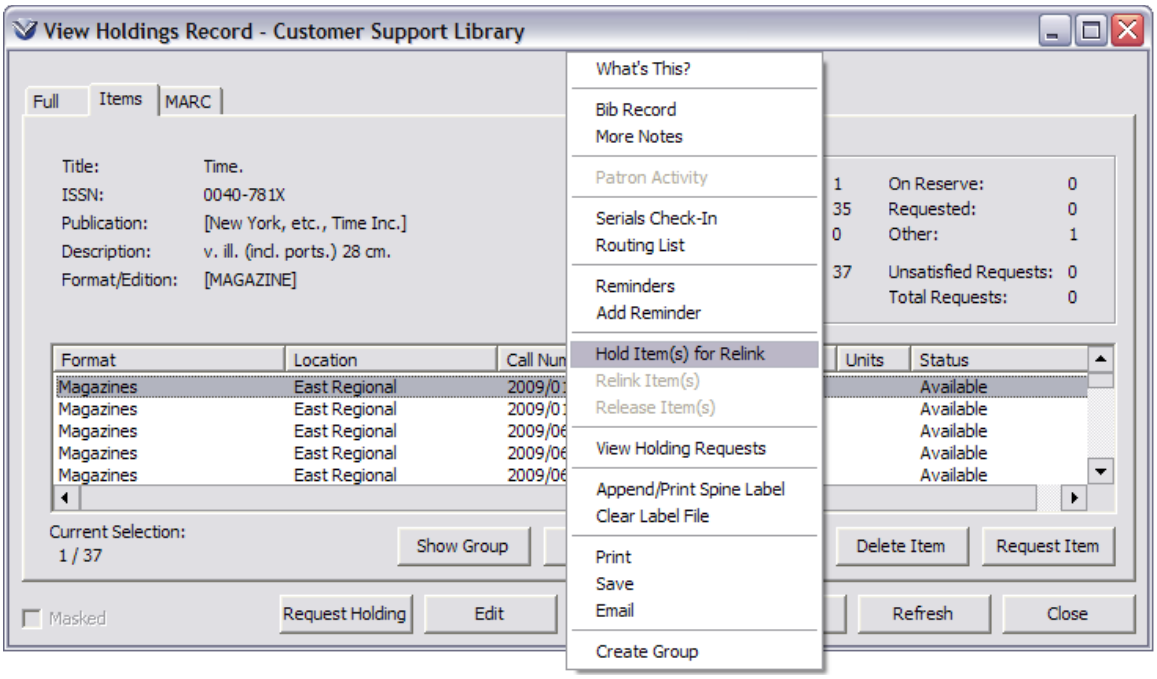
- Items attached to a ***bibliographic*** record can be linked to a new parent bibliographic or to a holdings record.
- Items attached to a ***holdings*** record can be linked to a new parent bibliographic or to another holdings record.

To relink an item from a holdings record to the parent bib record:

To relink an item record, open the Holdings record in the **View Holdings Record** window and click on the **Item** tab.

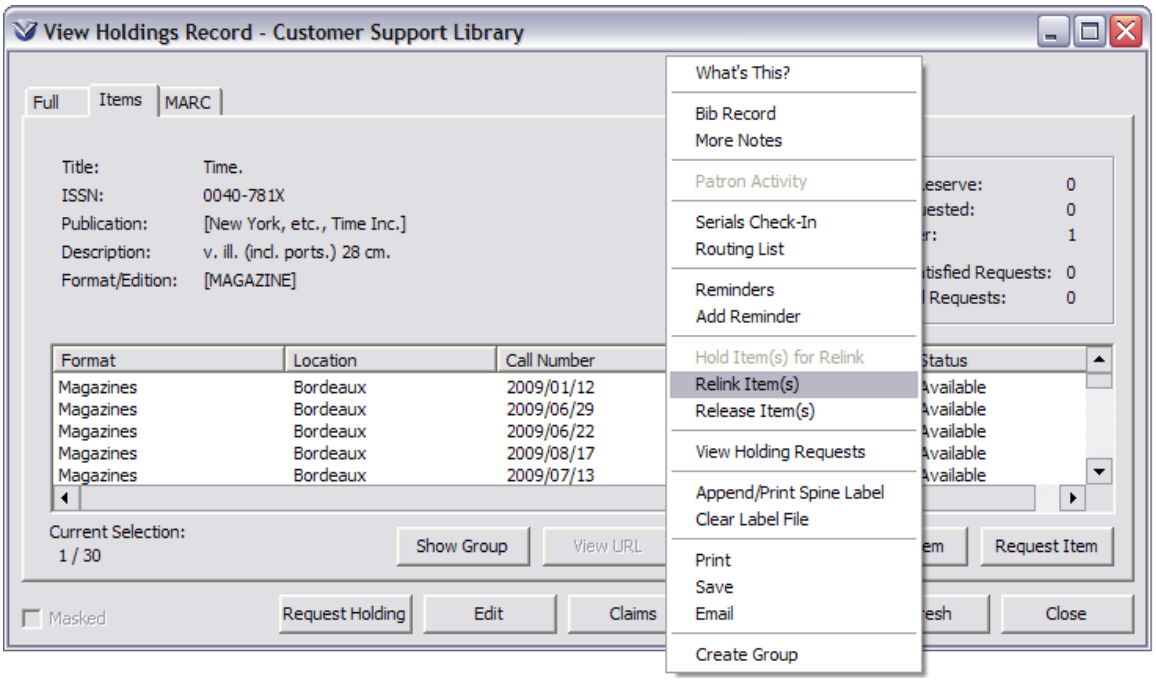
Highlight the item record to be re-linked.

Select **Hold Item(s) for Relink** from the right-click, pop-up menu on the **View Bibliographic Record** or **View Holdings Record** windows, or use the View Record drop-down menu in the Virtua menu bar.

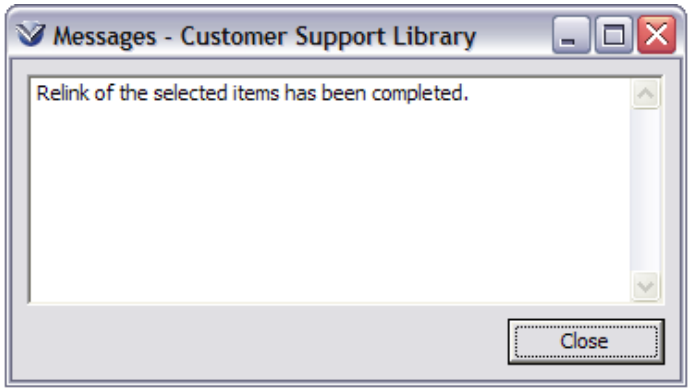


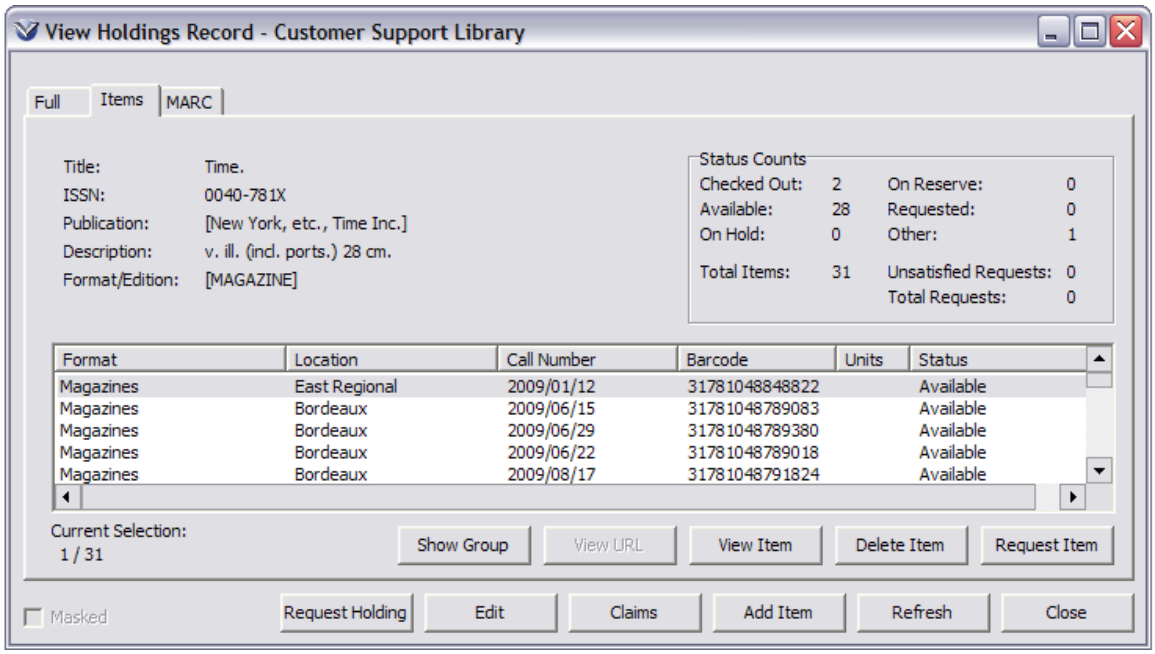
Go to the **Holdings** tab of the parent record.

Select Relink Item(s) from the right-click, pop-up menu on the **View Bibliographic Record** or **View Holdings Record** windows, or use the **View Record** drop-down menu in the Virtua menu bar.



A message will appear that the relink is complete.





Note: The same workflow is used to relink item records from parent bibliographic records to holdings records, or to link item records to a different parent bibliographic record.

Serials Reminders and Claiming

Recommended Outline	Explanation
Serials Reminders View Issue-Specific Reminders Add User-Defined Reminders Modify Serials Reminders Delete Serials Reminders Claiming Serials Issues	Serials Reminders are Virtua's method of reminding you of serial issues that have not been checked in by their expected dates. **Summary** • Describe different types of serials remainders • Appropriately select and view list of reminders • View Issue-specific reminders • Create a User Defined Reminder • Modify Serials reminders • Delete Serials Reminders • Claim Serials **Key Terms** • Claim Interval • Claiming • Reclaim • Reclaim Interval • Serials Check-in Expected Reminder • Serials Claim Expected Reminder • Serials User Defined Reminder

Serials Reminders

Virtua supports two types of serials reminders, system generated reminders and user defined reminders.

- **System Generated:** A Serial Reminder is created at the time each expected issue is created. These reminders are issue-specific.
- **User Defined:** A free text reminder enables the user to enter any information of their choosing. These reminders are not linked to specific issues.

Virtua supports two primary means of generating lists of reminders: general list of reminders, and lists of reminders pertaining to a specific holdings record.

General List of reminders: A General Reminder search can be defined by entering the following type of reminder:

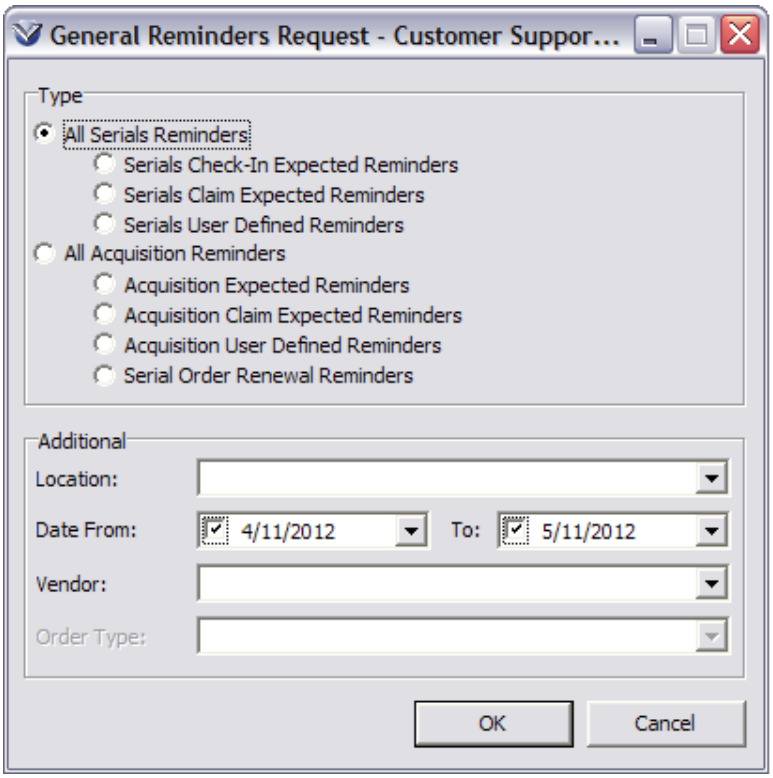
- **All serials reminders:** Generates a list of all serial reminders regardless of type.
- **Only Check-in expected reminders:** Generates a list of all issues that are expected but were not received by the expected date
- **Only Claim reminders:** Generates a list of all issues that are claimed or reclaimed either manually or automatically by the claim batch job autoClaim. The system generates these reminders by using as the due date the reclaim date as specified in the 941 tag, \j.
- **Only User defined reminders:** Generates a list of user defined reminders, you can choose to enter a location and a date range.
- **Serials Order Renewal Reminders:** Generates a list to remind the user when a subscription is up for renewal. The user can use these reminders to renew the subscriptions via the "Renew" right-click menu option.

List of reminders for a holdings record: Generates a list of reminders for a specified holdings record. This will retrieve all outstanding reminders for that holding record regardless of the type of reminder.

View General Lists of Reminders

Click on the Serials Reminders icon on the Acquisitions toolbar or select on **Acquisitions → Reminders** from the Virtua Menu.

From the list, click a radio button to select a type of **Serials Reminders**.



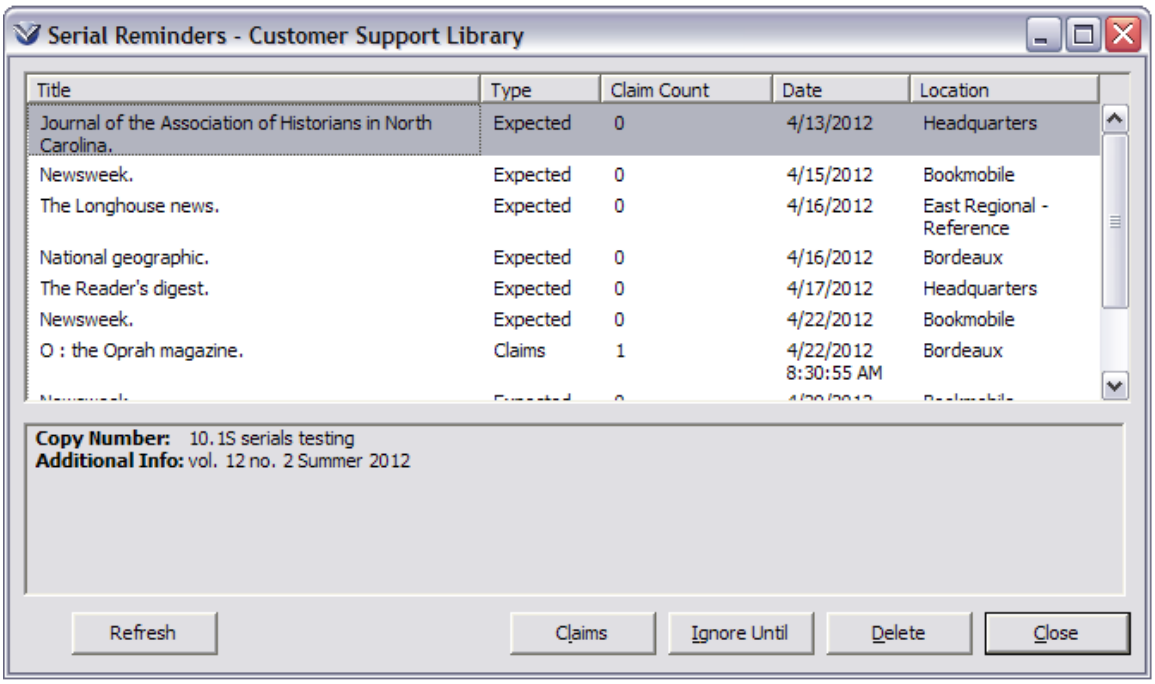
Choose a **Location** to display a reminders list of serials at only one location. Leave this blank to display reminders for all locations.

Choose a starting and ending date range; Virtua defaults to the last 30 days.

If you do not specify a date range, by un-checking the start and ending date rage check boxes, Virtua displays all outstanding reminders. To see reminders that are not yet active, specify a date range that includes future date(s).

Chose a **Vendor** to display a reminders list of serials from only one vendor. Leave this blank to display reminders for all vendors.

Click the **OK** button. The software will check for all general reminders that qualify. The list will display in the **Serial Reminders** window.



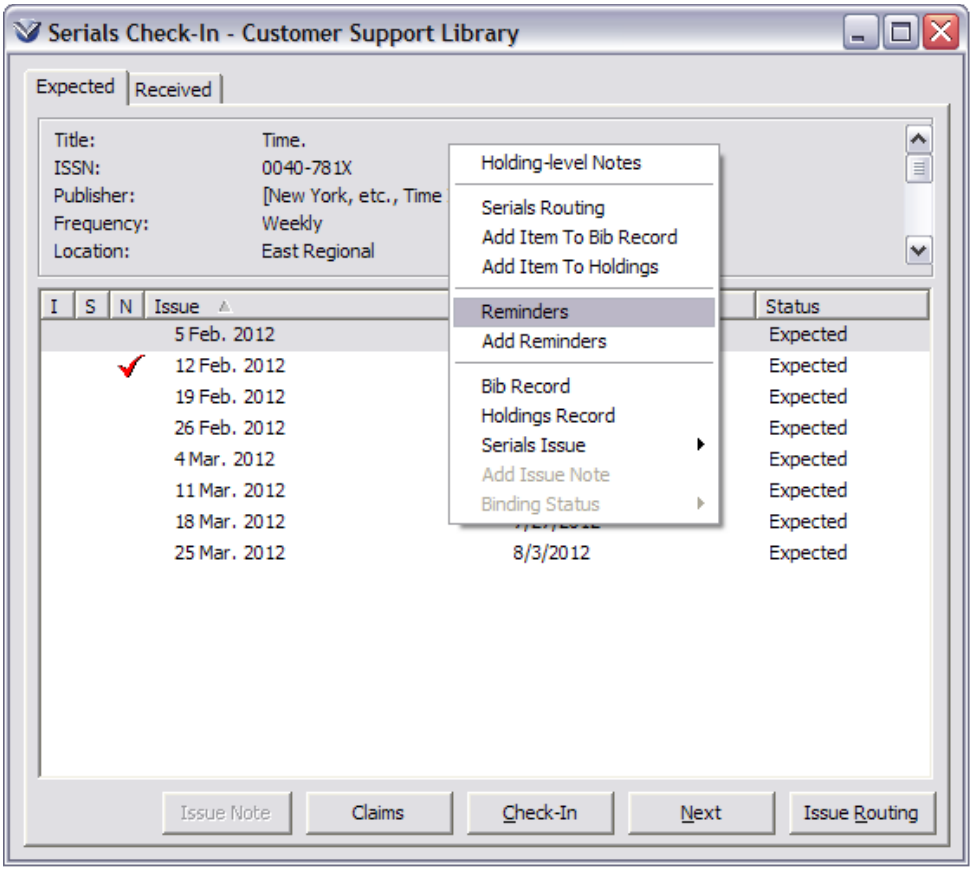
The **Serial Reminders** window displays a list box containing one line per reminder.

- You may sort the list box by clicking on the column header for each column.
- If more reminders are listed than can fit in the window, up and down arrows beside the list box will let you move within the entire set.
- The date displayed is that on which the reminder becomes current or active

View Reminders for a Specific Holdings Record

Search the OPAC for the serial. Select the holdings record, and click the **Check-In** button.

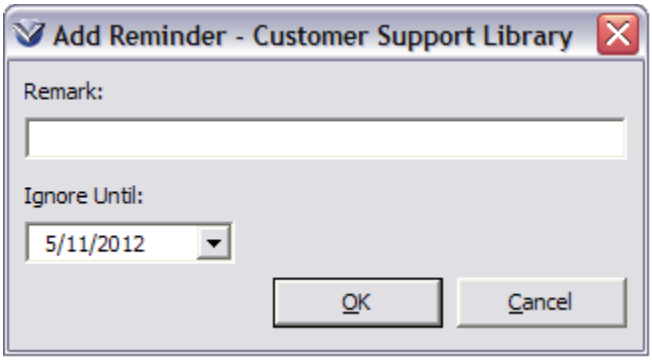
From the **Check-In** window, right click and select **Reminders** to display reminders for that holdings record.



Add User Defined Reminders

Occasionally a user may need to add a reminder manually to expedite problem resolution.

From the **Serials Check-In** window (or the **View Holdings** record), right click to **Add Reminder**.



Enter the appropriate information.

Click the **OK** button. The system responds that the Reminder was added and should now display in the **Reminders** window the next time a user views reminders and selects User Defined Reminders.

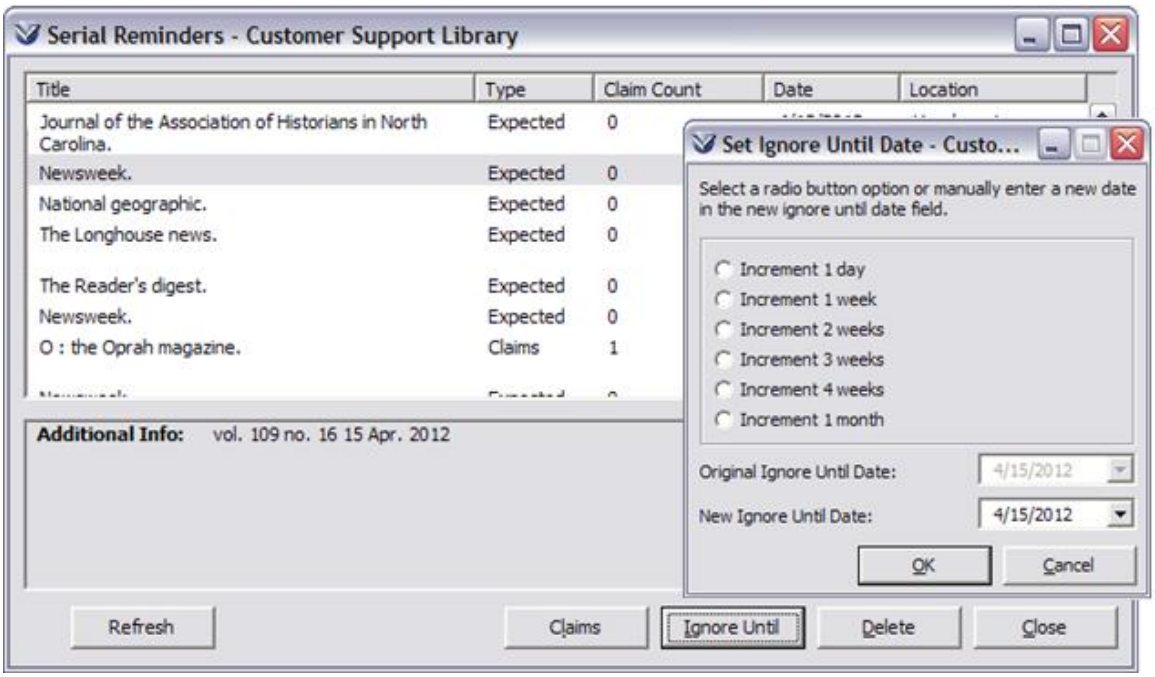
Modify Serials Reminders

From the **Serial Reminders** window, a user can modify the *ignore until* or activation date of a reminder by doing the following:

Note: If you modify an ignore until date, you will not be able to change the date again until the modified ignore until date rolls around, i.e. when the reminder is displayed on the **Reminders** window.

Select an issue from the **Serial Reminders** window. You may select multiple issues by using the Control or Shift keys.

Click on the **Ignore Until** button.



Select in a **New Ignore Until Date**. You may do this one of three ways:

Select an increment
Type a date
Click on the date dropdown menu; select a new date from the calendar.

Click on the **OK** button.

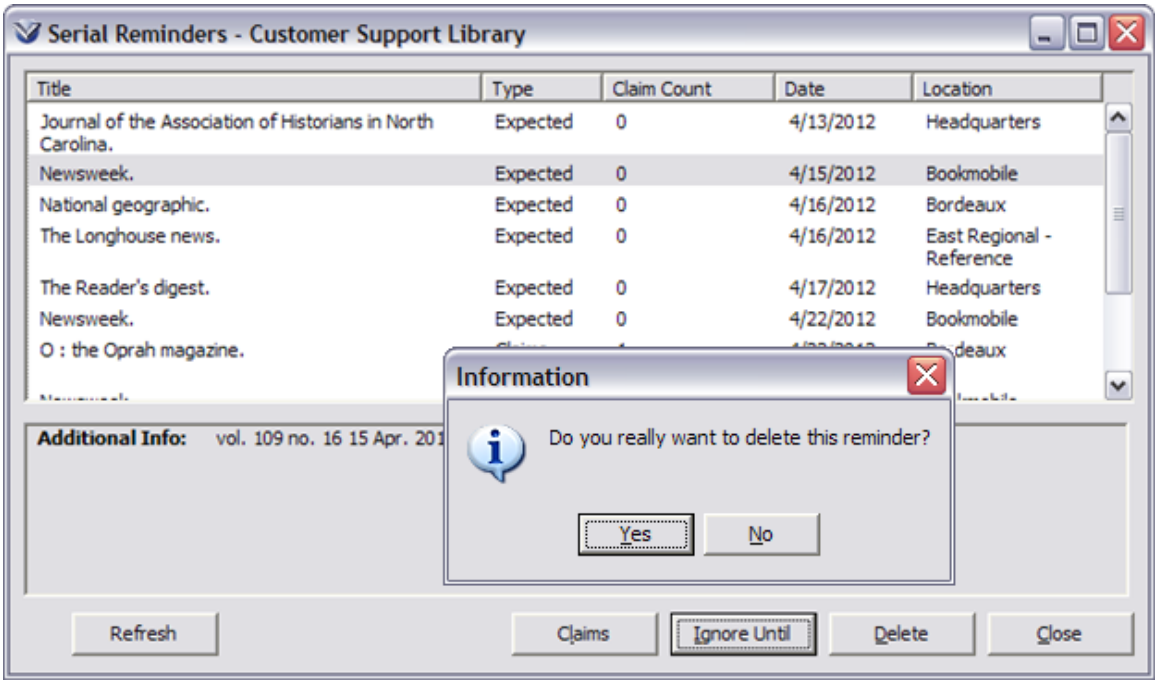
Delete Serials Reminders

The system automatically deletes the Serials Expected Reminder when an issue is checked in. However, there are times when you may need to delete a reminder manually.

Select an issue from the **Serial Reminders** window. You may select multiple issues by using the Control or Shift keys.

Click on the **Delete** button.

An **Information** window will appear asking you to confirm the deletion.
Click the **Yes** button to delete the reminder.

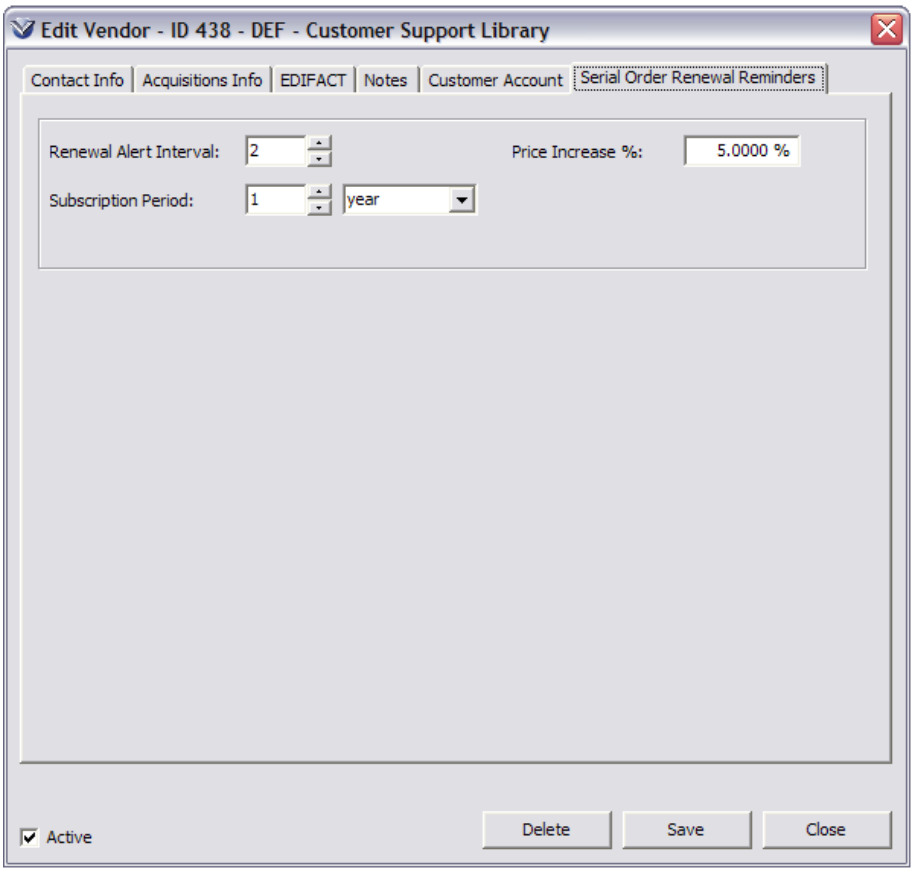


Note: Once an expected reminder is deleted, it can only be reinstated by deleting and recreating or re-predicting the issue.

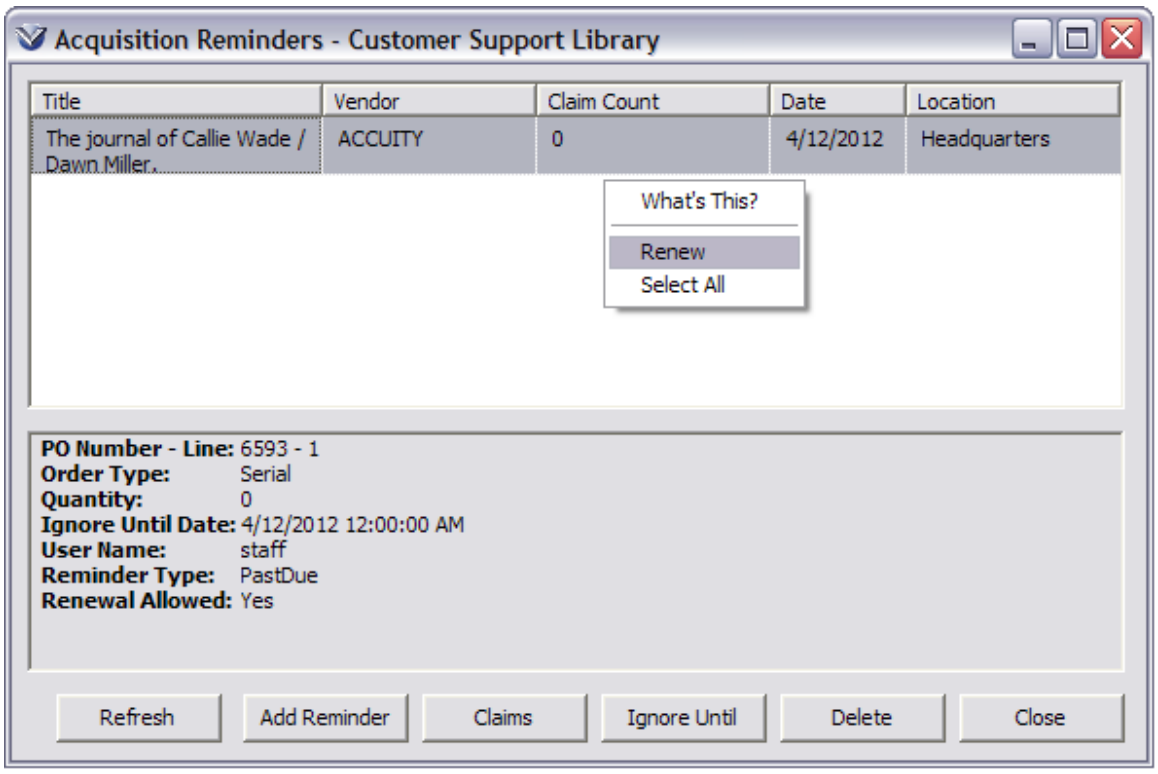
Add and Search for Renewal Reminders for Serials

The Vendor Record must be configured for the **Serial Order Renewal Reminders** to be added and searched. In the Vendor Record find and configure the **Serial Order Renewal Reminder tab**.

To obtain the Vendor Record in the Virtua Client from the **Acquisitions** tab drop down menu: Vendor Search: Edit Vendor.



Once this is configured the **Serial Order Renewal Reminders** are searchable by using the **Serials Order Renewal Reminders** radio button on the **General Reminders Request** window. From the **Acquisitions Reminders** window that appears as a result of this search, a serials order can be renewed via the **Renew** right-click menu option.



For **Serial Order Renewal Reminders**, the Date column and Ignore Until Date field contain the date that the order line's subscription is eligible for renewal.

Two new options have been added to the right-click menu for the **Acquisition Reminders** window:

- Select All - Selects all reminders on the **Acquisition Reminders** window.
- Renew - Displays the **Serial Order Renewal** window with the order lines for the selected reminders listed. This option will only be enabled when all of the selected reminders are **Serial Order Renewal** reminders.

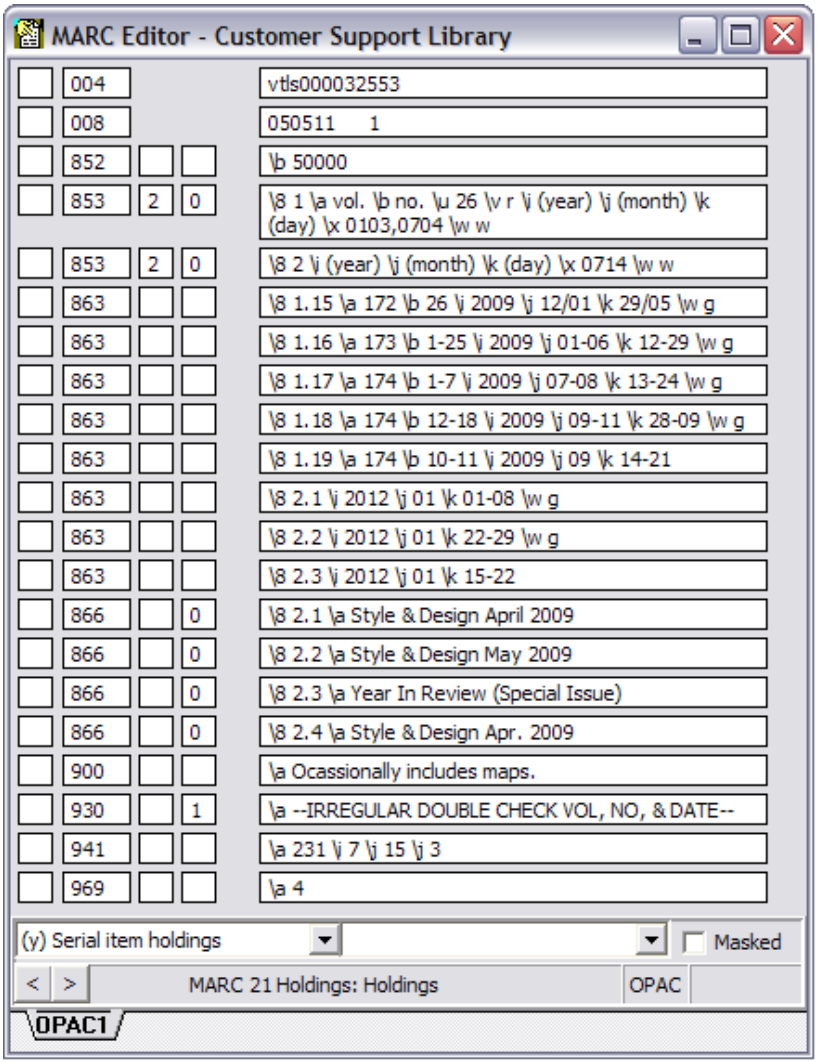
Claim Serials Issues

The function of claiming in **Virtua Serials Control** is used to claim a specific *Expected* issue that has not been received. The process has two components, it:

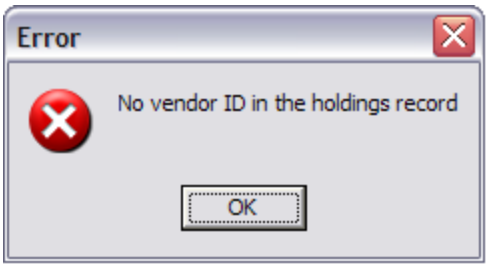
- Identifies library purchases that have not been received from the vendor by an expected date, taking into account a specified grace period, and
- Allows the library to generate claim letters to notify the vendor of the situation.

Virtua can process serials claims for any *Expected* issue, as long as there is a 941 tag in the **Holdings** record with the following characteristics:

- A valid vendor-ID in the subfield $**a**
- A value in the claim interval subfield $**i**
- A value in the reclaim interval subfield $**j**
- A maximum claim count value greater than 000 in the subfield $**k**
- In addition, the vendor referenced in the 941 tag must have a claim method set in the **Acquisitions Info.** tab of the vendor record. Currently the only available method of claiming is Print.



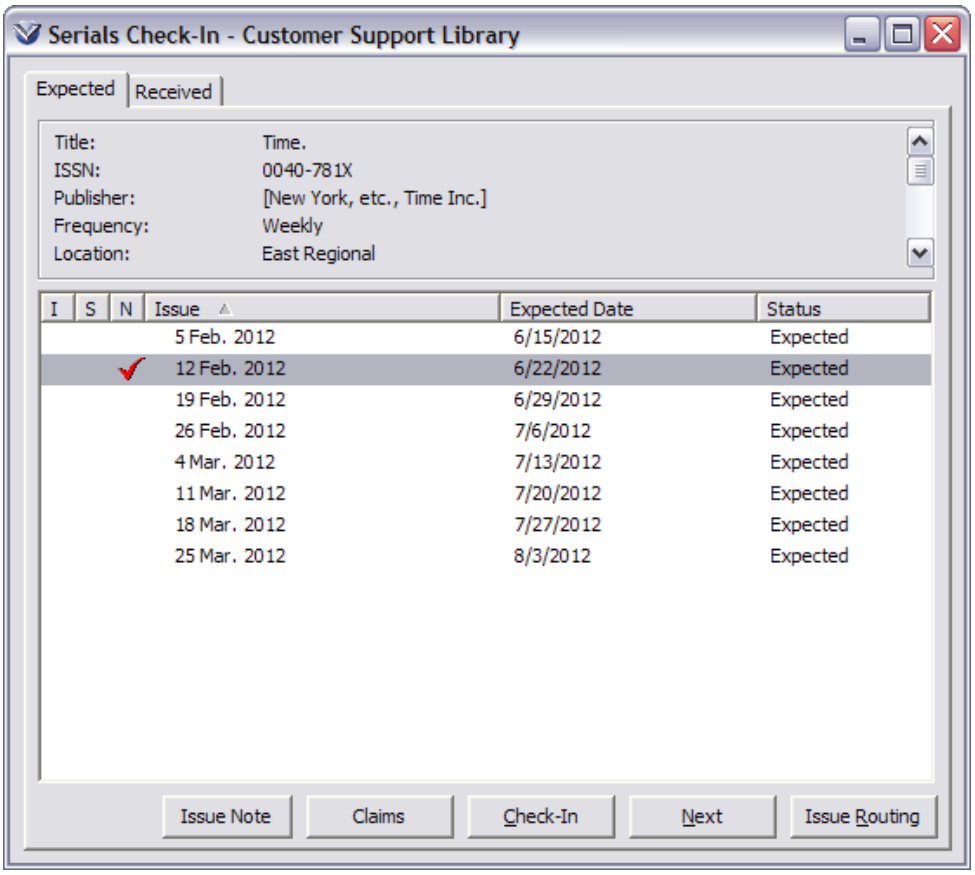
If a 941 tag does not exist, the following error message is generated when attempting to create a claim.



Claim Individual Issues

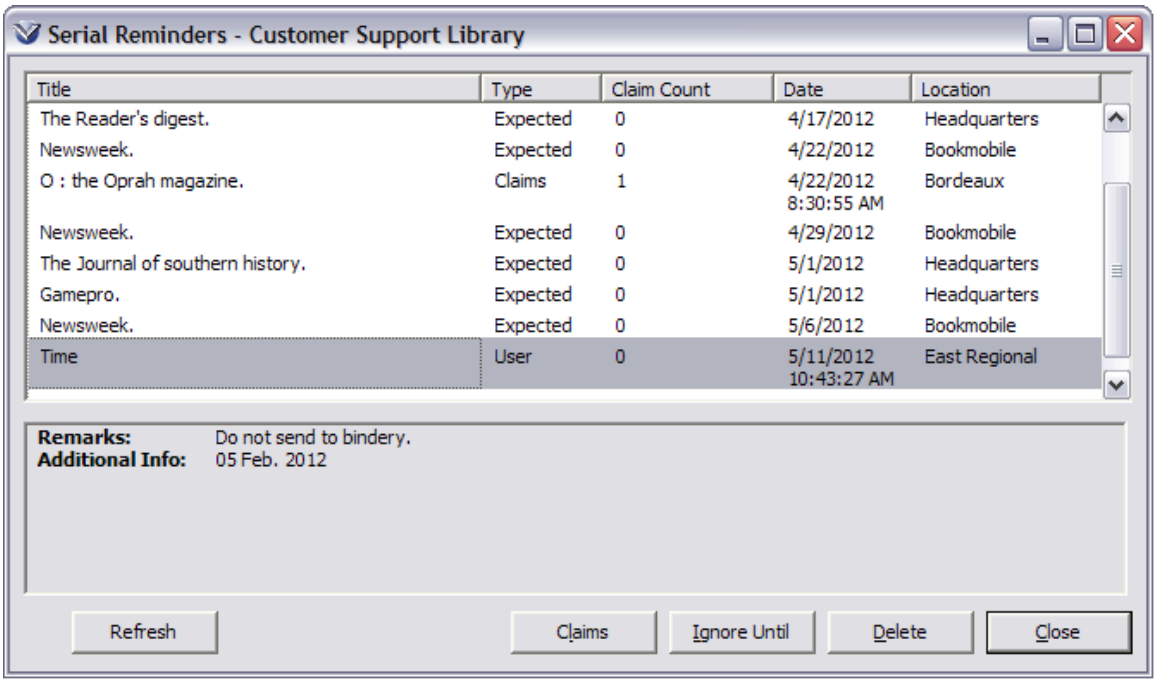
You can claim serials one of two ways:

From the **Serials Check-In** window, highlight the issue that needs to be claimed. Click the **Claims** button.

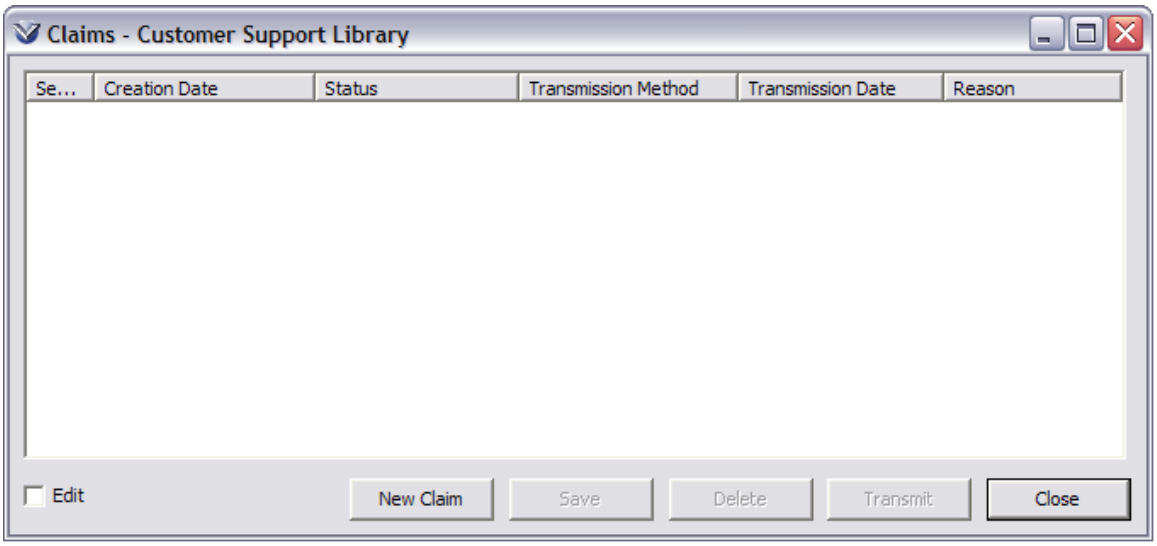


OR

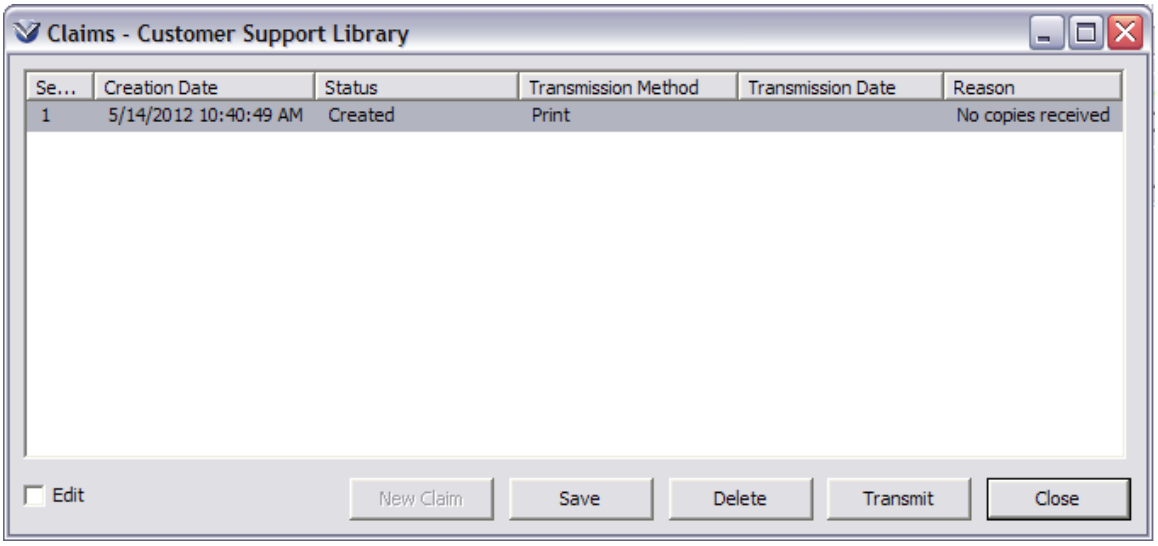
From the **Serial Reminders** window, highlight the reminder for which you want to view/add a claim. Click the **Claims** button.



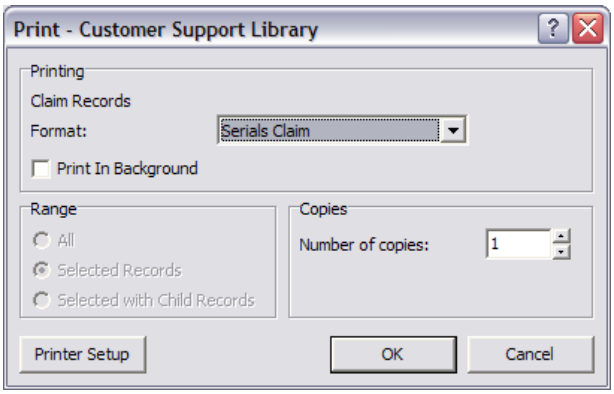
From the **Claims** window click the **New Claim** button to add a claim. Or, if accessing the Claims window through the **Serials Reminders** window, view or add a claim for the serial issue linked to the selected reminder.



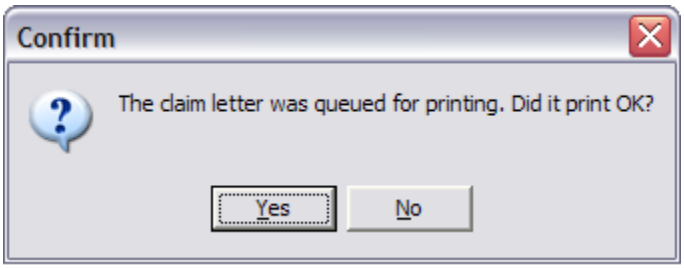
After a claim is added, click the **Transmit** button to print a claim letter. The Print window will appear.



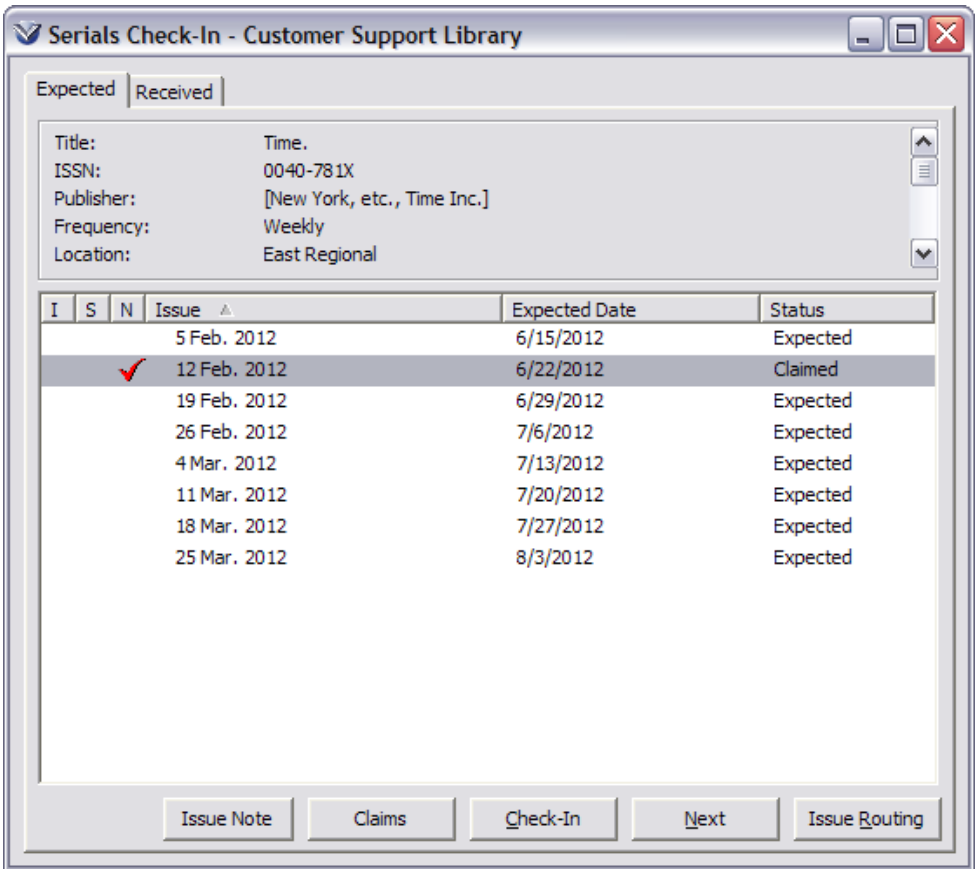
Note: If you try to create a new claim when a claim already exists at the status *created,* the software will return an error, informing you that you must transmit the existing claim before you can create a new one for this item/serial issue.



You may cancel the printing but you must click **OK** to confirm transmission of the claim for the status to change from expected to claimed.



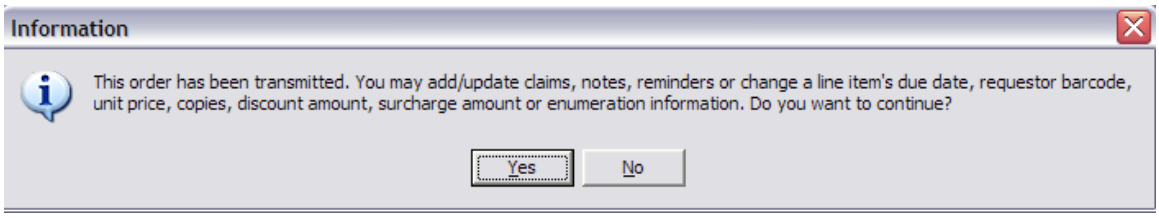
The issue status changes to Claimed on the **Serials Check-**in window.


Serials Check-In - Customer Support Library
Expected
Received
Title: Time.
ISSN: 0040-781X
Publisher: [New York, etc., Time Inc.]
Frequency: Weekly
Location: East Regional
I
S
N
Issue
Expected Date
Status
5 Feb. 2012 6/15/2012 Expected
12 Feb. 2012 6/22/2012 Claimed
19 Feb. 2012 6/29/2012 Expected
26 Feb. 2012 7/6/2012 Expected
4 Mar. 2012 7/13/2012 Expected
11 Mar. 2012 7/20/2012 Expected
18 Mar. 2012 7/27/2012 Expected
25 Mar. 2012 8/3/2012 Expected
Issue Note
Claims
Check-In
Next
Issue Routing

Modifying Claims

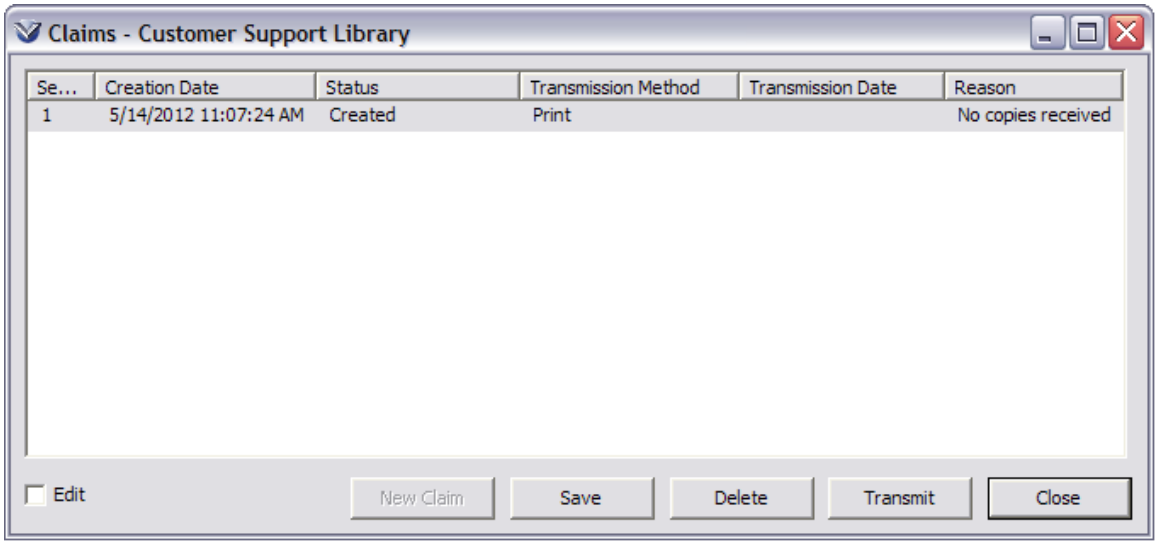
You can modify the following fields/elements: number of copies, unit price, due date of a line item, requestor barcode, discount amount, surcharge amount, and enumeration/chronology information (start subscription date, end subscription date, and cancel date).

For a transmitted order, when you select the **Acquisitions → Orders → Update** function, Virtua displays the following **Information** dialog box:

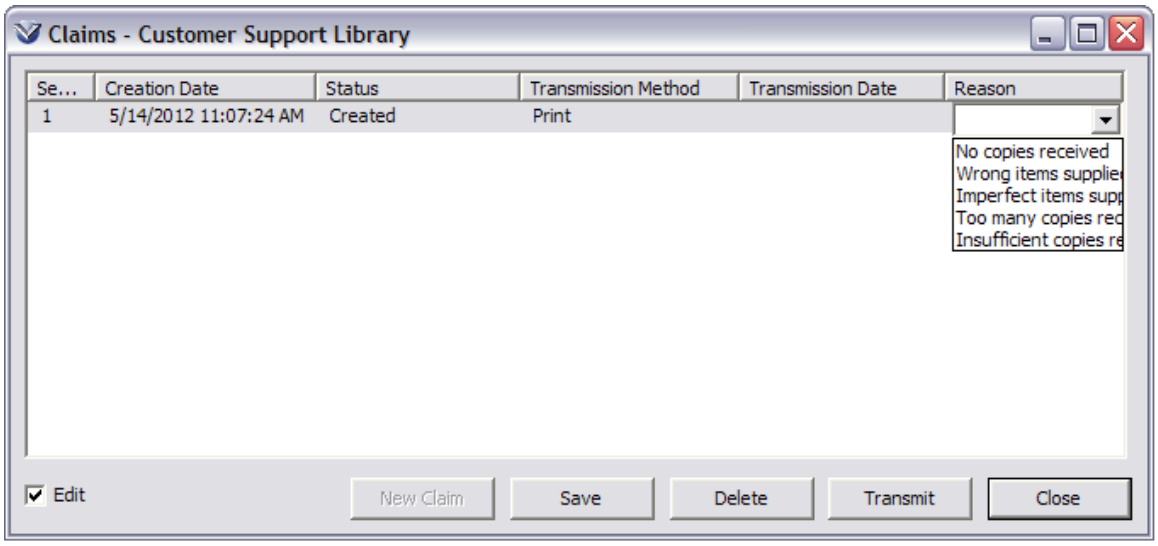


Virtua supports acquisitions and serial claims for damaged items and wrong items.

The **Claims** window in the Virtua client has a **Reason** column and **Status** column to let staff users keep track of why a claim was placed and the status of the claim. The default system "reason" is *No copies received*.



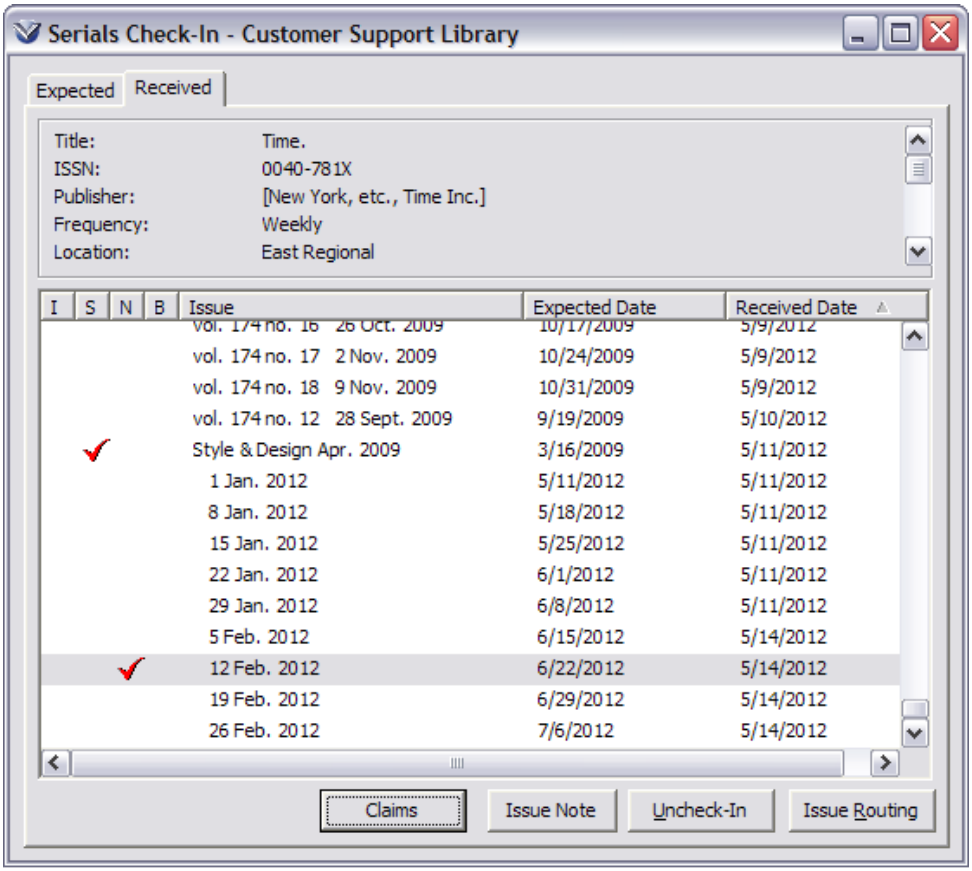
There is an **Edit** check box on the **Claims** window. When selected, the **Edit** check box will enable drop-down lists that let you update the **Reason**, **Status**, and **Transmission Method** fields.

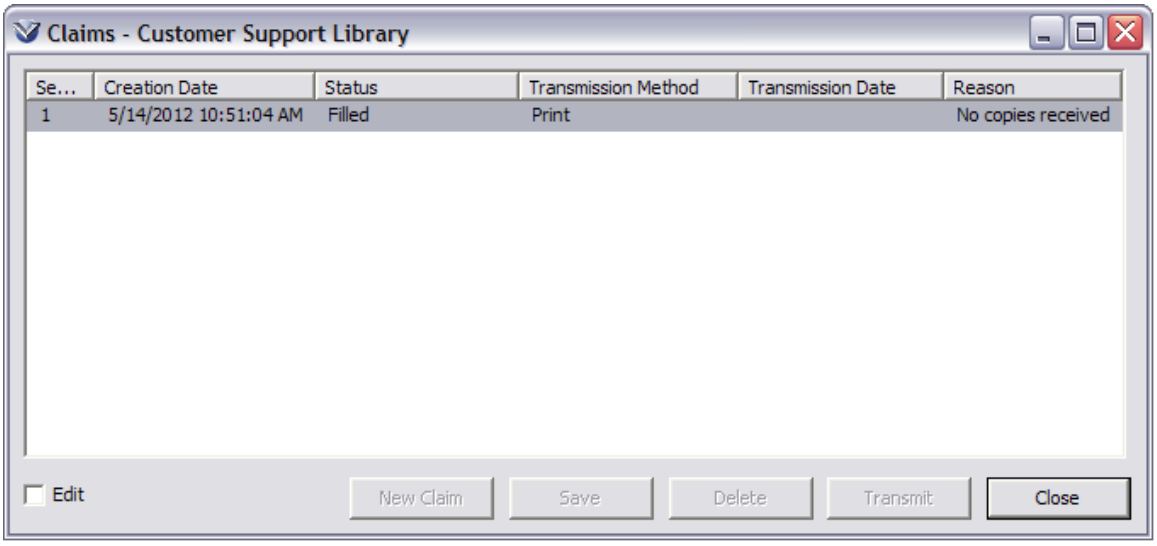


Note: All the Claims statuses are system defined.

To preserve claim history and to allow claims for damaged items to be added, acquisitions and serial claims will not be deleted when an order line or issue is received satisfactorily; instead, those claims will acquire the status of *Filled*. In addition, acquisitions claims will not be deleted when purchase order cancellations are sent; instead, those claims will acquire the status of *Canceled*.

Use the **Claims** button on the **Received** tab of the **Serials Check-In** window to view old claims for the selected issue and add a new claim for a wrong issue.





- The templates used to send claims via mail and e-mail contain a **claim reason** field.
- For serial claims sent via EDIFACT, the corresponding EDI code of the claim reason will be sent in the EDIFACT message.

Delete Claims

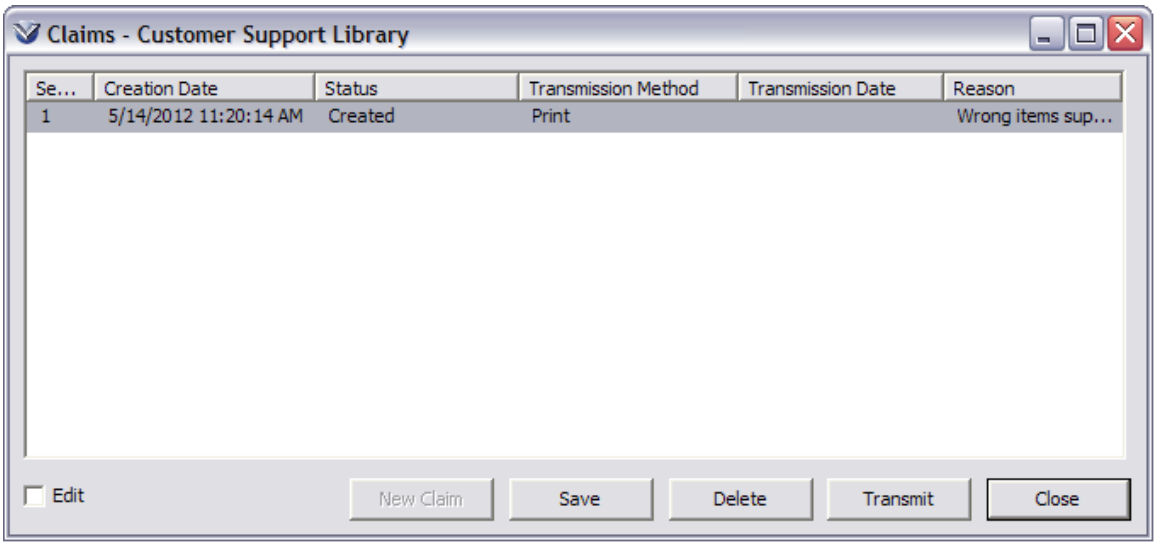
When a purchase order or a serial issue is received, Virtua automatically deletes any claims associated with the order or issue. But you also have the option of deleting claims manually.

You can delete a claim only if the claim *has not been* transmitted to the vendor, i.e. has the status of CREATED.

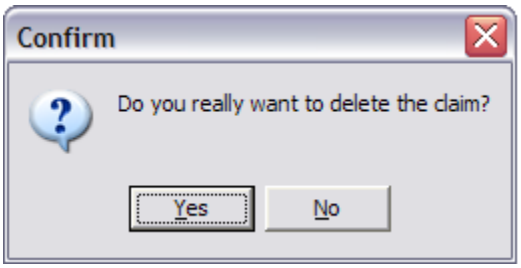
To delete a claim:

On the **Claims** window, select the claim you want to delete.

Click the **Delete** button.



The software asks you to confirm the deletion.



Click the **Yes** button to confirm the deletion.

Batch Claims

Claims can be generated for expected serial issues, i.e., issues that appear on the **Expected** tab of the **Check-in** window. When an issue is created, a Check-in Expected Reminder is also created. When the batch claiming job (autoClaim) is executed, a claim with the status Created is created for each serial issue with a Check-in Expected reminder where:

- The *Ignore Until* reminder date is earlier than the date specified in the batch job;
- The Maximum Claims fixed field of the holdings record is greater than 000; and
- The latest claim for the issue has a claim number lower than the value in the Maximum Claims fixed field (a Virtua fixed field) of the holdings record.

If the associated holdings record contains a 943 tag subfield $a (used to specify the order location), that value will be used to determine the location when transmitting claim in batch.

Issue Serials Claims in Batch Mode

Log in to your UNIX server as **dbadmin**.

At the database prompt, type **autoClaim** to see the following options:

Type:

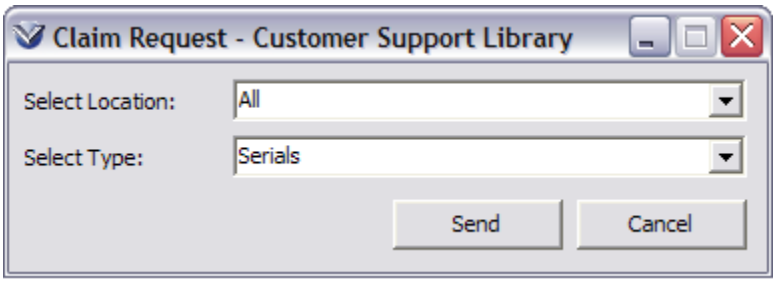
1 to claim serials
2 to claim acquisitions
0 to claim all

At the database prompt, type: **autoClaim 1**

Press the **Enter** key to run the script.

Transmit Outstanding Claims by Location and Type of Claim

Select **Acquisitions → Claims → Transmit Claims** from the Menu Bar. The **Claim Request** window will appear.



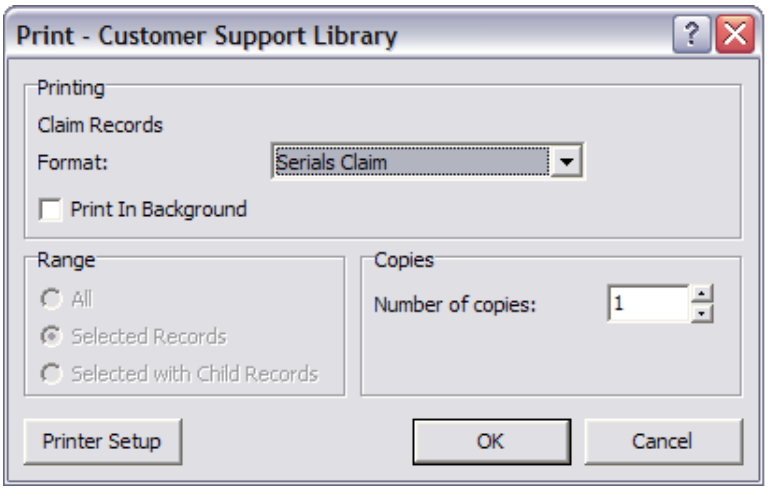
Click on the **Select Location** drop-down list box to select a location.

- ***If*** the location is a main location, claims for that main location and sublocations are sent.
- ***If*** the location is a sublocation, only claims for that sublocation are sent.

Note: Location is determined by the value in subfield $a of the 943 tag of the holdings record.

Click on the **Select Type** drop-down list box to choose Serials.

Click the **Send** button. The **Print** or **Email Records** window will appear.



Complete the fields in the **Print** dialog box or the **E-mail Records** window and Click **OK**.

The software will display a message, telling you how many vendor letters were queued for printing and asking if they printed/e-mailed OK.

Click **Yes** to transmit all claims. The **Print** dialog box will appear.

Click on **OK** to print all outstanding claims.

Note: After printing all claims, the system returns the message: *There are no outstanding claims to transmit*. This merely means that there are no ***further*** claims for Virtua to transmit; all claims have now been transmitted.

Appendix A: Definition of Key Terms

969 Tag: Bindery notification uses the 969 tag subfield a, of the MARC Holdings record to indicate how many issues are in a bound volume.

852 Tag: Location information is required for holdings records. The location value is stored in subfield b of the 852 tag.

Active 852 Tag: When there are multiple 852 tags in a holdings record, the one occurring last in the record is considered the "active" 852. The active 852 tag reflects the active location for the holdings, i.e., the location where newly received issues are located.

Active 853 Tag: When there are multiple 853 tags in a holdings record, the 853 tag with the highest value in $8 is the active tag for serials check-in.

Bib-ID: The Virtua control number in the MARC bibliographic record that is associated with an item record. The item record can be linked directly to a bibliographic record or it can be linked to a holdings record, which is then linked to a bibliographic record. In the first case, this bib ID is also the parent ID for the item record.

Bindery control: Function that track issues that should be sent to the bindery. There are three main aspects to bindery control: binding reminders, bindery displays on the Serials Check-in window, and the Bindery Pull List report that generates a list of serial issues ready to be pulled for binding.

Chronology: Information in the 853-855 tags of a holdings record which indicates the amount of time between publications of serial issues.

Claim Interval: The period between the Ignore Until Date and the date when a claim is issued. The claim interval is stored either in $i in the 941 tag of the holdings record or in a parameter setting in Serials parameters in the VSC.

Claiming: A library's demand to a serial subscription agent for delivery of an overdue issue. The decision to issue an automatic claim is based on several values and settings.

Compress holdings: The process of combining multiple 863 tags into one 863 tag in order to create more concise holding records.

Enumeration: Values stored in the 853 tag of the holdings record that describe the way in which a serial is divided. For example, volume, issue, and/or part.

Enumeration and Chronology Captions: Values stored in the 863 tag of the MARC holdings record that are linked to the captions created in the 853 tag. These values/captions specifically identify a volume or a piece. This information can be either free-text or in subfields as described in the MARC 21 Concise Holdings Format.

Expected Issue: A serial issue that is expected on a specified date based on the prediction pattern established in the 853 tag of the holdings record.

Gap Issue: A serials issue that is not received until ***after*** at least one subsequent issue has been received; creating a "gap" in the holdings record. The gap creates multiple 863 tags in the holdings record that need to be combined once the gap issue is received.

Holdings-level Routing List: routing list that applies to all issues of a serial that have been checked in.

Holdings Notes: A public or non-public note related to serials functionality that is stored in a 9XX field of a holdings record and is accessible from the **Check-in** window.

Indexes: defined and stored in 855/865 tags.

Irregular Publication Pattern: A publication pattern where either the enumeration or chronology is so irregular as to make it impossible to accurately predict future issues.

ISSN: International Standard Serial Number

Issue-specific Routing List: Routing list that applies to a specific issue that has been checked in.

Issue: Any copy of a specific serial published on the same date as part of the successive chronological sequence for the serial.

Item: A unique physical or virtual piece or entity, e.g., a book, volume of a journal, a roll of microfilm, etc. that is part of a library's collection.

Item Record: A database record in 2709 MARC Communications format that describes a physical or virtual piece. The description includes copy and volume, item class, barcode number, location, circulation rules, circulation statistics, and status.

Item-Level Call Number: A call number that appears on an individual item record (and
correspondingly, on an actual physical item). An item-level call number is specific to an item. Libraries use this type of call number, which has a different call number for each item, when they want to uniquely identify multiple item records associated with a single bibliographic record, (see also *Call Number*).

MARC Holdings Record: The MARC 21 Concise Format for Holdings Data can be used to describe serials or monographs (single volume or multi-volume). In Virtua, a holdings record is used primarily to describe serials and multi-volume monographs. Virtua typically uses an "item" record, instead of a holdings record, to describe single-volume monographs. However, it is possible to use holdings records for single volume monographs if the information stored in an item record is not sufficient to describe the item.

Prediction Patterns: The MARC21 Concise Format for Holdings Data supports the storage of coded data. The primary functions of serials control such as predicting issues rely on the coded data in the holdings record, so in creating holdings records you must include this data. Basic bibliographic units such as volumes, numbers, and dates are defined and stored in 853/863 tags.

Publication Patterns: The regular (or irregular) intervals in which a serials is published.

Received Issue: An expected serial issue that has been checked in. Upon checkin the status is changed from Expected to Received.

Reclaim: A claim for a serial issue with a claim number greater than 1, (a serial with a claim number of 1 can only be claimed once). You can issue a reclaim interactively any time after the first claim was issued. If a claim has already been generated, Virtua automatically knows to issue a reclaim based on either the reclaim interval in the 941 tag of the holdings record or a Serials parameter setting

Reclaim Interval: The number of days after a claim date that a claim is reclaimed. The value can be stored in $j of the 941 tag in the holdings record. If no value is stored there, the system uses the default value set in the Serials parameters in the Virtua Profiler.

Regular Issue: An issue that is part of the regular prediction pattern for the serial.

Regular Publication Pattern: A publication pattern where the enumeration and chronology can be specifically identified and routinely incremented without exception in predicting issues.

Routing List: used to circulate serial issues to a set of patrons. Each patron (or routing destination) on a routing list must have a patron record in the database.

Serial: A continuing resource issued in a succession of discrete parts, usually bearing numbering that has no predetermined conclusion. Serials include annual reports, continuing directories, electronic journals, magazine, monographic series and newspapers.

Serials Check-in Expected Reminder: A reminder (for an Expected issue) whose expected date has been reached or has passed.

Serial Check-in Record: The record of Expected and Received issues for a given serial subscription.

Serials Claim Expected Reminder: A reminder (for an Expected issue) whose claim date (as defined in the 941 tag of the holdings record) has been reached or passed.

Serials User Defined Reminder: a free text box that can be used to create a user defined reminder.

SICI Barcodes (Serial Item and Contribution Identifier): Barcodes that are printed on the journal cover which contain issue specific information. Virtua supports the use of these barcodes to check-in serials.

SICI Check-in: The process of checking-in a serial issues by scanning the SICI barcode.

Special Issue: a serials issue that is in addition to regular expected issues and therefore fall outside of the prediction pattern. Special issues can added using the Add Special Issue dialog box from the holdings record window, or by adding the information to the 866 tag of the holdings record.

Supplements: supplemental material accompanying serials issues are defined and stored in 854/864 tags of the holdings record.

Textual Holdings Record: The USMARC Format for Holdings Data provides three fields for storing free-text holdings information. These fields are a) 866 (for bibliographic units), b) 867 (for supplements), c) 868 (for indexes).

Appendix B: InfoStation Reports for Serials

Serials Report Group	Notice	Function
Bindery Pull List	N	List of all serial issues at the *ready for binding* status.
Canceled Serials	N	List of serials subscriptions that have been canceled
Serials Acquisitions	N	List of recently acquired serials that meet the criteria set in the report configuration: locations, vendors, acquisition method, date range.
Serials List		List of serials filtered by location, vendor, acquisition method, or acquisitions status. This report can return information from the bibliographic, item, holdings, and vendor records.
Serials Snapshot	N	Summary of the serials statistics at the time you run the report.
Serials without Holdings	N	List of all serials bibliographic records that no not have holdings records attached.

Appendix C: Serials in a Consortium Environment

Holdings Records

In the consortium environment, bibliographic records are shared across institutions. Holdings records attached to bibliographic records are location specific and are displayed grouped by institution. When a user from one institution tries to edit a holdings record belonging to another institution, an error message appears when the user clicks the Edit button. The message alerts the user that the holdings record belongs to another institution.

Serials Check-In

In the consortium environment, if holdings records belonging to different institutions are attached to the same bibliographic record, staff will be able to check in serials only for those locations that are part of their institution.

- If the holding record belongs to the login location or the group of login locations that the user has permission to access, then the **Check-In** button will be active.
- If the holding record does not belong to the login location, then the button will not be active.

Serials Reminders

In the consortium environment, the **Location** drop-down list on the **General Reminders Request** window displays only those locations linked to the institution associated with the logged in user. If no location is selected for filtering, reminders will be generated for all locations belonging to the institution.

Appendix D: MARC Holdings Codes

The MARC holdings format is a complex, detailed format designed to accommodate a wide variety of descriptions and a number of functions within an automated environment.

Leader
The Leader is the first field of a holdings record. It is similar to the Leader in the bibliographic format. Codes within the leader indicate whether the record is for a "single part item" or a "multi-part or serial item", and which "holdings level" or level of detail is used within the record (levels range from 1 to 4, with 4 being the most detailed)

008 Fixed Field
This field includes, among others, codes to indicate the receipt for acquisitions status, method or acquisition, general and specific retention policies, completeness, lending policy, and reproduction policies.

852 Field (Location)
The 852 field includes location information, with the first indicator being coded for the "shelving scheme", which is usually the type of classification used, such as LC. Subfields are included for a location, sublocation or collection, location qualifiers, call numbers, call number prefix or suffix, piece designation, piece physical condition, and public and nonpublic notes. The use of multiple 852 fields for multiple copies of an item held at different branches solves a long-standing problem for multi-branch libraries using MARC records. Although the MARC bibliographic format does allow for multiple call numbers of the same type within bibliographic records, there has been no clear cut standardized way to show which call number had been used at each branch.

Captions and Pattern Fields (853,854,855 Fields)
The fields numbered 853,854 and 855 include captions and pattern information for basic bibliographic units, supplementary material, and indexes, respectively. Subfields \a through \f include numbers of volumes, parts, and so forth, of a publication, in increasing levels of specificity. Subfields \i through \l include the time period involved, in increasing levels of specificity, such as "1970" and "June". In most cases, one 853 field, which designates the captions and patterns, will be used with numerous 863 fields, in which are recorded the information for individual issues, volumes, and so on.

Textual Holdings Fields (866,867,868 Fields)

The 866, 867, and 868 fields include textual holdings information for the basic bibliographic unit, supplementary material, and indexes, respectively. Textual holdings information is free-text information (as compared to coded information in fields 863-865), which is input into one subfield. Free-text holdings information can be used in combination with other fields for display purposes or it can be used in place of other 8xx fields for display.

Note Fields (9xx Tags)
Virtua defines special uses for the 9xx note fields in the holdings record. For each 9xx tag, the value in the second indicator indicates whether the note is a public (1) or non-public (2) note. All notes fields except the 990 are repeatable. The tag numbers and their special uses are listed below.

Holdings Tag	**Label**
(90x)	General Holdings Notes
(91x)	Retention Notes
(92x)	Receiving/Handling Notes
(93x)	Check-in Notes
(94x - except 941, 942, 943)	Claiming Notes
(941) *subfield $a, subfields $i, $j, and $k are mandatory in a 941 tag. Subfield $m of the 941 tag is optional and contains the Subject Code selected on the Purchase Order window.*	$a Vendor-id $b Title Number of Issue / Vendor Title ID $c P.O. # $d Vendor Name $e Order Date $f Paid Through (1 = Publisher, 2 = Agent) $g Invoice Number $h Invoice Date $i Claim Interval $j Reclaim Interval $k Maximum Number of Claims $m Subject Code
(942) *Subfield $a of the 942 tag is required for serials EDIFACT claiming.*	$a Vendor Customer Account ID (assigned by the vendor)
(943) S*ubfield $a of the 943 tag is used for serials claim location filtering*	$a Order Location
(95x)	Routing Notes
(96x - except 961)	Binding Notes
(961)	Vendor-id for Binding
(97x)	Cataloging Notes
(98x)	Acquisitions Notes
(990) (Each line of the label is contained in a subfield $a.)	Shelving Label

853 MARC Tag Coding

Subfields are used to code for Enumeration and Chronology.

- **Enumeration:** volumes, issues, numbers, parts, sections
- **Chronology:** years, months, seasons, weeks, days

Example: A journal with monthly issues where the volume number changes in January is coded as follows

853 10 6.8 \a v. \b no. \u 12 \v r \i (year) \j (month) \w m \x 01

\a First level of enumeration
How the serial is counted or organized. Subfield \a represents the first level for counting. Most of the time a serial is organized into volumes, which appear as a number or year. In our example above, the first level is the volume; indicated by a *"v." i.e. volume* in the subfield \a.

\b Second level of enumeration
If a second level exists the 853 tag will have a subfield \b, if a third level exists, a subfield \c, and so on through subfield \f. In our example, the serial title is published in volumes and issue numbers; hence the "no." *i.e. issue number* in the subfield \b.

\i Year
The subfield "*i"* is used to code for the appropriate calendar year. The chronology for a typical serial title might be: year followed by month or season, then day, if applicable. *You will want to code year as \i (year).* This will allow the display on your check in window to appear as 2000 instead of the word "year".

\j Month, Week, or Season
This subfield is coded as "\j (month) \j (week) or \j (season), depending of course upon how the title is published. These are coded in the 863 with numerical values, i.e., 01=January, 02=February, up to 12=December. You may also have issues that are published with combined months, then you would code as "01/02" for Jan/Feb. This combination can be used for any months. Seasons also have numeric coding as follows: 21 = *Spring,* 22 = *Summer,* 23 = *Fall,* 24 = *Winter*

\k Daily
This subfield is used for coding daily publications. \k (day). Again, we must note that the day must be enclosed in parenthesis so that the value for the day will appear rather than the word "day"

\u Bibliographic units

In the above example, there are 12 issues in the volume. Since our example depicts a monthly pattern, there would logically be 12 issues in a volume. So the subfield "\u" is coded with a 12 to alert the system to expect 12 issues to be counted as noted in the "\b" subfield.

\v Volume restarts or continues

Tells the system to continue counting the issue numbers forever, or to restart the volume number when the number represented by the \u is satisfied. The example is coded for a monthly, and the \u displays a 12. In order for a volume to restart, the subfield \v is coded \v r. If the issue numbering does not start over with a fresh volume, the subfield \v would be coded \v c to denote a continuous volume. This indicates to the system that the volume number remains the same regardless of the year change until the pattern is altered at a future date.

\ w Frequency

This is one of the very most important subfields. Predictive check in will not work unless this subfield is coded correctly. Exact codes used in the Serials Bibliographic MARC Format for the fixed field freq.: apply here. Using our example presented earlier, we have coded for monthly as displayed in the subfield \w m. Other examples might include \w b for bi-monthly or \w s for semi-monthly. Note with each of these examples, you will have a different value in the "\u subfield".

NOTE: frequency is the \w for the number of issues published in a predictable schedule in a calendar year: \u is for the highest number of issues you expect for the frequency. A volume can change several times in any given year and the value of the "\u" can a become completely different from the number or the value for "\w".

\x Calendar change

This subfield is used to track the calendar year changes, and is also an important coding element needed for predictive check-in. Calendar change is the month when the publications' enumeration and chronology both increment to the next number. When the value in the subfield \x is reached, the software reads the \u, \v, & \w and then rolls over as necessary. In other words, if you have a monthly, the new volume and year will usually increment in January, from volume 16, no. 12, December 1999 to volume 17, no. 1, January 2000. This is expressed in the same numerical coding as \j (month), i.e., 01=January.

Note: Subfields X and Y work together to anticipate expected issues.

\y Irregularities

This subfield codes for irregularities in the publishing pattern. When you see the " \y" in a serial holdings record, someone has spent a lot of time figuring out the pattern.

A subfield \y is used for the following conditions:

- There is a numeric value in \w (frequency)
- There are combined months (Jan/Feb, Oct, Jan)
- There are combined issues (2/3 Feb; 4/5 May/June)
- There are combined (crossover) years

This subfield \y is either coded numerically, i.e., \j (month) or \j (season). You may also need to code for the days of the week (mo,tu,we). When coding the subfield " \y", we use a "p" after the " \y". An example might be "\ypm to indicate published in months. Another example might be "\yps" for published seasons. A \ypd indicates published daily.

Example:

\av. \b no. \u4 \v r \i (year) \j (month) \w 4 \x 03 \ypm 03,04,09,10
(A title published 4 times a year, by season, starting in spring)

\a v \b no \u 3 \vr \i (year) \j (season) \w 3 \x 21 \yps 21,23,24
(A title published 3 times yearly, by season, starting in spring)

863 MARC Tag Coding

The 863 tag generates output based on what is set up in the Captions and Patterns of the 853 tag. Any related alphabetical subfields for enumeration and chronology, (subfields a, b, subfield \i and \j), must precede the specific volume, issue, year and month in the 863. Otherwise, the software will only display various unconnected numbers on the holdings window, which would be confusing to patrons looking at the OPAC window.

The 863 tag is a full description of a single issue. A user must code for the volume, issue number, year and month. Here is a typical example:

853 Tag

\8 10 12 \a v. \b no. \u12 \v r \i (year) \j (month) \w m \x01

863 Tag

\8 10 12.1 \a 1 \b 1 \i 1996 \j 01

The Window displays:

v.1 no. 1 Jan 1996

You must enter a \8; the MARC standard requires this subfield for the purpose of linking the 853 and 863 tags. The value of 12 after the 853 tag and the 12.1 of the 863 tag represents the Link and Sequence number, respectively. This linking allows these two subfields to represent a matched pair. The 853 \8 12 begins the link and the 863 12.1 is the first sequence, or the first 863 tag related to this 853 tag. As new serials issues get checked in, the 863 tag is updated. When a full volume/year is completed, then a new 863 tag is created, displaying as 863 12.2.You place the 863 tags in any order you wish.

You will notice numbers following the 853 and 863, numbers like 10,20, and 40. These are of course, the indicators. These numbers have to do with whether the information in these fields are compressed or expanded.

A compressed statement would be:

v. 1-30 1966-1996

An expanded form would be the same holdings but coded in individual 863s:

v. 1 no. 1-4 Mar-Dec 1995
v. 2 no. 1-4 Mar-Dec 1996

A user would find it most difficult to go into every variation that can be coded in the Indicators because the indicators mean different things when used for the 853s than for the 863 tag. The first and second indicator values also mean different things

The 853 indicators describe the state of the information in the 863. For instance, whether the existing 863s may be compressed or expanded. This does not necessarily mean they are, just that they can be. The second indicator describes whether the serial is in hand ("0") or by degree ("1-3").

The 863 indicators describe the particular condition of the particular holdings statement, which is again, either compression or expansion, and other stuff depending on first or second indicator values.

Guidelines for Indicators

- 853s will have a 00 if all the 863s cannot be either compressed or expanded, as in annuals or anything less frequent.
- 853s will have a 10 if all the 863s are in compressed form
- 853s will have a 20 if all the 863s are in both compressed and expanded form
- 863s will have a 40 indicator if they are expanded

Again, the *Link and Sequence Number* represents a critical linking condition between the 853 and 863 combination. The 853 tag provides the captions and pattern, and the 863 is what reports that information. The system must contain a \8 or the holdings record cannot be saved to the database.

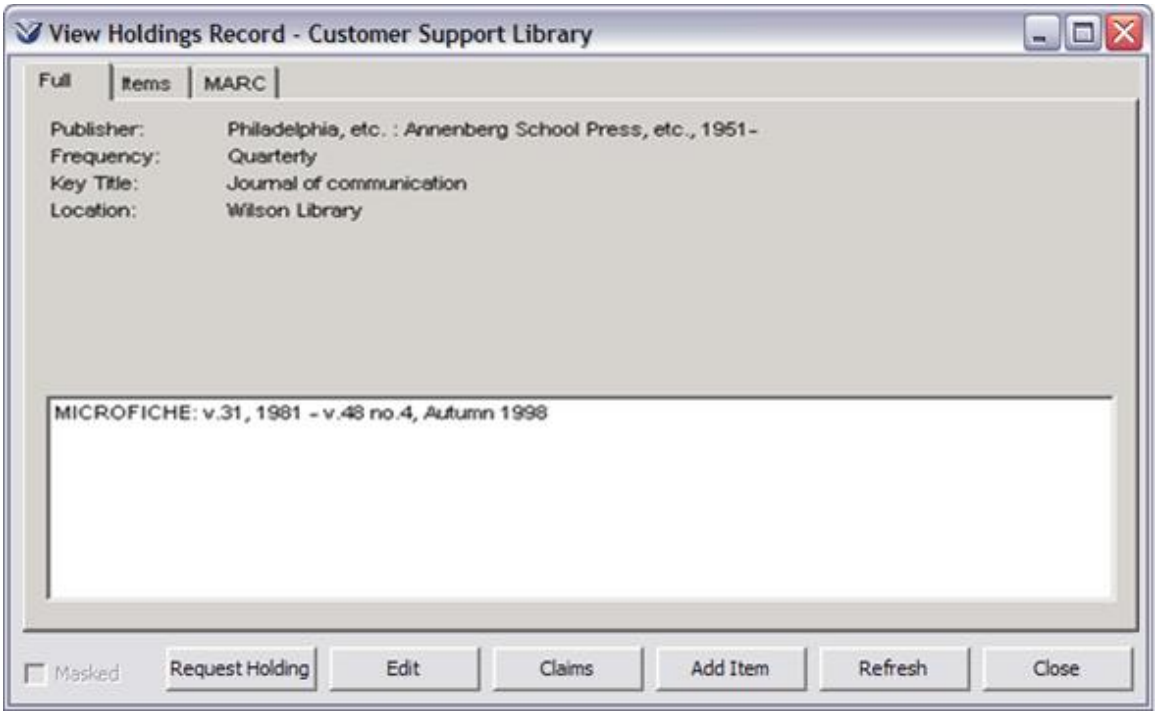
There is no limit to the number of 853's that may exist. Differing frequencies are common when working with serial titles. Virtua allows up to 99 - 863s that can be linked to one single 853. If you wish to create a new 853/863 combination, you have to pick another link and number sequence number, for example 9 and 9.1 and so on. You may require multiple 853 fields when linking records. The first 863 is used to report the summary holdings that are bound and in stacks. We would not bother with a subfield \x because we don't check in these bound issues anymore. A second 853 would be used to record current periodicals that need to be checked in.

Now to complete the coding for the new 863, the subfield \x must be reinserted to record the calendar change.

Display 863 Tag Data

If there is an 866 tag with a linking number of 0, the display of **ALL** 863 tag information is replaced by the display of the 866 tag information.

863			\8 8.1 \a 10 \b 1-4 \i 2001 \j 01-10
863			\8 8.2 \a 11 \b 1 \i 2002 \j 01
866			\8 0 \a MICROFICHE: v.31, 1981 - v.48 no.4, Autumn 1998



In the 863 tags,

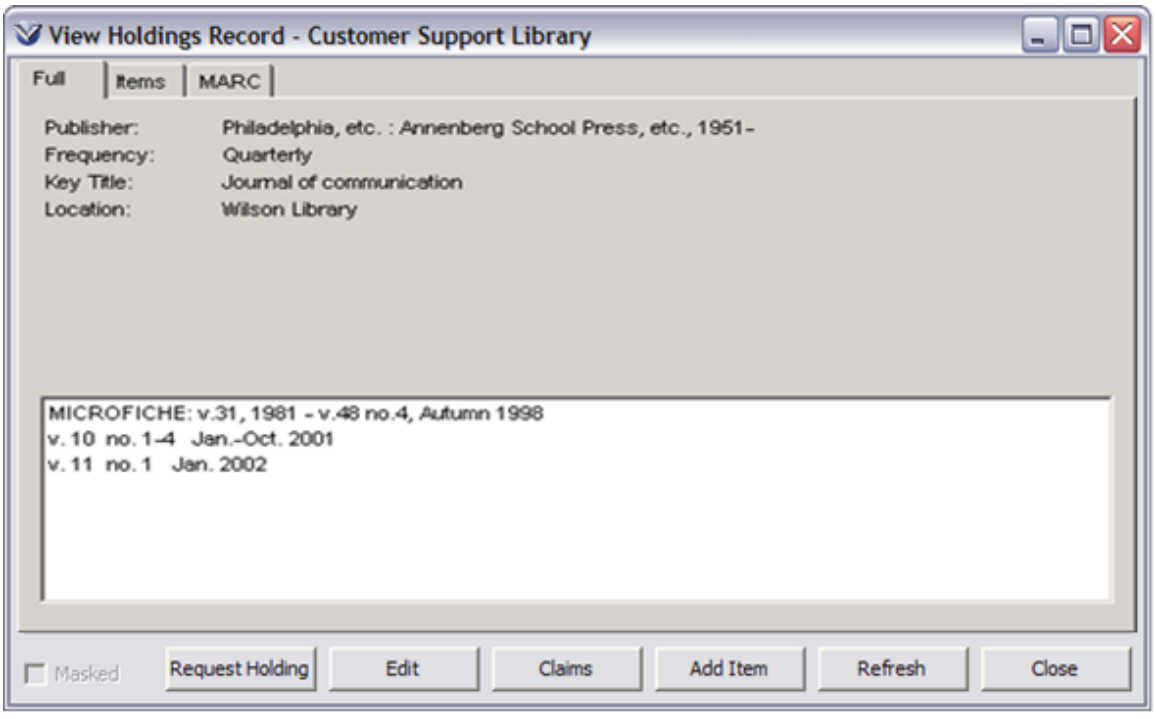
- ***If*** the 2nd indicator is 0, 1 or blank, or there is no \8, then the display from the 863 tag is generated.
- ***If*** the 2nd indicator is 2 or 3, the display is taken from the linked textual holdings information in the 866 tag if one exists.

An 866 tag is considered "linked" if the 866 \8 link and sequence numbers match the 863 $8 link and sequence numbers, or the 866 \8 link number matches the 863 \8 link number.

Example: For each 866 tag, if the \8 has a linking number that does not match the \8 linking number of any 863s or there is no \8, then the 866 tag data is displayed.

863		0	\8 8.1 \a 10 \b 1-4 \i 2001 \j 01-10
863			\8 8.2 \a 11 \b 1 \i 2002 \j 01
866			\8 1 \a MICROFICHE: v.31, 1981 - v.48 no.4, Autumn 1998

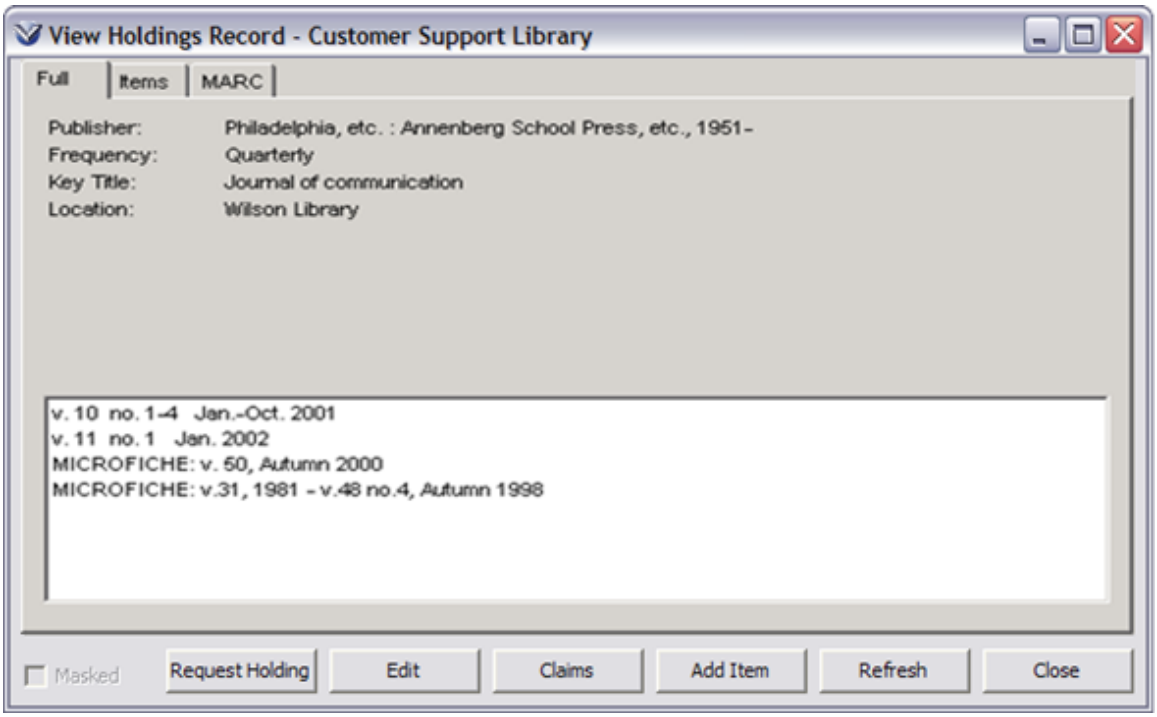
Displays as:



Example: If there are identical link and sequence numbers on pairs of 863/866 tags, the first tag occurring in the MARC record is displayed first.

863			\8 8.1 \a 10 \b 1-4 \i 2001 \j 01-10
863			\8 8.2 \a 11 \b 1 \i 2002 \j 01
866			\8 8.1 \a MICROFICHE: v. 50, Autumn 2000
866			\8 8.2 \a MICROFICHE: v.31, 1981 - v.48 no.4, Autumn 1998

Displays as:



Gap Issues

If you have an existing gap in the issues/volumes held, you must use the subfield \g, which is placed at the end of the 863 preceding the gap.

Example:

\a 1-6 \b 1-4 \i 1980-1986 \j 21-24 \w g

Note: If you check in a gap issue, the next issue you will check in will be one of the following:

- the next expected issue (no new 863 tag is created);
- an out of order issue that fills the gap sequence (will have to manually update the 863);
- another gap issue (a new 863 is added with a \w g to the old 863 tag)

Supplements and Indexes

Most users find that coding for Supplements and Indexes very straightforward compared to coding for regular periodical titles. These may be coded just like the 853/863 combinations. However, there is one difference. Virtua doesn't presently perform check-in on supplements or indexes, so many staff put them in a free text field.

- Supplements 854/864 or free text in an 867
- Indexes 855/865 or free text 868

Copy Patterns

Very often you will find that you may need to check in several copies of each serial title. This may be the case for new subscriptions as well as adding multiple copies of titles, which have been coming in for some time.

Once you create the first holdings MARC record including the 853 coding, then you should first test it for prediction accuracy. Once you are comfortable with the coding, then immediately copy the holdings record to create holdings records for as many copies as you have. Now, modify the 852 field and show the accurate copy number for each holdings MARC record. This ensures three things:

- The encoding pattern has been tested and will predict the next anticipated issue correctly
- You have saved time by copying, cutting & pasting from existing records
- This allows you to always know exactly which copy you are checking in or which copies have been previously checked in.

Appendix E: Serials Coding Examples (853 tag)

Published monthly, two enumerations:
\8 5 \a v. \b no. \u 12 \v r \i (year) \j (month) \w m \x 01

Published semiannual, with vol. beginning with spring:
\8 5 \a v. \b no. \u 2 \v r \i (year) \j (season) \w f \x 21

Published every two weeks on the same day.
One volume of 26 issues per year:
\8 5 \a v. \b no. \u 26 \v r \i (year) \j (month) \k (day) \w e

Published every two weeks on the same day.
13 issues per year and two volumes per year:
\8 5 \a v. \b no. \u 13 \v r \i (year) \j (month) \k (day) \w e

Published weekly on the same day.
13 issues per year and 4 volumes per year:
\8 5 \a v. \b no. \u 13 \v r \i (year) \j (month) \k (day) \w w

Published daily Mon thru Fri, but not published Sat or Sunday:
\8 5 \a v. \b no. \u 20 \v r \i (year) \j (month) \k (day) \w d \y od sa,su

Published semiannually with one volume per year:
\8 5 \a v. \b no. \u 2 \v r \i (year) \j (month) \w f \x 03

Published bimonthly with a single month on each issue:
\8 5 \a v. \b no. \u 6 \v r \i (year) \j (month) \w b \x 02

Published three times a year with one volume per year:
\8 5 \a v. \b no. \u 3 \v r \i (year) \j (month) \w t \x 02

Published monthly: Chronology only; no enumeration:
\8 5 \a (year) \b (month) \w m

Published 4 times a year: Chronology only; no enumeration:
\8 5 \a (year) \b (month) \w 4 \y pm 01,04,07,10

Chronology highest enumeration, with the numbers restarting each year.
After the 4th number, the year increments:
\8 5 \a (year) \b no. \u 4 \v r \w 4

Published twice a year: Chronology only, season, no enumeration:

\8 5 \a (year) \b (season) \w 2 \x 21 \y ps 21,23

Enumeration only, no chronology. Second level of enumeration can be alphabetic or numeric:
\8 5 \a v. \b pt. \u 4 \v r \w 4

Enumeration and chronology. Second level of enumeration can be alphabetic or numeric:
\8 5 \a v. \b pt. \u 4 \v r \i (year) \j (month) \w 4 \x 02

Published with one level of enumeration; chronology is year and season.
No subfield x means enumeration changes with each issue:
\8 5 \a no. \i (year) \j (season) \w q

Quarterly, 4 numbers per vol.; chronology is year and season, with vol. number changing with the summer issue, and year changing with the spring issue:
\8 5 \a v. \b no. \u 4 \v r \i (year) \j (season) \w q \x 22 \y ps21,22,23,24

Quarterly, 4 numbers per vol.; chronology is year and season, with vol. number changing with the fall issue, and year changing with the winter issue:
\8 5 \a v. \b no. \u 4 \v r \i (year) \j (season) \w q \x 23 \y ps24,21,22,23

Published four times during the school year with vol and no. as enumeration and year and month as chronology:
\8 5 \a v. \b no. \u 4 \v r \i (year) \j (month) \w 4 \x 09 \y pm01,03,09,11

Published 10 times per year, with only one issue for June/July and August/September:
\8 5 \a v. \b no. \u 10 \v r \i (year) \j (month) \w 10 \x 01 \y pm01,02,03,04,05,06/07,08/09,10,11,12

Published 8 times per year, 2 vols. per year.
Not published in April, June, August, or October:
\8 5 \a v. \b no. \u 4 \v r \i (year) \j (month) \w 8 \x 01,07 \y pm01,02,03,05,07,09,11,12
or
\8 5 \a v. \b no. \u 4 \v r \i (year) \j (month) \w 8 \x 01,07 \y om04,06,08,10

Published with one level of enumeration;
chronology is year and month, volume changes in May:
\8 5 \a v. \i (year) \j (month) \w m \x 05

Three levels of enumeration with vol., number, and alphabetic character.
Six numbers make a vol., and there is one volume per year
\8 5 \a v. \b no. \u 6 \v r \c (pt.) \u 2 \v r \i (year) \j (month) \w m \x 01

Published bimonthly with two months combined on each issue:
\8 5 \a v. \b no. \u 6 \v r \i (year) \j (month) \w b \x 01/02 \y pm01/02,03/04,05/06,07/08,09/10,11/12

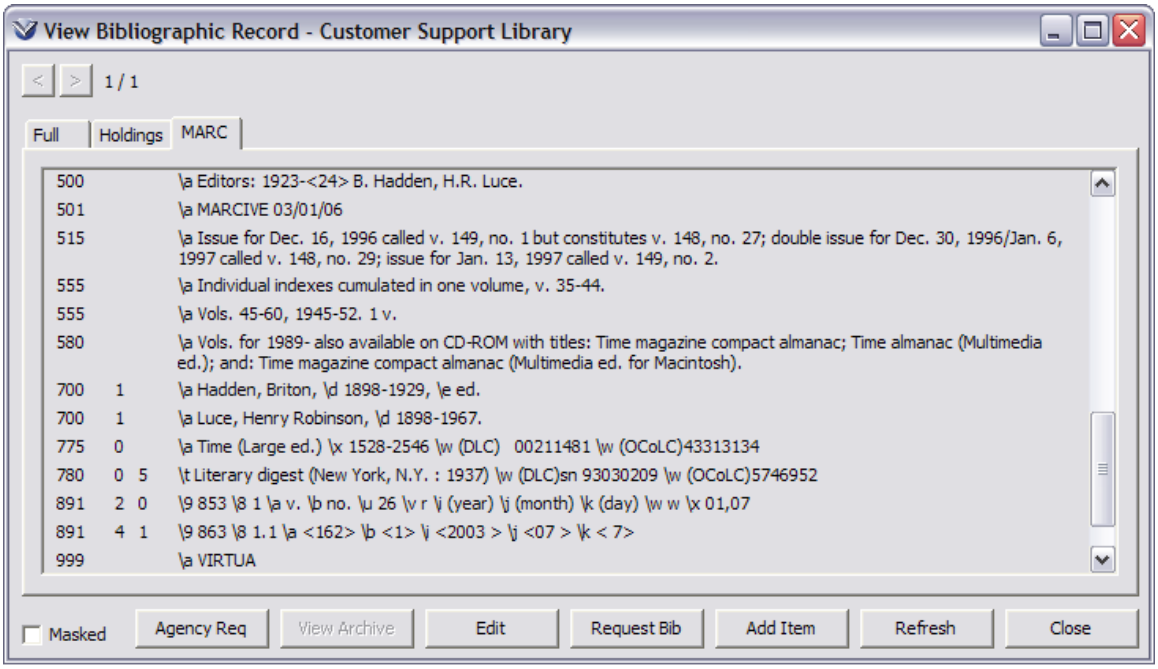
One level of enumeration, which is continuous,
and two levels of chronology, year and month.
Published bimonthly with two months combined on each issue:
\8 5 \a no. \i (year) \j (month) \w b \y pm01/02,03/04,05/06,07/08,09/10,11/12

Volume and number (with number restarting);
also has alternate continuous numbering:
\8 5 \a v. \b no. \u 6 \v r \g no. \i (year) \j (month) \w b \y pm01/02,03/04,05/06,07/08,09/10,11/12

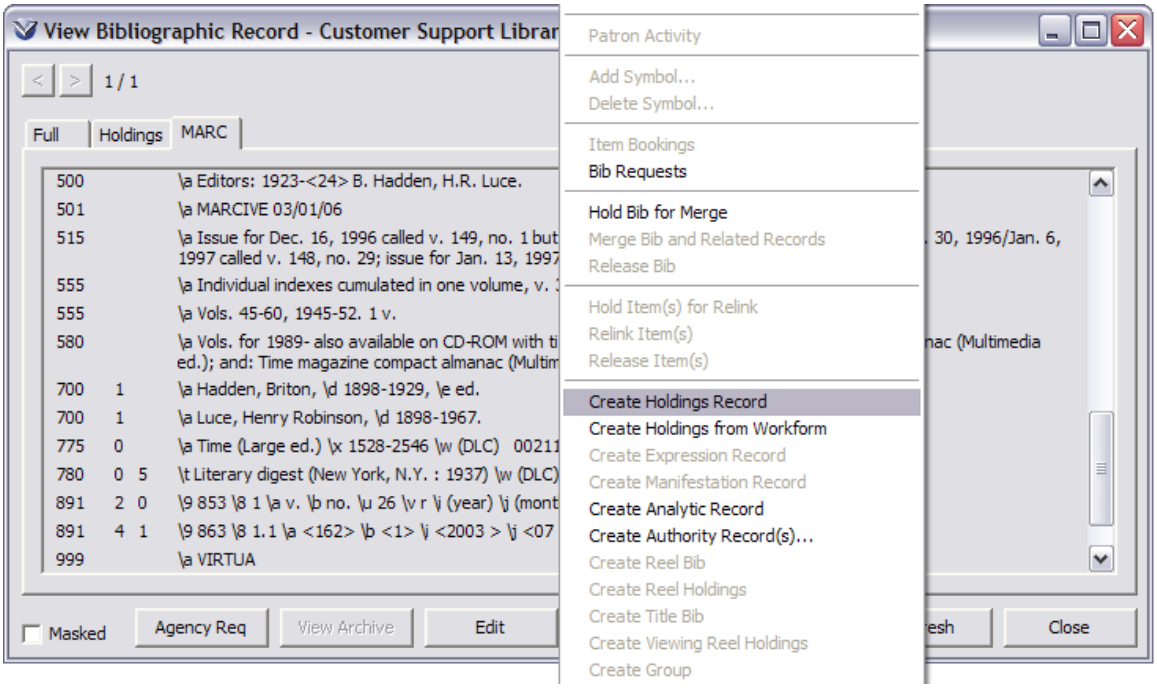
Appendix F: Serials Workflow with 891 Tag

Virtua utilizes serials coding pattern information from the 891 tag of the bibliographic record to streamline the creation of holdings records.

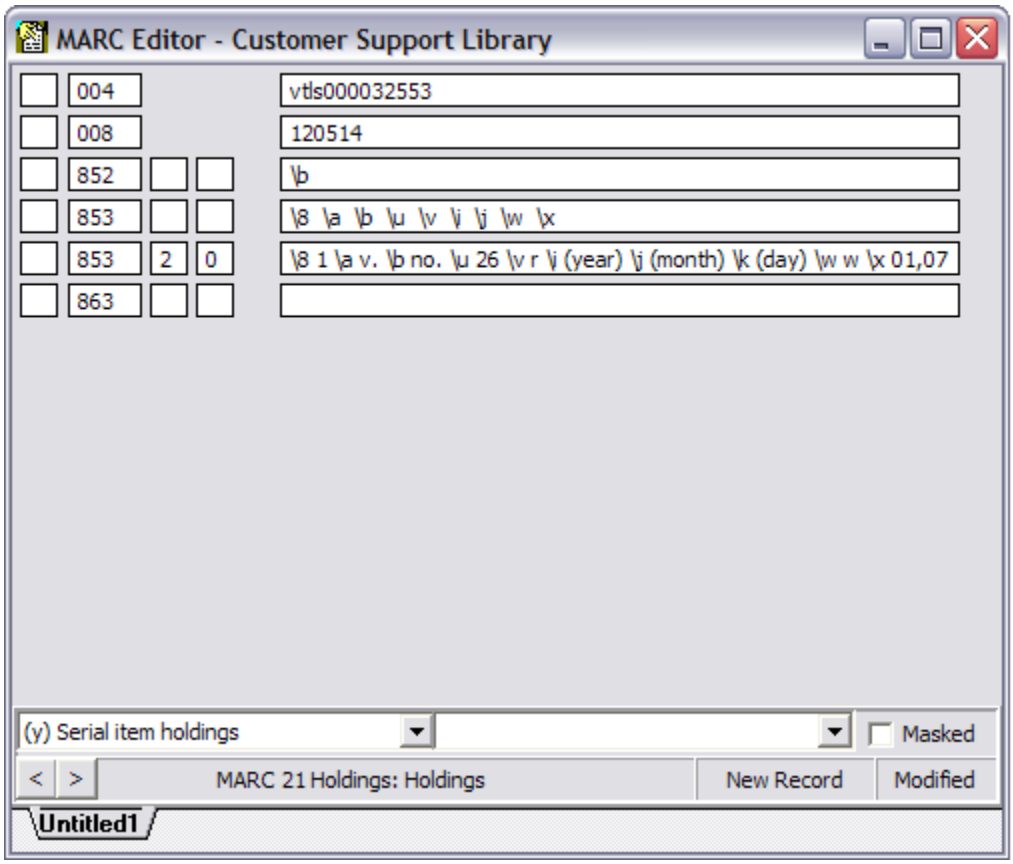
Open the bibliographic record in the **View Bibliographic Record** window.



Check to see if an 891 tag with serials coding pattern information exists.



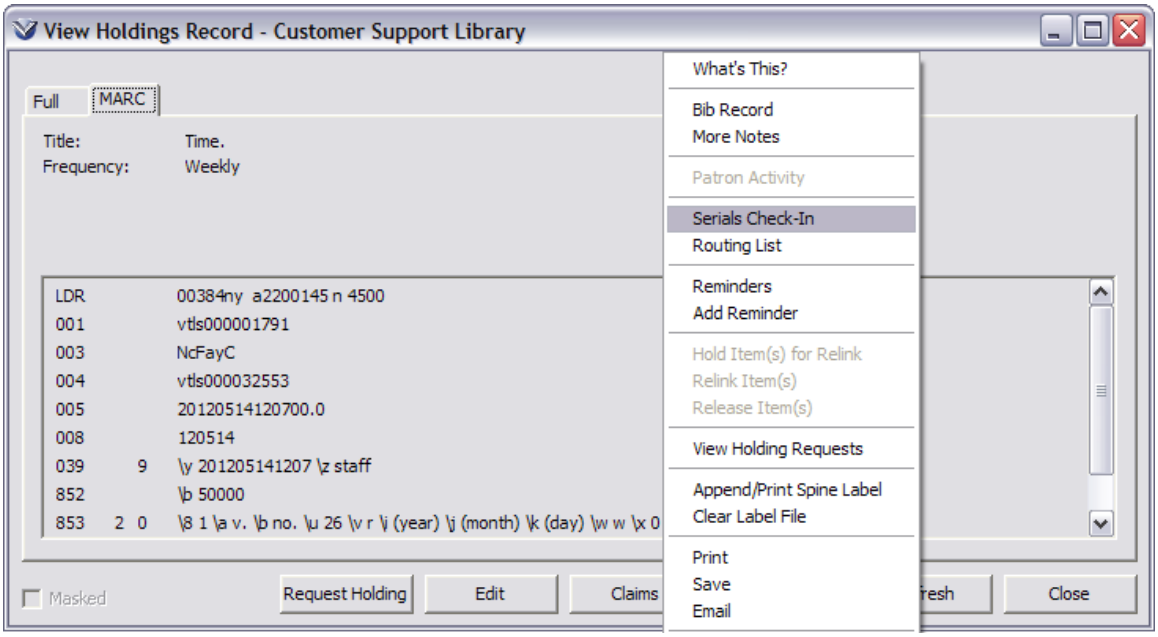
If the pattern exists, right mouse click to create a holdings record.



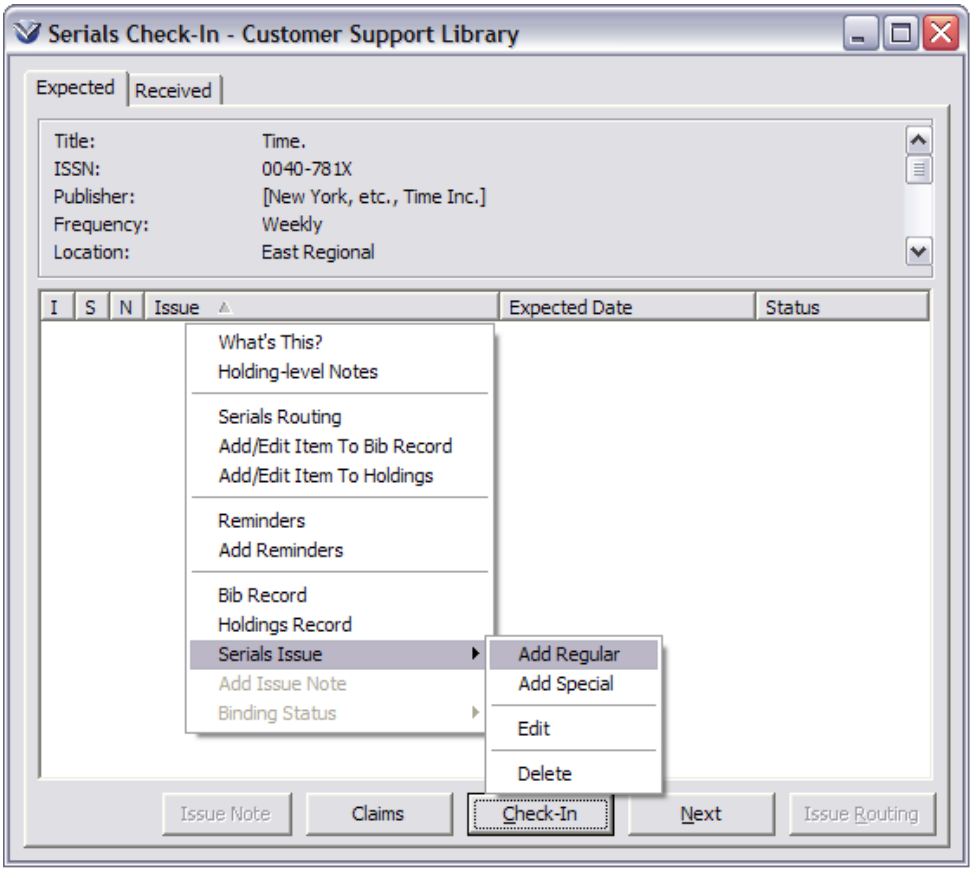
Note: The 853 tag of the holdings record is automatically populated with the information from the 891 tag of the bibliographic record.

Add the location code to subfield b of the 852 tag (mandatory). A copy number may also be added in subfield t of the 852 tag.

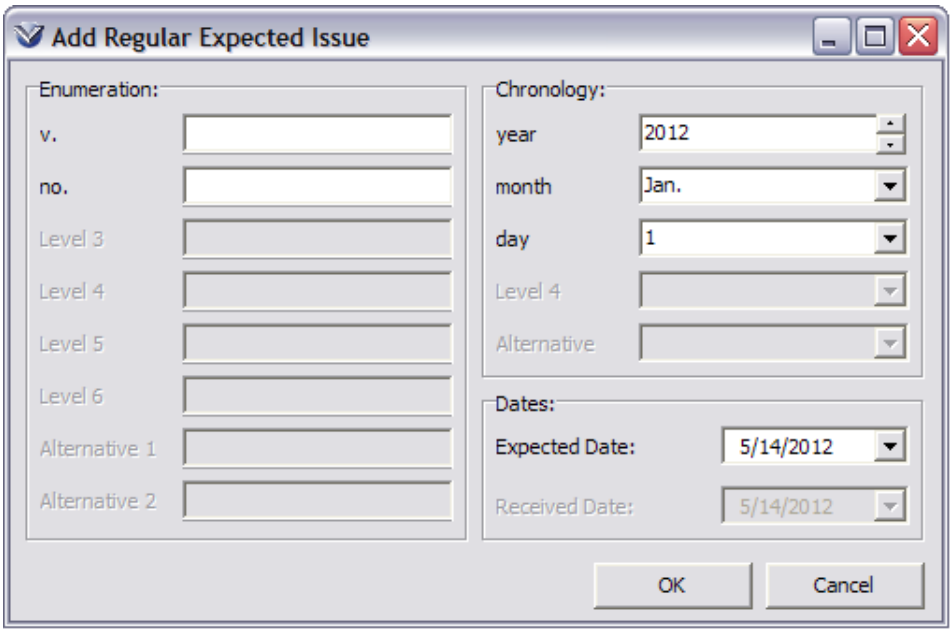
Press **F11** to save the record to the database. You will return to the M**ARC** tab of the **View Holdings Record** window.



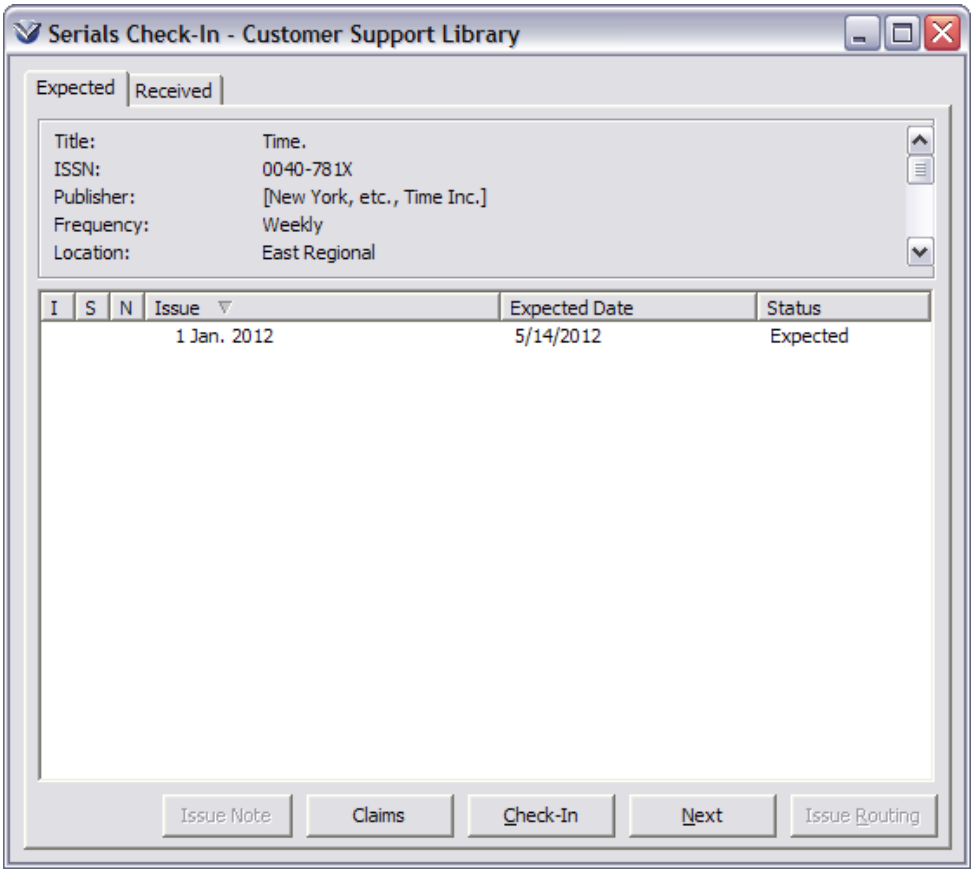
To check in serials, right mouse click and select **Serials Check-in**. The **Serials Check-in** window will appear.



Right mouse click to add the first expected issue.



Click the **OK** button. The first regular expected issue is created.



Note: Once the first issue is defined, additional issues are automatically created based on the serials pattern coding in the 853 tag of the holdings record.

Appendix E - Changes in this Guide

Changes for Version 16.1

No changes were made.