Harvard Depository: processing and request procedures

This document provides an overview of processes in Aleph related to coding and handling of materials stored at the Harvard Depository (HD). This includes how to code an item for HD storage, how to request HD materials, how to process HD materials delivered to the library, and how to process these materials for a return to HD.

These are general processes and best practice guidelines recommended for use by all Harvard libraries. However, your local HD practices may vary.

As of March 2008, HD accepts 32044- barcodes from all Harvard libraries. These pieces MUST have item records in Aleph. More instructions on proper labeling and barcode location are available from the HD user guide at http://hul.harvard.edu/hd/userguide/.

Contents

Revision history ............................................................................................................................................................................ 2

1. Coding new accessions for HD ................................................................................................................................................. 3
   1.1 Code the Item record for HD .............................................................................................................................................. 3
   1.2 Code the Holdings record for HD ..................................................................................................................................... 5
   1.3 Assign “in transit” loan status ............................................................................................................................................ 5

2. Requesting HD materials ......................................................................................................................................................... 7
   2.1 HD requests from the OPAC .............................................................................................................................................. 7
   2.2 HD requests from the staff client ..................................................................................................................................... 9

3. How the Aleph system processes an HD request .................................................................................................................... 13
   3.1 The request is placed .............................................................................................................................................................. 13
   3.2 HD retrieves requested barcodes and sends items to libraries ......................................................................................... 14
   3.3 Library receives HD delivery .............................................................................................................................................. 14
   3.4 Patron picks up/doesn’t pick up item ................................................................................................................................ 14
   3.5 Patron returns a borrowed HD item .................................................................................................................................. 15
   3.6 Item arrives back at HD ......................................................................................................................................................... 16
   3.7 Aleph processes HD barcode files for shelved items ....................................................................................................... 17
   3.8 Troubleshooting: HD books in odd states ............................................................................................................................ 17

4. Using HD items for reserves ....................................................................................................................................................... 19

March 13, 2008
© President and Fellows of Harvard College
Revision history

10/16/2003 In chapter 3 sections 3.3 and 3.4, where length of time on the hold shelf is mentioned, removed references to 10 days. In reality, time on hold shelf is controlled by policy tables and can vary based on sublibrary or item status.

10/10/2003 In chapter 1, added new section 1.3 on assigning “in transit” status to new accessions for HD.

  Modified section 3.4 with a warning about in-library use materials in the HD workflow.

  Modified section 3.4.2 Note and 3.5.1 Note to reinforce importance of the “in transit” status on items being returned to HD.

  Modified section 3.8 with a new troubleshooting scenario involving patrons reporting that their requested material is not delivered.

1/30/2006 Revised screenshots to reflect Aleph Version 17.01.

3/13/2008 Added notes to introduction regarding HD's acceptance of 32044- barcodes, as well as a link to HD's user guide.
1. **Coding new accessions for HD**

Material being sent to HD for the first time should have an appropriate HD value in Item Process Status and Remote Storage fields (in the item record) and a Harvard Depository Collection code (in the holdings record). After the item process status is changed immediately discharge the item in Aleph to set an “in transit/sublibrary” loan status. The details about these coding practices appear below.

1.1 **Code the Item record for HD**

1. Display the item record in the staff client.
2. Select the **General Information** (3) tab of the Item Form.
3. Click on the arrow next to the Remote Storage ID field and choose HDEP.
4. Click the **Refresh** button. This will set the **Item Process Status** field (on the **General Information** (2) Tab) to **HD**.

5. After filling in other mandatory fields and any fields required by your local practice, click the **Update** button to save the item record.

**What about the Item Status field?**

**How do you indicate that an HD item is not “gettable”?**

Most Aleph **Item Status** field values also designate that an item can be requested from HD. For HD materials that are “gettable”, just assign the most appropriate Item Status value according to your local practice.

Use the Item Status value “92” (Ask at Circulation Desk) to prevent an HD item from being requested by patrons from the HOLLIS OPAC. Item Status 92 will display the message “Ask at Circulation Desk” in the OPAC. In this scenario, library staff can still use the Aleph desktop client to request this item from HD. Note: some libraries have additional statuses for non-requestable HD items; check with your supervisor for the appropriate item status for the title in hand.

To review, here are a few standard Item Status values and the related HD “gettable” status:

- **Item Status 01**: Circulating and gettable
- **Item Status 02**: Non-circulating and gettable
- **Item Status 92**: Non-circulating and not gettable
1.2 Code the Holdings record for HD

An HD item should also have a Harvard Depository Collection Code in the 852 $c of the holdings record. The code will be “HD” although the display literal generated by the code may vary from one sublibrary to another. Some sublibraries have multiple HD collection codes, which all start with “HD…”

![Collection code (holdings 852 $c) should be “HD”]

1.3 Assign “in transit” loan status

After the item record has been coded for HD, immediately discharge the item in Aleph to assign an “in transit” loan status. With this discharge, the system detects the HD coding in the item record, loans the item to the HD pseudopatron (HDEP), and automatically assigns an “in transit” loan status.

Here are examples of how an HD item loaned to the HDEP pseudopatron appears in the Items module, Circulation module, and OPAC.

Item loaned to HDEP pseudopatron, from Items module

![Note the loan status “Regular loan (depository)”]
Why assign “in transit” loan status? This loan status will produce an “in transit” message for items on the OPAC Availability screen. This status prevents active requests from being processed against these items while they are en route to HD. During this time, staff and patrons will be able to request these items, but requests will be assigned a “waiting” status and will only be processed after the item is shelved at HD.

What happens if “in transit” loan status is not assigned? Materials on their way to HD that do not have an “in transit” loan status will look like they are at HD and requestable (from the staff client and the OPAC). Requests placed on these materials while they are en-route (or waiting for transport to HD) are treated as active and will be immediately processed, but HD staff will not find the materials on the shelves.

HD materials with this problem (an active request is placed, but book is not yet at HD) will continue in this “in process” request status but the request will not be re-sent automatically to HD. Library intervention is necessary. The requests must either be deleted and re-sent or item must be retrieved from HD outside of Aleph. These requests will otherwise expire after the hold request interest period. No waiting requests would be processed until the original request expires.

Consult section 3.8 (Troubleshooting) for suggestions on how to fix materials in this “in process” limbo.
2. Requesting HD materials

HD requests can be placed from the HOLLIS OPAC or from the staff client. This section briefly describes these request options.

2.1 HD requests from the OPAC

To place an HD request a patron must have a Harvard ID and PIN and must have borrowing privileges at the library that owns the item.

Note: HD requests from the OPAC are always Recall Type “01 – Regular Recall”. An OPAC request that is not fulfilled (e.g., somehow the request fails to be received at HD) will expire after six months.

To place a request:

1. From the OPAC full record display, click on an Availability link, either for “All Locations” or for a specific Location. An “Availability” window will display.

2. In the Availability window, click the Request link for the desired item. Patron will be prompted to supply a Harvard ID and PIN if not already logged in via Your Account.
3. From the Request window, click **Send Request** to place the request.

As the note in the Request window indicates, requested HD materials will be available for pickup by 3pm on the next business day. The Pickup/Delivery location will be the library that owns the requested material.

To request this item, click on "Send Request," below. There will be some delay in obtaining this item. Additional copies may be available at other libraries, click on "Cancel Request" to cancel this request and seek other copies.

If the message below says... Then the request is for...

*On loan until__* RECALL: You are recalling this item from another person. Typically, you will be able to pick up the item within the next two weeks. You will be notified when the item is available for you.

*Remote Storage Item* HD RETRIEVAL: This item is at the Harvard Depository. It will be retrieved and delivered to the pickup/delivery location below by 3 pm on the next business day.

*On loan until __ and __* Item is requested. Your place in the queue is __.

Click the Close button to complete the request process and resume searching the HOLLIS Catalog.

The patron can view and cancel current requests by selecting the Your Account option from the main menu.
2.2 HD requests from the staff client

There are two places in the staff client from which library staff can place a request for HD materials:

- Circulation module, Requests menu
- Circulation module, Items tab

2.2.1 Circulation module; Requests menu

The most direct way to place a request is via the Requests menu option in the Circulation module.

1. From the main menu, select Requests / Hold / Create Hold Request (or press CTRL-r).
   The Enter Patron & Item Information form will display.

2. Enter the item and patron barcodes, then click OK.

   ![Enter Patron & Item Information](image)

   If you do not know the patron and/or item barcode at this point (often the case), you can search for either from this window. Click the arrow at the right end of the search box to display search options.

   **Note:** in order to perform a patron search, the operator must have appropriate authorization for patron access.

3. Fill out the Create Hold Request form (see details below) and click OK. Note that the system supplies details about the item and the patron within the form. The only requirement is that you select a “Recall type”.
Fill out the Create Hold Request form

- Under **From Date and To Date**, note that the span of these “interested in” dates will default to one year but can be changed by the operator. For rush recalls on reserves items, placed via the web reserves module, the From date will be 20 days before the course’s Start date and the To Date will be the course End date (as coded on the course record).

- Under **Recall Type**, the default will be 01 for Regular Recall. Selecting 02 (rush recall) is possible but will have no functional effect on timing of the HD item’s delivery. If an HD item is requested for reserves use via the reserves module, the rush recall type is used automatically and the request will have priority over other requests.

- Under **Priority**, note that the default will be 30 (regular priority). Priority determines the position of a request in a queue of requests.

- The rest of the first tab on this form is optional and should be filled in according to local policy. Staff should ignore the second tab (Item Filter Information), this feature is not used at Harvard.

Note: after you complete a request, system will redisplay the Enter Patron and Item Information form so you can place another request. Click on Cancel or close the window to end the request process.

4. The HD request can be viewed from the “Hold requests” node of the Patron tab or the Item tab (both in the Circulation module).
2.2.2 Circulation module, Items tab

This is a variation on the Requests menu procedure described above. Only difference is that you identify the item (and the patron) using options within the Item tab.

1. Select the **Item tab**.

2. **Display the HD item.** If you know the item’s barcode, enter it into the box on the Item Bar and click Go (or press Enter).

   If you do not know the item’s barcode, use a mini-Find or mini-Scan to search for the item. When on the Item tab, these options display on the right end of the Item bar.

3. In the Items list, **click to select the HD item**, then **click the Hold Request button** (on the right). A Create Hold Request form will display.

4. **Fill out the Create Hold Request form** (details below) and click OK.
Request form, from Item tab

- In the Patron ID field, enter the Harvard barcode for the patron who is placing the request. If you don’t know the barcode, click the arrow to search for the patron. To search for a patron, your Aleph login must be authorized to view patron data.
- Under Recall Type, the default is “01” (regular recall). No need to change this.
- Under From Date and To Date, note that the span of these “interested in” dates will default to one year but can be changed by the operator.
- Under Priority, note that the default will be 30 (regular priority). Priority determines the position of a request in a queue of requests.
- The rest of this form is optional and should be filled in according to local policy. Staff should ignore the Item Matching Filter section at bottom; this feature is not used at Harvard.
3. **How the Aleph system processes an HD request**

3.1 **The request is placed**

- Patron makes a request for an HD item (from the OPAC or with staff member’s help from the staff client).

  **Note:** OPAC requests are always recall type “01” (regular recall). Staff client requests could also have a recall type of “02” (rush recall) although there is no functional difference between 01 and 02. Recall type “03” (no recall) will not retrieve an item from HD. Type 03 is for a hold request, and will only be activated by discharge of the material at the owning library.

- **System creates a hold request.** In response to an HD request, the system creates a hold request record (called a “Z37” record).

  Requests for available items are placed in an active request queue. Requests for unavailable items are placed in a waiting request queue.

- **System assigns a hold request status.** Items that are available get a hold request status “A” (Active), which in the OPAC displays as “Requested” and in the staff client displays either as “Requested” or in some places as “In process”.

  HD items that are unavailable (because they are on loan, on hold, already requested) get a hold request status “W” (Waiting), which displays as “Waiting” in the OPAC and staff client.

- **System processes HD hold requests 4 times a day.** At each scheduled time (6:55am, 11:55am, 2:55pm, 4:25pm), the request processing job runs once for available items (status “A”) and a second time for unavailable items (status “W”).

  For available items, a file of barcodes is created and moved into an HD directory for pickup.

  Unavailable items (with “W” for waiting status) are left in the queue until the item becomes available. An item becomes available upon import of the barcode during reshelving at HD, or upon discharge of the item in the Circulation module.

  - If the item becomes available because it is reshelved at HD, the system will move the existing HD request into the active request queue; to be processed at the next scheduled time.

  - If the item is discharged at the owning library, an “Available for Pick-Up Notice” and “Available for Pick-Up Notice Slip” are generated during discharge. The system places a hold on the item for the requesting patron.
3.2 **HD retrieves requested barcodes and sends items to libraries**

HD picks up the file of requested barcodes, retrieves the materials from storage, and delivers them by van to the owning library.

In general, HD requests are available for pickup the next business day by 3pm. For Widener only, any requests placed after the last processing run (4:25pm) but before 6:55am the next morning will be processed for delivery by 3pm that day.

3.3 **Library receives HD delivery**

Note: library staff who process HD deliveries must be at a PC that has been set up for printing notices.

- For each requested item, **authorized library staff use the Print Letter – Hold Request Filled** function in the Circulation module. From the menu, select **Requests/Hold/Print Letter – Hold Request Filled** (or press CTRL-L). Scan in the item’s barcode and click OK. The results of this procedure include:
  - The item’s status (in the client and OPAC) displays as “On hold until XX/XX/XXXX”. This hold expires after a set number of days (this number can be controlled at the sublibrary or item status level).
  - An “Available for Pick-Up Notice” letter is printed/ emailed to the patron. Method of delivery is based both on .ini file settings of the local PC and the presence of an email address in the patron record.
  - An “Available for Pick-Up Notice Slip” is printed. This slip, which identifies the HD request status of this item, should be placed in the item.

- **Library staff put the “Pick-Up Slip” inside the item** and place the item on the hold shelf.

- **System changes item’s hold request status to “S” (Notice sent).** This status displays as “On hold” in the OPAC and the staff client.

**Important note:** processing of HD deliveries may require a more rapid turnaround. During the initial request, the patron is told that the HD item will be available the next business day after 3pm. And, patrons with email addresses will receive “Available for Pick-Up” messages almost instantaneously as staff process an HD delivery.

3.4 **Patron picks up/doesn’t pick up item**

3.4.1 Patron picks up the item

- **Library staff loan the item** to the requesting patron. This removes the “On Hold until XX/XX/XXXX” status visible in both the OPAC and the staff client.

**Warning about in-library use materials.** When HD materials are retrieved for in-library use only, a library may have a policy of not loaning this material to the patron. Be aware that this “no loan” policy can interfere with the normal HD workflow. No loan to the patron.
means the HD hold request is not deleted and the material will not appear to be available again until the hold request expires (number of days to expiration can vary by sublibrary or item status). This is especially problematic if the material is returned to HD well within the expiration period or if there is another patron waiting in the request queue for this material.

It is recommended that in-library use materials be loaned to the requesting patron or to an in-house pseudopatron to insure that the HD workflow is not interrupted.

If a library chooses not to loan in-library use material, staff must manually delete the hold on this material and discharge it once in Aleph before returning it to HD.

- **System action:** the HD hold request is deleted. The system creates a history of this request, including the original request information, a date stamp for the request, and the end date for the hold period. This information will be available in item history tab for the item.

### 3.4.2 Patron does not pick up the item

If the patron does not pick up the item before the end hold date, the item will appear on the daily “Expired Hold Requests Report”. Note that the length of hold period can vary by sublibrary and item status.

- **Library staff actions** will vary based on the circumstances described below:
  - **If the item has been requested by another patron** (indicated in column 1 of the Report), the initial hold is not deleted by the system. Staff must delete the initial hold. Open the Item tab in the Circulation module, scan item barcode to display the item, select the Hold Requests node and delete the hold. Then from the menu, select Requests/Print Letter-Hold request filled to place the item on hold for the waiting patron.

  - **If the item has not been requested by another patron**, the hold request will be deleted by the system. The item should be discharged once to activate the “In transit” status. (The effect of this single discharge is that the system charges the item to the HD system pseudopatron.) Staff should send the item to HD. Status of this item will appear as “In transit” in the OPAC and the staff client.

    **Note:** if an HD item is discharged twice, the “In transit” status is removed. To reactivate the “In transit” status (i.e., to re-charge this item to the HD system pseudopatron), discharge the item a third time. An item **must** be on loan to the HD pseudopatron while it is in transit to the depository in order to insure that requests for this item are only processed when the item is back on the shelf and ready to be retrieved.

  - **System action:** the HD request is deleted. The system creates a history of this request, including the original request information, a date stamp for the request, and the end date for the hold period. This history is accessible to OIS staff.

### 3.5 Patron returns a borrowed HD item

#### 3.5.1 Item is returned to the owning sublibrary

Library staff should discharge the item in Aleph.
• **If the item has been requested by another patron**, a pop-up window will appear upon discharge of the item, telling staff that the item has been requested.

The “Available for Pick-Up Notice” and “Available for Pick-Up Notice Slip” may be automatically generated on discharge, based on the staff member’s security authorization and PC configuration. The ability to generate availability notices on discharge of an item is a local workflow decision.

• **If the item has not been requested by another patron**, upon discharge an “In Transit” loan status is activated (system sees HD coding in the item record and loans the item to the HDEP pseudopatron). The item should be sent back to HD. During this time, the item’s status in the OPAC and staff client displays as “In Transit”.

**Note:** if an HD item is discharged twice, the “In transit” loan status is removed. To reactivate the “In transit” status (i.e., to re-charge this item to the HD system pseudopatron), discharge the item a third time. An item must be on loan to the HD pseudopatron while it is in transit to the depository in order to insure that requests for this item are only processed when the item is back on the shelf and ready to be retrieved.

### 3.5.2 Item is returned to a non-owning sublibrary

• **Action by non-owning library**: staff at the non-owning sublibrary discharge the item. This action generates an “In transit” loan status for the item in the OPAC and staff client; and an “In transit” slip will print. Also, the system charges the item to the “In transit” pseudopatron for the owning library.

Staff should place the printed slip in the item and return the item to the owning library.

• **Action by the owning library**: see the descriptions under Item is returned to the owning sublibrary (above).

### 3.6 Item arrives back at HD

• HD staff shelve the item.

• At the end of the day, HD creates a file of barcodes for reshelved items and another file containing barcodes for accession records (i.e., new items sent to HD). These files are placed in a directory for pick up.
3.7 **Aleph processes HD barcode files for shelved items**

- Once each day (at 8pm), the barcode files generated by HD (described in section 3.6) are picked up and processed by Aleph.

- Items that were reshelved after an HD request (items that are charged to the “In transit” HD system pseudopatron) will be discharged by the system, making them available for another request. The hold request status in the staff client will briefly display as “Reshelving”.

3.8 **Troubleshooting: HD books in odd states**

There have been instances in which a book’s true location and its status in Aleph do not agree. For example, a book is physically at HD but information in Aleph indicates that it is circulating and not on the shelf. A book may appear to be on loan when it is not, or in transit back to the owning library when it is not, as described below. In most cases, this happens because of a glitch in the library’s HD workflow for the book.

This section describes a few problem scenarios and the recommended procedure for correcting Aleph so that it reflects the true status of the book.

**Scenario 1: Book is shelved at HD but appears to be loaned to a patron**

Item record loan status indicates book is on loan to a patron but the book is physically on the shelf at HD.

This happens when a book is not discharged from the patron before it is returned to HD. The workflow to avoid this problem is described in section 3.5.1.

To fix this problem, the staff member needs to remove the loan so that the book is requestable. In Aleph, discharge the book twice. Why twice? The first discharge removes the patron loan, but also charges the book to the HD “in transit” pseudopatron (Aleph thinks book is being returned to HD at this point so it charges it to the HDEP pseudopatron). Discharging the book a second time removes the pseudopatron loan and the “in transit” loan status. The book should now be requestable.

**Scenario 2: Book is shelved at HD but appears to be “in transit” to the owning library**

This is a variation on Scenario 1. Item record loan status “In Transit/Sublibrary” indicates book is in transit back to the owning library, but the book is physically on the shelf at HD.

This happens when a patron returns a book to a non-owning library. Staff there use a courtesy discharge and forward the book to the owning library. The courtesy discharge causes Aleph to charge the item to the owning library’s courtesy pseudo-patron and assign an “In Transit/Sublibrary” loan status to the item. But the owning library does not discharge the book before returning it to HD, so the “in transit” loan status from the courtesy discharge remains in place.

The workflow to avoid this problem is described in section 3.5.2.
To solve this problem, staff in the owning library need to remove the courtesy “in transit” loan status so that the book is requestable. The solution is the same as in Scenario 1 above. In Aleph, discharge the book twice.

**Scenario 3: Book has a “Requested” or “In Process” hold status, but book is not delivered and patron is never notified**

Patron requests a book but is never notified that the book is available and eventually complains to library staff. In Aleph, item record hold status “Requested” indicates an active request so the book should be en route back to the library. If the request “open date” is very recent, the book may indeed be on its way. But usually, the request is relatively old and a check with HD staff indicates the book is on the shelf.

Most likely, when the book was last sent to HD, it lacked an “in transit” loan status. While en route to HD, someone requested the book, the request was processed by HD staff, but the book could not be located. HD will notify a library when a requested book cannot be located, but cannot take further action. If the library does nothing, a book in this situation will stay “Requested” and unavailable for the interest period of the hold request.

The workflow to prevent this problem is described in section 1.3 (Assign “in transit” status).

To solve this problem, staff in the owning library should leave the current request intact and send a manual request to HD for the book. When the book arrives, process as usual. This workflow will resolve this problem naturally; the request will be removed and notification will be sent to the patron. Please avoid deleting the original request – this would deny service to the first patron in the queue and activate the next request (if there is one).
4. Using HD items for reserves

HD materials can be placed on reserves just like any other materials, but there is a slight variation in the process for assigning temporary values to the item record.

Requesting HD items. Staff can retrieve HD materials by using the Reserves Request feature or by placing a regular request from the staff client using an appropriate pseudopatron. Note that if a Reserves Request is used, the actual hold request for the HD item will remain “dormant” until shortly before the semester begins. A regular request will retrieve the HD item immediately.

Assigning temporary reserves values to the item. In the item record, check the “temporary location” box and change the sublibrary, collection, and item status values as appropriate for reserves use. Remove the Item Processing Status value “HD” (tab 1) and the Remote Storage ID value “HDEP” (tab 2). (Note that these two HD values will NOT be restored when the temporary location values are removed at end of semester. Staff must restore these manually.)

Staff can also assign temporary reserves values to an item record using options available in the web Reserves module. However, these options do not provide access to the Item Processing Status or the Remote Storage ID fields. Staff will still have to display the item record in the staff client and change these fields directly.

Placing the item on the reserves shelf. Before putting the item on the reserves shelf, remember to remove the hold that was originally placed on the item. Do this in the Circulation module.

Removing the item from reserves. In the item record, uncheck the “Temporary Location” box to restore original item values (sublibrary, collection, item status). Also add back the code “HDEP” to the Remote Storage ID field (tab 2). Click the “Refresh” button, which will reset the Item Process Status to “HD” (on tab 1). Then click the Update button to save these changes.

Discharging the item and returning it to HD. This step prompts the system to loan the item to the HD system pseudopatron, which generates an “In transit” status for the item in the OPAC and staff client. Returning the item to HD will trigger additional processing that restores the item’s availability for future requests (see sections 3.6, 3.7).