Learner’s Guide

Circulation B: Patrons and Billing

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Lesson 1: Aleph patron-related terminology

This section defines Aleph terminology related to patrons:

<table>
<thead>
<tr>
<th>ALEPH Terminology</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Barcode number:</strong> Harvard ID number (also the barcode on the Harvard ID)</td>
</tr>
<tr>
<td><strong>Cash list:</strong> another name for the Cash node of the patron record; the list of a patron’s cash transactions</td>
</tr>
<tr>
<td><strong>Cash Transactions:</strong> billing transactions related to circulation activity in Aleph</td>
</tr>
<tr>
<td><strong>Holds, requests:</strong> A generic term that describes a request on an item. In Aleph, requests are usually recalls in that they can cause original due date to be recalculated. But a request can also be defined as a “hold” in which due date is not recalculated (requesting patron will be notified when item is returned)</td>
</tr>
<tr>
<td><strong>Loans list:</strong> list of items currently on loan to a patron</td>
</tr>
<tr>
<td><strong>Patron ID or ID number:</strong> a unique number generated by Aleph that identifies a patron record</td>
</tr>
<tr>
<td><strong>Patron list:</strong> a dialog box used to search for a patron record by name, Harvard barcode, ID, keyword, or email address</td>
</tr>
<tr>
<td><strong>Patron Status:</strong> defines a patron’s relationship to the University (undergrad, faculty member, staff, etc.); determines privileges in a sublibrary</td>
</tr>
<tr>
<td><strong>Patron Type:</strong> a code identifying the Harvard faculty or other institutional affiliation</td>
</tr>
<tr>
<td><strong>Proxy borrower:</strong> a patron who borrows on behalf of another patron (the sponsor) using the sponsor’s privileges</td>
</tr>
<tr>
<td><strong>Sponsor:</strong> usually a faculty member with one or more “proxy borrowers” who borrow on behalf of the sponsor, using sponsor’s privileges</td>
</tr>
</tbody>
</table>

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Lesson 2: How to Find a Patron Record

There are two ways to find a patron record: directly by barcode or ID number from the Patron bar or by searching the name/barcode/ID number or email address from the Patron List.

2.1 Retrieve a patron record directly by Harvard barcode

Retrieve the patron’s record directly from the Patron bar:

1. Open the Patron tab -- in the left navigation pane, click on the Patron tab
2. Position the cursor in the Patron bar search box
3. Scan or type in the patron barcode (Harvard ID) and press Enter (or click the blue arrow button)

Search by patron barcode (Harvard ID)

2.2 Searching from the Patron List

2.2.1 Search by patron name/Harvard barcode/ID

1. Open the Patron tab -- in the left navigation pane, click on the Patron tab or press F7
2. Open the Patron List window. Click the ellipses button on the Patron bar
3. Select a sort option under Sort by… (Patron name is the default sort option)
4. Type the search term in the Enter Starting Point box and press Enter (do not press the Select button)
5. After pressing Enter, the patron that matched the search will be highlighted in the Patron List. If this is the correct patron, click the Select button or double-click on the highlighted entry and the patron record will display
6. To choose a name from farther down the list, scroll down the list using the scroll bar.

2.2.2 Search by keyword or email address

1. Open the Patron tab -- in the left navigation pane, click on the Patron tab or press F7
2. Open the Patron List window. Click the ellipses button on the Patron bar
3. Click the Keywords button and enter the keyword or email address in the search bar and click search
4. Highlight the patron’s email address or keyword in the box and click select to open the patron’s record
Search by patron's email address

<table>
<thead>
<tr>
<th>Patron ID</th>
<th>Patron Name</th>
<th>Patron Barcode</th>
</tr>
</thead>
<tbody>
<tr>
<td>ID550228</td>
<td>John Harvard</td>
<td>123456780</td>
</tr>
</tbody>
</table>

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Lesson 3: Tour of the Patron Record

This lesson provides a closer look at the functions of the Patron tab in the Circulation module.

The Patron tab:

- displays information about a patron (ID, expiration dates, Harvard affiliations, etc.)
- displays information about a patron’s circulation activities (loans, fines, requests placed, etc.)
- allows staff to act on some of this data (e.g., renew loans, declare an item as “lost”, record a payment, etc.)

Choose one of the nodes on the navigation pane (Loans, Cash, Hold Requests, etc.) to change what is displayed in the upper and lower panes.

NOTE: Access to data under the Patron tab requires a specially-authorized Aleph login.

To open a patron’s record in the Patron tab, use the Patron List to search and retrieve a patron or pull up a patron by barcode – both options are available from the Patron bar. See Lesson 2 for instructions on how to display a patron record.

3.1 Patron bar

When the Patron tab is selected, the Patron bar is activated (and the Item bar is deactivated).

Once retrieved a patron name and ID information will display on the Patron bar. To create a new patron record, click the Patron icon (on the far right end of Patron bar). More information about patron record creation appears in Lesson 6.

3.2 Navigation pane

Use options on the Navigation pane to move around between displays of different patron-related information. Click to select a node in the navigation pane. Information from the selected node in the navigation pane will display in the upper and lower panes.

By default, color of the navigation pane on the patron tab background is light-blue (or light-purple, depending on how the color is rendered by your monitor).

The navigation pane of the Patron tab contains two root nodes:

- The Patron Activity node displays the circulation activity for this patron (loans, requests, fines owed, etc.),
- The Patron Registration node displays information about the patron’s Harvard affiliations and Harvard ID status.
Patron Tab Navigation Pane

- **Patron Activity**
  - [L] Loans
  - [C] Cash
  - [H] Hold Requests
  - [P] Photocopy Requests
  - [I] ILL Requests
  - [X] Proxies/Sponsor
  - [R] Reading Room
  - [U] Routing Lists
  - [S] Circulation Summary
  - [Z] Circulation Log
  - [K] Booking List
  - [A] Title Req

- **Patron Registration**
  - [G] Global Patron Information
  - [O] Local Patron Information
  - [D] Address Information
  - [T] Additional IDs

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3.3 Patron Activity root

The Patron Activity root displays information about a patron’s circulation activity, including current materials on loan, fines/fees owed, and hold requests placed by this patron.

Note about unused functions: Harvard does not use the following nodes under Patron Activity: Photocopy requests, ILL Requests, Circulation Log, Reading Room, and Booking List. All other nodes are defined in this section.

3.3.1 Loans node

The Patron tab opens by default to the Loans node. Since the primary purpose of this node is to display a list of the patron’s current loans, this node is often called the “Loan List.”

The patron’s loan list appears in the upper pane and details of the highlighted loan appear in the lower pane. In the upper pane, a series of buttons to the right of the loan list allow certain actions on a loan (renew, change a due date, add a note, declare the item lost, etc.).

![Patron tab / Loans node, with loan list in upper pane and loan details in lower pane](image)

Revised: March 18, 2009
Definitions of functional buttons

- **Renew marked:** Renews the highlighted item or selected items. During a renewal, the system will check for factors that might affect a patron’s ability to borrow items; for example if an item has a hold request by another patron, or if the item type is limited to a maximum number of renewals (e.g., a reserves item). Aleph does support other type of limits on loans (blocks because of maximum fines owed, maximum number of items on loan, etc.) but these options have not been enabled at Harvard.

To renew selected items:

To renew a range of items (items that directly below each other on the list), hold down the <Shift> key and select the last item in the range:

```
Range of loans selected
```

To renew selected loans from the list, highlight the first item you wish to renew, hold down the <Ctrl> key and select the items from the list:

```
Renewing selected loans from list
```

This function is limited to items in the user’s sublibrary. The system will then check for factors that affect the patron's ability to borrow items.

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Note: When pressing the Renew All button, the system will display a “Renew Loan” pop-up window containing due date and due hour values of zero. Best practice recommendation is to NOT fill in a date or time here. Just click OK to let the system consult the sublibrary policy tables and calculate the appropriate renew date/time.

After the renewals are complete, the system will ask if the patron is present.

If you click Continue, the patron’s list of renewals will be printed:
Renewed Loans List

- **Renew All**: renew all items in the list without having to highlight each one. This function is limited to items in your sublibrary. The system will then check for factors that affect the patron's ability to borrow items.

**Note**: The Renew All button will also prompt the user with a “Renew Loan” pop-up window containing due date and due hour values of zero. Best practice is to NOT fill in a date or time here. Just click OK to let the system consult your sublibrary’s policy tables and calculate the appropriate renew date/time.

If a reason for not renewing the loan is found by the system while trying to renew all items, an error message dialog pops up that will show all specific item errors. At the same time, feedback about each renewal is added to the Renew All Log tab in the lower pane. Error messages can be overridden at this stage to continue with the renewal process of this loan or skip by clicking Cancel, in which case the loan is not renewed. In both instances, the system will go on to the next item.

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After the system cycles through all the loans on the list any loans that were not renewed and were not overridden will be highlighted. Feedback lines will be displayed in the Renew All Log tab in the lower pane. Clicking a specific feedback line highlights the matching loan. Clicking a loan in the upper pane highlights its feedback line. If a loan is successfully renewed, a message, "Successful Renew", is displayed in the Renew All Log tab. If the loan was renewed by "Override", the message "Successful Renew (Override)" is displayed in the Renew All Log tab.

After the end of the renew-all procedure, a dialog window pops up with a check box asking whether or not the patron is present in the library. If s/he is present a list of the renewed loans will be printed. (Note that if the check box "Send all letters to patron" is unchecked, this list will not be printed.)

- **Delete:** Is used to delete a loan record. **Note:** if you delete a loan transaction from this screen, the system will NOT check to see if the item is late or if there are hold requests pending for the item. The record of the loan will simply be deleted from the database. To have the system perform the usual checks, use the Return tab instead.

- **Item List:** View all items associated with a particular bibliographic record. Use this function to view the selected loaned item in the context of the Item tab. Selecting Item List will move you into the Item List under the Item tab. The “on loan” item, plus any other items attached to that bibliographic record, will display.

- **Change Date:** Changes the due date of the highlighted item. Enter the new due date and click OK. **NOTE:** This function does not check for blocks or limits regarding renewals. It is possible to change the due date to a date/time later than or earlier than the original due date, but it is NOT possible to assign a due date earlier than the current date. When extending a loan due date by manually changing the due date, the system updates the original due date with the new date (same as is done for regular renewals).
• **Loan Notes:** Add up to two notes (30 characters each) related to the selected loan. These notes are part of the Loan record for this item. They display where ever loan details display (lower pane, under the Item tab and Patron tab) and will appear on printouts such as the loan receipt and overdue notice. These notes will not “pop up” during loans, renewals, or returns. Upon completion of the loan, these notes disappear along with the loan record.

• **Lost:** Click lost to declare a loaned item as lost. You will be given a prompt asking if you are sure. When an item is declared lost, the system automatically generates a replacement fee cash transaction.

  Loaned items can be declared lost by the system after being overdue for a set period of time. Another option is to set the system to report on overdue items that have not been returned after a set time period, and let library staff manually declare these as lost.

• **Claim Return:** Assign the interim status of Claimed Returned to the highlighted item, indicating that the patron claims the item has been returned even though the item still appears as an outstanding loan. Using the claimed returned function keeps the material checked out to the patron and stops fines from accruing while staff search for the item.

  If the “claimed returned” item is found, return it using the Return tab. If the item is not found, the system will automatically send the patron a series of library-defined letters requesting the return of the item. If the item is not returned after a specific period, the item will be declared lost and the patron will be charged.

• **Circ Log:** Not in use at Harvard.

**Loan Sorting Options**

You can sort the list of loans using the drop down list available under the patron’s list of loans. The categories you can sort by:

- Effective Due Date
- Sublibrary/Status/Collection/Due Date
- Fines
- Letter Number/Letter Date
- Loan Status/Effective Due Date
- Title
- Author
- Call Number
- Barcode

Revised: March 18, 2009
Loans List sort options

3.3.2 Cash node

This section describes the screen displays and functions associated with the Cash node. For details about procedures for handling cash transactions, see Lesson 8.

The Cash node displays all of the patron’s fine and fee cash transactions that are associated with your sublibrary. To see subtotals of active cash transactions for other sublibraries, click the By Sublibrary button.

Cash Transactions are listed in the upper pane on four tabs:

- **Active Cash** displays a list of open cash transactions from your sublibrary that have not yet been paid or waived. Typically, the status of cash transactions on this list will be "Not Paid", "Credited", or "Ready to Transfer" (for bills about to go to Accounts Receivable).

- **Cash History** lists closed cash transactions from your sublibrary that have been paid or partially paid. Transactions on the Cash History list will have a status "Paid", "Paid (Partial Payment)", or "Paid (External)".

- **Cancelled Transactions** lists cash transactions from your sublibrary with status "Cancelled". These are fines/fees that have been cancelled using the Waive function. The Waive function is used to forgive fines that are otherwise valid, or to cancel fines charged in error.

- **All Transactions** lists all cash transactions (of all types) for your sublibrary, listed in chronological order (most recent at the bottom).
Patron’s cash node; select a cash transaction in the upper pane and view details in the lower pane.

Modify these cash transactions by selecting functions on buttons to the right of the list.

**Definition of functional buttons on the Cash node**

- **Pay Sum** allows payment of all or part of all collectable fines. Effect of this function will be limited to fines an operator is authorized to modify. The fine amount appearing in the **Sum to Pay** box (below the list of fines) specifies the amount owed to the current sublibrary.

To get a sum of fines owed by this patron at other sublibraries, click the **By Sublibrary** button.

If the patron wants to pay the total amount due at your sublibrary (as it appears in the **Sum to Pay** field below the cash transaction list), just click the **Pay Sum** button. If the patron wishes to pay less than the total amount due, enter the amount to be paid in the Sum to Pay field. Then click the Pay Sum button. You will be asked to confirm that the patron really does want to pay the specified amount. After confirmation, the system will register as Paid as many transactions as can be covered by the amount paid, starting with the earliest unpaid transaction. A given transaction may also be partially paid. In this case, the transaction will be split into two transactions, one for the paid portion and one for the unpaid portion. A receipt will be printed.

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• **Pay Selected** is used to record payment for an individual transaction. Highlight a cash transaction and click Pay Selected.

The patron can pay for more than one transaction using this function. To mark several transactions, select transactions using the Shift and arrow keys and then click the Pay Selected button.

![Cash Transaction](insert_image)

Pay Selected

• **New** is used to create a cash transaction manually. A form will display, enabling you to define the transaction as a debit or credit; select a type (late return, lost, etc.), add a descriptive note about the transaction; and link the transaction to a particular item and sublibrary.

• **Waive** will cancel one or more cash transactions. Highlight the transactions to be waived and click the Waive button. A form will be displayed for you to enter a comment or reason for canceling the transaction(s). The Waive function is used to forgive fines that are otherwise valid, or to cancel fines charged in error.

• **Partial Waive** will allow you to partially waive a transaction. Highlight the transaction and click the Partial Waive button. A form will be displayed for you to enter a comment or reason for the transaction.

• **Print** will print a list of all the cash transactions for this patron. This is the same information that displays under the **All Transactions** tab. There is no need to highlight any transactions. If you get a pop-up warning about a filtered view option, ignore and click yes to continue.

• **By Sublibrary** displays active cash transaction subtotals by sublibrary.

• **Circ Log**: Not in use at Harvard.

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**Cash Node Sort Options**

You can sort the Cash node by using the options in the drop down list below the cash transactions. You can sort the transactions using the following criteria:

- Title
- Transaction Type
- Credit or Debit
- Transaction Date
- Transaction Status
- Author
- Call Number
- Barcode

Sort options on cash list
3.3.3 Hold Requests node

Hold requests list for a patron

Upper pane: Hold Request list

The upper pane displays a list of hold requests placed by or on behalf of this patron. Each entry represents a single requested item, with brief information about the request, such as when it was requested and what the current status of the request is. Highlight an item on the list and details about the hold request appear under the Hold Request Information tab of the lower pane. View more information about the current loan for a requested item under the Item tab.

Definitions of Hold Request status messages

- **On hold until …** indicates that the item has been returned by the original borrower and is waiting on the hold shelf for the requesting patron. The date specified is the “hold until” date, after which the item will be returned to its regular location.

- **Waiting in position n in queue** … means this patron is the nth person in line for this item. “Position 1” would mean that this patron is next in line for the item once it is returned. If the “Waiting …” message includes the word “Due” then the item has reached or passed its due date.

Revised: March 18, 2009
• **In process** status has different meanings depending on its context. For HD materials that have been requested, “In process” indicates that the item is on the shelf at HD and the request is being processed. For all other materials, “In process” is a temporary status that indicates a very recent request. Usually, within minutes, this status will change to “Waiting in position $n$ in queue.”

**Definitions of functional buttons**

• **Delete**: Highlight an individual hold request entry in the upper pane and click the **Delete** button to delete the hold.

• **Go to Item**: Highlight an item and click the Go to Item to open up the Items Tab and see the item list for the title.

**Lower pane: Hold Request Information (Tab 1)**

Displaying here is the detailed record for the hold request highlighted in the upper pane. Authorized staff can update the hold request by changing values in this form and clicking the **Update** button.

**Definitions of functional buttons**

• **Update** will save modifications to the hold request information.

• **Cancel** will cancel any unsaved changes to the hold request form.

3.3.4 **Proxies/Sponsor node**

This node displays information about any proxy relationships for this patron. In the right-hand pane displays a list of proxy links to other patron records. See **Lesson 7** for more information.

Revised: March 18, 2009
Type "Proxy" means these patrons borrow on behalf of Professor Cherokee.

Type "Sponsor" means this entry represents the sponsoring faculty member.

Click the Switch to button to move to the selected proxy’s patron record.

Click the Switch to button to move to the selected sponsor’s patron record.

Faculty member Lourdes Cherokee has 3 proxy borrowers listed.

Proxies/Sponsor node is selected.

Proxies/Sponsor node

Proxies/Sponsor node

Revised: March 18, 2009
3.3.5 Routing Lists node

The Routing Lists node provides a “patron’s view” of routing lists created in the Acquisitions module. Most libraries that use the routing function created a “Routing pseudopatron” to track their routed journals. For more information see the following document *Using Routing Lists*, located at the Harvard Aleph Documentation Center:

http://hul.harvard.edu/ois/systems/aleph/docs/routing_lists.pdf

3.4 Patron Registration root

Under the Patron Registration root, you will find information about a patron, such as ID status, Harvard affiliations, borrowing privileges, etc.

These are the four nodes under Patron Registration:

**Global Patron Information**: Contains information about the patron that is relevant to the library system as a whole, not just a specific sublibrary. For Harvard, the important information found here includes patron name, Harvard barcode, record creation/update dates, global blocks/notes, and proxy borrowing settings. For patrons with regular Harvard IDs, much of the information under Global is loaded from the external HUID database.

**Local Patron Information**: Contains information about a patron’s privileges at individual sublibraries

**Address Information**: Contains one or more addresses for the patron, including email addresses if available

**Additional Ids**: Contains a list of IDs associated with this record

3.4.1 Global Patron Information node

Global information is information about the patron that is relevant to the library system as a whole, not just a specific sublibrary.

**Tab 1: Global Patron Details**

The Global Patron Details tab (tab 1) contains very basic information about a patron:
Global Patron Information Node

Definitions of fields on the Global Patron Details tab

Note that these fields are not used by Harvard: Title, Date of Birth, ILL Library, ILL Total Limit, ILL Active Limit, Primary ID, Language, Budget, Profile, Home Library, Dispatch Library, Data Export Consent.

- **Open Date**: This is the date the record was created. This date cannot be updated manually.

- **Update Date**: Last date the record was updated.

- **Patron ID**: System-generated number. ID is NOT the Harvard ID number.

- **Barcode**: Harvard ID number.

- **Name**: Patron’s last name, first name.

- **Pincode**: Not used, although you may find numbers in this field. Just ignore them.

- **Barcode Verification**: The Harvard ID number appears here as well as in the **Barcode** field. When creating a patron record manually, the Harvard barcode must be entered into both the Barcode and Barcode Verification fields.

- **Sponsor’s ID**: Used to support proxy borrowing. When a patron record represents a proxy borrower, this field contains the Patron ID number (not the barcode) of the sponsoring faculty member.

- **Proxy Type**: Used to support proxy borrowing. When a patron record represents a proxy borrower, this field identifies scope of proxy functions. Currently there are only two values: “99” for all proxy functions or “00” for no proxy functions.

- **The email icon** is used to send an email to a patron.

Revised: March 18, 2009
Definitions of functional buttons

- **Update** will save changes to the Global Patron Details tab.

- **Refresh** puts values from the server in certain empty and non-editable fields. When you change a patron’s Status value, you should click Refresh to get other default values appropriate for this status.

- **Letter** will print a letter to the patron. For Harvard, options include “Borrower Circulation Summary” (a list of current loans and holds for this patron) and “Library Card” (basic patron data on a printed page).

- **Check** displays information about the patron that affects his/her ability to borrow items, such as the existence of a global or local block on borrowing privileges.

- **Update Picture** is not used at Harvard.

- **Cancel** will cancel any unsaved changes to the Global Patron Details tab.

**Tab 2: Global Blocks and Notes**

On this tab, staff can place a global block on a patron’s borrowing privileges, add a note about the patron, or indicate that certain patron fields should not be updated from the central HUID database.

Global Blocks and Notes tab

**Definitions of fields on the Global Blocks and Notes tab**

- **Global Block 1, 2, 3:** These are reasons that the patron may be denied the ability to borrow an item. The block field consists of a 2-character code, and a note of up to 200 characters. There are 2 codes defined – “00” for no patron sanction and “01” for global patron sanction.

- **Global Note 1, 2, 3** offers 3 separate note fields, 100 characters each. No special functionality is associated with these note fields.

Revised: March 18, 2009
Note about using global blocks: a global block will prevent borrowing at all sublibraries, although authorized circulation staff will be able to override such a block.

For the Harvard policy regarding blocking patrons please see the sublibrary’s Circulation Manager.

- Additional Note 1, 2: Free text note fields that can contain global patron notes not concerning blocks.

- Patron Load Protect: Check off one or more of the listed entries to protect the specified field when the record is updated from an external source. When the "Patron Loader" service is run, the checked fields are not updated if they already contain data.

Note about protecting patron data: Use this feature with caution. Protection does not expire and there is no way to remind staff that this feature has been used. For regular faculty, students and staff, changes to their patron record should be made at the HUID Office and the data will be refreshed in Aleph automatically.

1.4.3 Local Patron Information node

The Local Patron Information node contains information about a patron’s privileges at individual sublibraries, including information about the patron’s Harvard affiliation, barcode number and status, and any sublibrary-specific notes or blocks on loans.
Upper pane: Sublibrary List

The Sublibrary List contains an entry for every sublibrary defined in the system. Highlight an entry on the list to and look in the lower pane to see if any special privileges have been defined for this patron at that sublibrary.

“ALEPH Global User” (the first entry on the sublibrary list) represents global privileges for this patron. All individual sublibrary entries are set up to use these global privileges by default, unless there is a “local” set of privileges that apply. Select the ALEPH global entry and view details in the lower pane. For regular faculty, students, and staff, ALEPH Global User information is loaded from the central HUID system on a regular schedule.

If an individual sublibrary on the list has its own values, this sublibrary has decided to override the defaults and grant special privileges to this patron.

Lower pane: Local Patron Details (Tab 1)

When you select an entry on the sublibrary list in the upper pane, a privileges record displays in the lower pane. For regular faculty, staff, and students, you would select the ALEPH Global User entry to view details of a patron’s ID status, affiliation, and privileges as they apply to all sublibraries.

Definitions of fields in tab 1

Note that these fields are not used by Harvard: Title, Photocopy Charge, and Cash Limit

- **Patron ID:** a unique system-generated patron number
- **Barcode:** the patron’s Harvard ID number
- **Name:** Patron’s name, last name first
- **Sublibrary:** the sublibrary for which information on this record is valid
- **Status:** code that identifies patron’s specific relationship to the University; determines loan privileges in that sublibrary. Common values are “13” for undergraduate, “01” for faculty, “03” for staff, etc.
- **Registration date:** optional date that can be entered on staff-created patron records to record the patron’s registration. Use of this field is optional.
- **Expiration date:** the expiration date of the patron’s Harvard ID card.
- **Patron type:** code for patron’s institutional affiliation; e.g. AS for Arts and Sciences, DE for Design, etc.
- **Web OPAC message:** not used except to store conversion-related coding from HULPR.

Definitions of functional buttons

- **Update** will save changes made to fields on the Local Patron Details tab.
- **Get Defaults** will supply default values to Expiration Date and Photocopy Charge fields, based on the patron status that is assigned.
- **Cancel** will undo any unsaved changes to fields on this tab.

Revised: March 18, 2009
Lower pane: Local Blocks and Notes tab (tab 2)

On this tab, staff can place a sublibrary-specific block on a patron’s borrowing privileges or add a sublibrary-specific note about the patron.

Place a block on a patron’s privileges from this tab. Options are no block, block on loans, or block on all privileges. You can also associate a note with a block. A sublibrary can specify a Block Date, after which the block does not apply. Circulation staff with appropriate authorization can override these blocks.

Definitions of fields in tab 1

- **Local Block 1, 2, 3**: These are reasons that the patron may be denied the ability to borrow an item. The block field consists of a 2-character code, and a note of up to 200 characters. There are 2 codes defined – “00” for no patron sanction and “01” for global patron sanction.

  **Note about using local blocks**: a local block on the ALEPH GLOBAL USER record will prevent borrowing at all sublibraries, although authorized circulation staff will be able to override such a block. A local block assigned to a specific sublibrary record will block borrowing only at that sublibrary. Harvard Circulation Managers are working on a blocking policy. Until a policy is in place, if you add a block, be sure to also add a note containing your sublibrary code, date the block was added, and a brief explanation.

- **Local Block Date**: on this date, the assigned block will expire (i.e., a block on borrowing will no longer be in effect).

- **Local Note 1, 2, 3** offers 3 separate note fields, 100 characters each. No special functionality is associated with these note fields.

Lower pane: Local Privileges (tab 3)

The privileges defined here will apply when the patron borrows materials at this specific sublibrary. These privileges offer a simplified “view” of circulation policies for this patron at the specified sublibrary.

3.4.3 Address Information node

Under this node you will find one or more addresses for the patron. There are usually two types of address: Residence address (type 01) and Mailing address (type 02).
Aleph will by default use a Type 02 (mailing address) to send notices, if it is present and still valid.

In a manually-created address record, name is inverted. Changing it to first name last name is recommended.

Address Information node

The following are important characteristics of patron address data:

- **All patron records should have an address record.** A pseudopatron used to place holds on materials needs an address so that the hold messages generated at discharge will indicate to staff the destination of the requested material.

- **Address information is loaded from HUID** for regular faculty, staff, and students.

- **Fix the inverted name** that you get when creating an address record manually. Reversing the order to first name last name will look better when this address appears on notices.

- **Aleph uses a type 02 (mailing) address to send notices.** If the 02 address is no longer valid or there is none, the system will use a 01 (residence) address. Aleph will never use a type 03 (other) address.

- **Set the “Valid to” expiration date** of the address record far into the future for pseudopatrons. If this date is set in the near future, you run the risk of having an expired address when an overdue notice is slated to go out. This may also be a concern for special borrower addresses.
3.4.4 Additional IDs node

The Additional IDs node displays the patron ID and barcode numbers being used in the patron record.

Although it is possible to create an “additional” number type from this node, there is no recommended workflow that involves using this feature. The system will not use this number in any way.

The following are some warnings about the Additional IDs node:

- **Always assign a Key Type of “02”** when creating an additional ID number (other values are not allowed)
- **Always assign Verification Type “00”** when creating an additional ID number. Any other value will prevent the patron from accessing the “Your Account” feature in the OPAC.
- **Use the Global Patron Information node** if you need to change the patron’s barcode number.
Lesson 4: Interpreting the Patron Record

This lesson describes how to use the patron record to interpret a patron’s status (Section 4.1), loan information (Section 4.2), and billing information (Section 4.3).

4.1 Viewing a patron’s status and privileges

In this little procedure, you will verify a patron’s university affiliation, Harvard ID card status, and borrowing privileges.

1. Open the Patron tab.

2. Retrieve a patron record, either by entering the barcode in the Patron bar, or click the ellipses button to search the Patron List.

3. Select the Local Patron Information node on the left navigation pane.

4. In the upper pane, highlight an entry on the sublibrary list.

   - To see a patron’s status at the global (default) level, make sure the ALEPH Global User entry is highlighted. This entry is usually highlighted by default.

Revised: March 18, 2009
- Or, to see if a patron has local privileges at a specific sublibrary, scroll through the sublibrary list. Look for a sublibrary entry that has data (status, description, expiration date, etc.). Click to highlight the entry.

**To view patron status and ID information ...**

5. To verify a patron’s status, you can check data appearing in the sublibrary entry. The Patron Status column displays the code (01, 02, etc.) while the Description column displays spells out the status (Faculty, Officer, etc.). The Expiration Date column displays the date on which this patron’s Harvard barcode will expire.

6. In the lower pane, make sure the **Local Patron Details** tab (tab 1) is selected.

7. You can check a patron’s status on tab 1 as well. 

   Patron Status field displays the status code. Click the expand arrow to see code and textual description for all defined statuses. Press the Escape key to close the drop-down list.

   Patrons Status:  
   **01** Faculty 
   **02** Officer 
   **03** Staff (03) 
   **04** Summer school faculty 
   **05** Staff (05) 
   **11** Graduate*4*student 
   **12** Graduate student 
   **13** Undergraduate student 
   **14** Extension School degree candidate

8. Check the **Type** field to see the part of the university with which a patron is affiliated. Click on the expand arrow to view list of code descriptions. Press the Escape key to close the drop-down list.

   Patron Type field drop-down list of all type values

   Patrons Status:  
   **AL** Alumni/ae 
   **AN** Andover Newton students 
   **AS** Arts and Sciences 
   **BC** Boston College 
   **BF** Boston Medical Library fellows 
   **BK** Business School (student or employee) 
   **BM** Boston Medical Library members 
   **BU** Boston University 
   **CA** Central Administration (student or employee)
To view a patron’s privileges …

9. In the lower pane, click on the **Local Privileges** tab (tab 3).

10. View the individual privileges. These are all set automatically based on the **Patron Status** that is assigned on the Local Patron Details tab (tab 1).

<table>
<thead>
<tr>
<th>Loan:</th>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
<tbody>
<tr>
<td>Renewal:</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Hold Request:</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Multiple Hold Requests:</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Photocopy Request:</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Check Transactions:</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Override Privilege:</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Late Return Ignored:</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Allow Hold on Available Item:</td>
<td>Yes</td>
<td>No</td>
</tr>
<tr>
<td>Reading Room Permission:</td>
<td>Yes</td>
<td>No</td>
</tr>
</tbody>
</table>

Local Privileges tab; these are set automatically based on the Patron Status

**Loan:** Default is yes. Allows patron to borrow circulating items.

**Renewal:** Default is yes. Allows patron to renew items that may be renewed.

**Hold Request:** Default is yes. Allows patrons to recall and request items that may be requested.

**Multiple hold requests:** Default is no. Never should this be yes, which would allow a patron to have more than one request on the same item.

**Photocopy requests:** Default is no. We are not using this function at Harvard.

**Check transactions:** Default is yes. This means that when an item is loaned to this patron the system will check to make sure it’s not loaned to someone else or requested for someone else.

**Override privilege:** Default is yes. Yes allows a supervisor with override privileges to override a block on this patron.

**Late return ignored:** Default is no. Yes would mean that this patron could return anything they have as late as they want and never be fined or billed.

**Allow hold on available item:** Default is no. Yes means this patron could request anything in the catalog, even those items available on the shelf.

**Reading room permission:** Default is no. We are not using this function at Harvard.

Revised: March 18, 2009
4.2 Viewing a patron’s loans and holds

In this little procedure, you will check on a patron’s current loans and hold requests.

To view a patron’s current loans …

1. Open the Patron tab.

2. Retrieve a patron record, either by entering the barcode in the Patron bar, or click the ellipses button to search the Patron List.

3. Select the Loans node on the left navigation pane. Note that the total number of loans for this patron (for all sublibraries) appears in parentheses next to the node label.

4. View the Loan list (upper pane) for summary information about each item on loan.

Remember that you can control what information displays by changing the header configuration for this list. Mouse over the column headings and right-click to change heading choices.

5. Note that the Due Date column on the Loan List is also the place to look for items reported as “Lost” or “Claimed Returned”.

Revised: March 18, 2009
6. Again on the Loan List, click to **select an entry** and view loan details in the lower pane.

**To view a patron’s hold requests** …

![Image of Patron's Hold Requests]

1. Select the **Hold Requests node** on the left navigation pane. Note that the total number of requests by this patron (for all sublibraries) appears in parentheses next to the node label.

2. **View the Hold Request list** (upper pane) for summary information about each request. Remember that you can control what information displays by changing the header configuration for this list. Mouse over the column headings and right-click to change heading choices.

3. **To see if the item is on the hold shelf**, look in the **Hold Date column**. A date here indicates when the requested item was placed on the hold shelf. No date in this column means the requested item is still on loan.

4. **To see the type of request**, highlight an entry in the request list and check the **Recall Type** field in the lower pane Hold Request Information tab. Type 01 is a recall, 02 is a rush recall (used only for reserves items), and 03 is a hold.

**Buttons on the Hold Request List**

- You can delete holds by selecting the Delete button

Revised: March 18, 2009
• The Item List button will take you to the Item List in the Item Tab
• The Item Req button will take you to the Hold Request Node of the Item Tab

4.3 **Viewing a patron’s billing information**

In this little procedure, you will check on a patron’s outstanding fines and fees at your sublibrary (collectively called “cash transactions” in Aleph). Note that in most Cash node displays, you will see only those transactions related to your sublibrary.

1. Open the **Patron tab**.

2. **Retrieve a patron record**, either by entering the barcode in the Patron bar, or click the ellipses button to search the Patron List.

3. Select the **Cash node** on the left navigation pane. Note that the total dollar amount owed by this patron to your sublibrary appears in parentheses next to the node label. This amount is called the “total collectable” amount.

4. **Select the Active Cash tab** (upper pane) for a list of outstanding cash transactions related to your sublibrary.
Remember that you can control what information displays by changing the header configuration for this list. Mouse over the column headings and right-click to change heading choices.

5. **See the Debit or Credit column** for the amount owed or a credit due in each transaction. The reason for the transaction appears in the **Description column**.

Information in the **Status column** will normally be “Not Paid”, “Credited”, or sometimes “Ready to Transfer” (for bills about to go to Accounts Receivable).

6. **To see subtotals of fines and fees** owed at individual sublibraries, click the **By Sublibrary button**.

![Cash Subtotals by Sublibrary](image)

Click the By Sublibrary button to get the Cash Subtotals by Sublibrary window.

7. **To see details** of a cash transaction, click to select an entry on the Active Cash list and view details in the lower pane.
Lesson 5: Modifying a Patron Record

This lesson describes some common types of patron record updates, including changing address information (Section 5.1), changing status information (Section 5.2), adding notes (Section 5.3), and adding blocks on circulation privileges (Section 5.4).

An operator with appropriate authorization can update any patron record field. But remember that records for students, faculty, and staff are regularly updated with information from the HUID database, so some local changes will be overridden each time ID data is loaded.

5.1 Updating or adding an address

1. Open the Patron tab.
2. Retrieve a patron record, either by entering the barcode in the Patron bar, or click the ellipses button to search the Patron List.
3. Select the Address Information node on the left navigation pane.
4. To update an existing address, highlight the address in the upper pane. Make the necessary changes to the address record in the lower pane, then click the Update button.
   If you want to undo changes that have not yet been saved, click the Cancel button.
5. To add a new address, click the New button. Fill out the empty address record in the lower pane and click the Add button to save it.

Adding or updating a patron address

Revised: March 18, 2009
**Important hints about adding/updating an address record:**

- **Fix the inverted name.** In a manually-created address record, Aleph inserts the patron’s name as it appears in the Global Patron Information node (inverted, last name first). It is recommended that staff change this order since first name/last name appears more natural when printed on circulation notices.

- **Pseudopatrons should have an address.** For example, a pseudopatron used to place holds on materials needs an address so that the hold messages generated at discharge will indicate to staff the destination of the requested material.

- **Set address expiration dates in the far future.** When creating special borrower and pseudopatron records, be sure to set a distant "Valid To" date in the address, such as 12/31/2099.

If an address record’s "Valid to" date is a near future date, you run the risk of having an expired patron address when an overdue notice is slated to go out. Aleph will not use addresses that have expired. This is especially important when creating your own special borrowers and pseudopatrons, since these are never updated by the Aleph patron loader program.

- **Select the appropriate address TYPE.** Type 01 (Residence address) is usually the patron’s permanent (home) address. Type 02 (Mailing address) is a campus address. Aleph will always try to use the type 02 address, unless it has expired or is not present, in which case it will look for a type 01 address. Aleph never uses Type 03 addresses.

**5.2 Updating a patron’s status**

1. Open the **Patron tab**.

2. **Retrieve a patron record**, either by entering the barcode in the Patron bar, or click the ellipses button to search the Patron List.

3. Select the **Local Patron Information node** on the left navigation pane.

4. Select the **appropriate sublibrary** on the list in the upper pane.

5. In the lower pane, select the **Local Patron Details** pane if it is not already displaying.

6. **Type in a new value** in the Patron Status field or click on the arrow to the right of the field to display a list of codes. Double-click to select a code from the list. Or press Escape to close the list.

7. Click the **Get Defaults button** on the right to populate other fields with values appropriate for the new status. System will automatically update the expiration date and settings on the Privileges tab.

8. Click the **Update button** to save this change.
5.3 Adding a note to a patron record

Internal note space is available on the Blocks and Notes tab under both the Local and the Global Patron Information nodes. There are 3 note fields in each location, each 100 characters in size. These notes do not display anywhere but in the patron record.

**Global notes** about a patron should be applicable site-wide.

**Local notes** about a patron should be applicable site-wide if they are associated with the ALEPH Global User record, and sublibrary-specific if they are associated with a sublibrary record.

1. Open the Patron tab.

2. **Retrieve a patron record**, either by entering the barcode in the Patron bar, or click the ellipses button to search the Patron List.

3. To **add a Global note**, select the Global Patron Information node on the left navigation pane. In the lower pane, select the Global Blocks and Notes tab.

   Enter a note into any of the 5 fields and click Update to save.
4. To **add a Local note**, select the **Local Patron Information node** on the left navigation pane. Select the appropriate sublibrary entry. In the lower pane, select the **Local Blocks and Notes tab**.

Enter a note into any of the 3 fields and click Update to save.
Local patron information node selected

Add a note in the Blocks and Notes tab, then click Update to save it.

Adding a local note to the ALEPH Global User Record

Revised: March 18, 2009
5.4  **Adding a block on privileges**

This section describes blocking options (Section 5.4.1) and describes a procedure for applying a global block on a patron’s borrowing privileges (Section 5.4.2).

**Note about blocking policy at Harvard:** a formal policy regarding manual blocks in Aleph for Harvard units was promulgated in May 2004. See your library’s Circulation Manager for the details.

### 5.4.1 About blocks in Aleph

Aleph will automatically block a loan if the sublibrary’s policies do not authorize it, if the item is already loaned or recalled, if the item has been declared “lost” or “claimed returned”, or if the patron’s Harvard ID card is not valid.

Although Aleph can also be configured to automatically block a patron’s borrowing privileges based on circulation activity limits (owing too much money, having too many overdue items, etc.), Harvard is not currently using these system-generated blocks.

In most cases, a staff member with proper authorization will be able to override automatic and manual blocks as they occur at the circulation desk.

**Definition of terms**

**Global blocks** will prevent loans at all sublibraries and should be applied with care. Harvard Circulation Managers have formed local blocking policies that are in place at each library unit.

In Aleph, there are two ways to add a global block. From the **Blocks and Notes** tab of the Global Patron Information node and from the **Blocks and Notes** tab of the Local Patron Information node (when the ALEPH Global User record is selected).

**Local blocks** will prevent loans at a specific sublibrary. It is not recommended that this process be used—blocking should be handled at the Global level, using the procedure outlined below.

### 5.4.2 Adding a global block

This procedure describes how to apply a global block on a patron’s privileges that will be in effect at all sublibraries. This method involves adding a manual block to the ALEPH Global User record on the Local Patron Information node.

Libraries are responsible for adhering to these procedures and ensuring that only authorized staff actually place and remove blocks. Libraries are also responsible for maintaining internal records as to which patrons have been blocked. It is extremely important for libraries to remove blocks when patrons have settled their accounts and are eligible to borrow again.

**Step #1 – select block codes**

Select patron record, go to the Global Patron Information tab, and then go to the Global Blocks and Notes tab:

Revised: March 18, 2009
You will be entering two codes, “Global block 1” and “Global block 2.” They will both display to the user in the OPAC and to circ staff in the GUI. Each library will choose the same Global block 1, code 01.

Click on the drop-down selector for Global Block 1 to change 00 to 01:

Once you select the ‘01’, press enter. The text will not display until you click Update. You can do that now, or later after you add Global block 2.

Click on the drop-down selector for Global Block 2, select the code that has been set up for your library, and then update the record.

The codes are listed in alphabetical order of your 3-character “sub-library” code. You can also just enter the two-digit number that corresponds to your Global Block 2 code (e.g. 06 in the above example). When you click Update, the text will fill in.

**Step #2**

In the same tab, select the Global Note 1 field and fill in your initials, the date and one of these two codes: $$$ (for money owed, as above) or XXX (for exception, as above).

Libraries may add additional internal notes or messages. These do not display to the patron.

**Local Blocking Procedures**

At this time, it is not recommended that libraries use the Local Blocks and Notes tab under Local Information in the patron record.

Note about blocking:

- The blocks will prevent loans and renewals at all libraries.
- The blocks will not affect the patron’s ability to place requests.
- The blocks will not affect the patron’s ability to use electronic resources in HOLLIS.

The block text is intended to assist users in identifying which library to contact to clear up the block, but the block is intended to be honored by all libraries.

To remove a global block, change the block code to “00” (no patron sanction) and click Update.
Lesson 6: Creating a Patron Record

This lesson describes the sources of patron data in Aleph (Section 6.1) and procedures to create special borrower and pseudopatron records (Section 6.2).

6.1 Sources of patron data

Below are the general categories of patrons in Aleph. For each, there is information about the source of patron data and the Aleph Patron Status values that apply. The full list of patron status codes defined in Aleph is available from the Aleph documentation site, in the Circulation section:

http://hul.harvard.edu/ois/systems/aleph/docs.html

6.1.1 Regular students, faculty, staff

Patron records for regular Harvard students, faculty, and staff (patron statuses 01-15) are loaded into Aleph from the central HUID database. Patron updates from HUID are processed daily. In general, changes to these types of patron records should be made at the source (HUID) and received as an update to Aleph.

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>01</td>
<td>Faculty</td>
<td>11</td>
<td>Graduate<em>4</em> Student</td>
</tr>
<tr>
<td>02</td>
<td>Officer</td>
<td>12</td>
<td>Graduate student</td>
</tr>
<tr>
<td>03</td>
<td>Staff</td>
<td>13</td>
<td>Undergraduate student</td>
</tr>
<tr>
<td>04</td>
<td>Summer school faculty</td>
<td>14</td>
<td>Extension school degree candidate</td>
</tr>
<tr>
<td></td>
<td></td>
<td>15</td>
<td>Summer school student</td>
</tr>
</tbody>
</table>

6.1.2 Special borrowers

A special borrower is a patron with special privileges granted by a particular sublibrary. Special borrowers may not have a regular Harvard ID, or they may carry a special borrower card in addition to their regular Harvard ID.

In most cases, a special borrower’s privileges are limited to the sublibrary that issued the special borrower card. The exceptions are some types of Harvard College Library (HCL) special borrower cards, which allow access to a wider set of libraries, but not all. More information about HCL special borrower cards is available from the Widener Library web site:

http://hel.harvard.edu/widener/about/borrowing.html#special

The majority of special borrower records in Aleph are created and maintained by library staff. There are a few exceptional cases in which special borrower data is loaded into Aleph from the central HUID database.

Revised: March 18, 2009
For the patron statuses listed above, there are no default circulation policies in Aleph. When creating a special borrower record in Aleph, be sure to use only those statuses that are defined in your policy tables. If you are creating a patron record with a status not used before, you must arrange with OIS to set up policies for this status.

### 6.1.3 Proxy borrowers

A **proxy borrower** is a patron who is understood to be borrowing on behalf of another person. The most common case is a research assistant working for a faculty member—the assistant is a “proxy” borrowing on behalf of a faculty “sponsor”, usually with the sponsor’s privileges. The sponsor is responsible for all circulation transactions involving his or her proxy.

In Aleph, a proxy borrower has a special borrower record coded specifically for proxy borrowing. If a Harvard student is also a proxy borrower, the student will have a regular patron record and a proxy borrower record in Aleph.

All proxy borrower patron records in Aleph are created and maintained by library staff.

<table>
<thead>
<tr>
<th>Patron Status codes for proxy borrowers</th>
</tr>
</thead>
<tbody>
<tr>
<td>For expanded access</td>
</tr>
<tr>
<td>Code</td>
</tr>
<tr>
<td>21</td>
</tr>
<tr>
<td>22</td>
</tr>
<tr>
<td>23</td>
</tr>
<tr>
<td>53</td>
</tr>
<tr>
<td>54</td>
</tr>
</tbody>
</table>

For the patron statuses listed above, there are no default circulation policies in Aleph. When creating a proxy borrower record in Aleph, be sure to use only those statuses that are defined in your policy tables. If you are creating a patron record with a status not used before, you must arrange with OIS to set up policies for this status.

### 6.1.4 Pseudopatrons

A **pseudopatron** record represents a status or a location (e.g., “missing”, “cataloging department”, “at bindery”, “reserves requests”) rather than a real borrower. Each sublibrary has its own set of pseudopatron records.

All pseudopatron records in Aleph are created and maintained by library staff.

Revised: March 18, 2009
### Patron Status codes for pseudopatrons

<table>
<thead>
<tr>
<th>Code</th>
<th>Description</th>
<th>Code</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>60</td>
<td>Bindery</td>
<td>67</td>
<td>Preservation</td>
</tr>
<tr>
<td>61</td>
<td>Carrel</td>
<td>68</td>
<td>Reserves</td>
</tr>
<tr>
<td>62</td>
<td>In Building</td>
<td>69</td>
<td>Rush Recall</td>
</tr>
<tr>
<td>63</td>
<td>Interlibrary Loan</td>
<td></td>
<td></td>
</tr>
<tr>
<td>64</td>
<td>Lost</td>
<td>70</td>
<td>Study/Office</td>
</tr>
<tr>
<td>65</td>
<td>Missing</td>
<td>71</td>
<td>Library Managed Pseudopatron (71)</td>
</tr>
<tr>
<td>66</td>
<td>Other Harvard Library</td>
<td>72</td>
<td>Library Managed Pseudopatron (72)</td>
</tr>
<tr>
<td>80</td>
<td>Sub-library pseudopatron (Systems use only)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

If the statuses in the 60-70 range do not adequately describe the pseudopatron you need to create, use the generic pseudopatron statuses 71 and 72. Status 80 is reserved for pseudopatrons used by the system.

### 6.2 Patron records for special borrowers and pseudopatrons

This section describes procedures for creating a special borrower, proxy borrower, or pseudopatron record. Note that proxy borrower and pseudopatron records are just special borrower records with some specific coding requirements.

There are two methods used to create these patron records:

- **Local privileges method** defines the patron’s privileges at a specific sublibrary. Use this method to grant privileges to special borrowers and proxy borrowers that are limited to a specific sublibrary. This is also the method used to create all pseudopatrons.

- **Expanded privileges method** defines the patron’s privileges more widely. This method is used primarily by the Widener Privileges Office in the creation of HCL special borrower and proxy borrower records. Can also be used by other libraries to define proxy borrower records with expanded privileges.

The Local Privileges method is described in Section 6.2.1. The Expanded Privileges method is described in Section 6.2.2.

<table>
<thead>
<tr>
<th>Patron type</th>
<th>To define Local sublibrary privileges</th>
<th>To define Expanded privileges</th>
</tr>
</thead>
<tbody>
<tr>
<td>Special borrowers</td>
<td>Sec. 6.2.1</td>
<td>Sec. 6.2.2 (Wid Priv Office)</td>
</tr>
<tr>
<td>Proxy borrowers</td>
<td>Sec. 6.2.1</td>
<td>Sec. 6.2.2</td>
</tr>
<tr>
<td>Pseudopatrons</td>
<td>Sec. 6.2.1</td>
<td>N/A</td>
</tr>
</tbody>
</table>

Here are some important guidelines about patron record creation:

- **Use only those patron statuses** that are defined in your sublibrary’s policy tables. If you are creating a patron record with a status not used before, you must request that OIS set up policies for this status.

- **Do not create custom barcodes**, as this can lead to problems. Use vended barcodes only. To order barcode numbers, see instructions on the web: [http://hul.harvard.edu/ois/systems/aleph/docs/barcode_ordering.html](http://hul.harvard.edu/ois/systems/aleph/docs/barcode_ordering.html)
- **Do not assign your own Aleph ID number**, as this can lead to problems. Let the system assign this number.

- **Regular and special privileges on one record.** If you are assigning special borrowing privileges to someone who already has a regular Harvard ID, you can modify the existing patron record rather than create a new one. In this case, start at Step 4 in the procedures that follow. This technique is **NOT** an option when creating a proxy borrower record.
  - Using this technique, when the patron uses his/her regular Harvard ID at your sublibrary, special borrower privileges will apply.

- **When a proxy has multiple sponsors.** If a proxy borrows on behalf of multiple sponsors, the proxy borrower must have a separate patron record for each proxy relationship.
6.2.1 Creating a patron record with local privileges

Use this procedure to create a patron record when you want the special or proxy borrower to be able to borrow only at your library. Always use this procedure if you want to create a pseudopatron record.

If you want a special or proxy borrower to have privileges at the widest set of libraries, use the procedure described in Section 6.2.2.

1. Open a new patron workform. You can do this several ways: click on the New Patron button on the patron bar, select from the main menu Patron>New Patron, or press Ctrl+F7.

2. Fill in a few fields on the Global Patron Information form.

The result will be display of a Global Patron Information form.

To open a new patron workform, select from the menu, click the New Patron button, or use a keyboard shortcut.

![Figure 39 Methods for calling up new patron workform](image)

Revised: March 18, 2009
Form field definitions

- **Open date**: creation date of the record; supplied automatically.
- **Update date**: date global record is updated; supplied automatically.
- **Patron ID**: a unique system number for this patron record. Supplied automatically (staff should NOT assign the ID manually).
- **Pincode**: should be left blank.
- **Barcode**: the Harvard barcode. Enter a special borrower barcode number (usually 8 digits) here.
- **Barcode verification**: enter the same barcode number here.
- **Name**: enter the patron name here. If a true special borrower, enter the Last name, First name; if a pseudopatron, enter the name in natural order using the format:
  
  [library name]--[location or status]
  
  ex. Lamont—Reserves

For proxy borrowers, adding (PROXY) at end of the name is an option that will help you identify these records when scrolling through the Patron List.

Generally, you can ignore other fields on this form EXCEPT when describing a proxy borrower. If this record will represent a proxy borrower, you will also need to fill out **Sponsor's ID** and **Proxy Type**

- **Sponsor’s ID**: the patron ID number (NOT the barcode) from the sponsor’s patron record
- **Proxy Type**: assign the code “99” (All Proxy Functions).
- Click the **Update** button to save the global record.

3. The form will close, replaced by a regular upper and lower pane patron record. By default, the Global Patron Information node will display.

4. Select the Local Patron Information node on the left navigation pane. In the upper pane, scroll the list and click to select your sublibrary’s entry. In the lower pane, make sure the Local Patron Details tab is selected.

5. **Add a Patron Status** by typing the appropriate code or clicking on the expand arrow and selecting a code from the list.

For **special borrowers** and **proxy borrowers**, select a status in the 50s.
For **pseudopatrons**, select a status in the 60s.

6. **Add a Patron Type** by typing the appropriate code or clicking on the expand arrow and selecting a code from the list. This is a “faculty” code that identifies the part of the university with which this borrower is affiliated. Consult your local policies for the appropriate code.

For **proxy borrowers**, select Patron Type “PX” (Proxy Patron).

7. Click the **Get Defaults** button to automatically assign default values to other required fields. These defaults are assigned based on the Patron Status you added in Step 5 above.

Revised: March 18, 2009
For **pseudopatrons**, the default Expiration Date will be set to 12/31/2099. For **special borrowers** and **proxy borrowers**, the default Expiration Date will be set to a year from the current date. If this date is too long or short for your purposes, adjust it manually.

8. Click the **Update** button to save the record.

The completed sublibrary record should look similar to the example in the figure below.

9. **Add an address.** Click on the **Address Information** node in the left navigation pane.

The system automatically opens a new address record, with the default Address Type of 01 (Residence Address).

10. Supply address information according to your local policies.

   - **Name:** the system automatically adds the name as it was entered during initial setup (Last name, First name). For individual **special borrowers** and **proxy borrowers**, you will need to rearrange the name to First name Last name. For **institutional special borrowers** and **pseudopatrons**, the name as it appears is fine.

   - **Address:** all manually-created patron records, including pseudopatrons, should have an address.

Revised: March 18, 2009
- **Email:** add an email address if appropriate. Include the full address (e.g., name@fas.harvard.edu, not name@fas).

- **Telephone:** add a telephone number if appropriate.

- **Valid From/To:** system automatically assigns these dates. Aleph will not use an address after the Valid To date has passed. Best practice (at least for pseudopatrons) is to set the Valid To date into the far future, for example, 12/31/2099. This helps avoid the problem of sending notices when patron’s address has expired.

- **Address Type:** use Type 01 (Residence address) for a patron’s permanent (home) address. Use Type 02 (Mailing address) for a campus address. Aleph will always try to use the type 02 address, unless it has expired or there is no type 02 address, in which case it will use the type 01 address. Aleph never uses Type 03 addresses.

11. Click the **Update** button to save the record.

The completed address record should look something like the example in the figure below. Your patron record is complete!

![Completed address record for a special borrower](image-url)
6.2.2 Creating a patron record with expanded privileges

Use this procedure to create a patron record when you want the special or proxy borrower to be able to borrow at the widest set of libraries. This method is designed to be used by the Widener Privileges Office in creation of HCL special borrower records. It can also be used by other libraries to define proxy borrower records with expanded privileges.

If you want the special or proxy borrower to have privileges limited to your sublibrary, or if you will be creating a pseudopatron record, use the procedure described in Section 6.2.1.

Methods for calling up a new patron workform

1. Open a new patron workform. You can do this several ways: click on the New Patron button on the patron bar, select from the main menu Patron>New Patron, or press Ctrl+F7.

The result will be display of a Global Patron Information form.

2. Fill in a few fields on the Global Patron Information form.

Filling out the Global Patron Information form

Revised: March 18, 2009
Form field definitions

- **Open date**: creation date of the record; supplied automatically.
- **Update date**: date global record is updated; supplied automatically.
- **Patron ID**: a unique system number for this patron record. Supplied automatically (staff should NOT assign the ID manually).
- **Pincode**: should be left blank.
- **Barcode**: the Harvard barcode. Enter a special borrower barcode number (usually 8 digits) here.
- **Barcode verification**: enter the same barcode number here.
- **Name**: enter the patron name here. If an individual special or proxy borrower, enter the Last name, First name; if an institutional special borrower, enter the name in natural order.
  
  For proxy borrowers, adding (PROXY) at end of the name is an option that will help you identify these records when scrolling through the Patron List.

Generally, you can ignore other fields on this form EXCEPT when describing a proxy borrower. If this record will represent a proxy borrower, you will also need to fill out **Sponsor's ID** and **Proxy Type**

3. **Sponsor's ID**: the patron ID number (not the barcode) from the sponsor’s patron record

4. **Proxy Type**: assign the code “99” (All Proxy Functions).

5. Click the **Update** button to save the global record.

   The form will close, replaced by a regular upper and lower pane patron record. By default, the **Global Patron Information** node will display.

6. Select the **Local Patron Information** node on the left navigation pane. In the upper pane, make sure the **ALEPH Global User** entry is selected (it’s at the top of the list). In the lower pane, make sure the **Local Patron Details** tab is selected.

7. **Add a Patron Status** by typing the appropriate code or clicking on the expand arrow and selecting a code from the list.

   For special borrowers created by the Widener Privileges Office, select a status in the 30s. For proxy borrowers, select the status 21 (Faculty Proxy), 22 (Officer Proxy), or 23 (Staff Proxy).

8. **Add a Patron Type** by typing the appropriate code or clicking on the expand arrow and selecting a code from the list. This is a “faculty” code that identifies the part of the university with which this borrower is affiliated. Consult your local policies for the appropriate code.

   For proxy borrowers, select Patron Type “PX” (Proxy Patron).

9. Click the **Get Defaults** button to automatically assign default values to other required fields. These defaults are assigned based on the Patron Status you added in Step 5 above.

Revised: March 18, 2009
For **special borrowers** and **proxy borrowers**, the default Expiration Date will be set to a year from the current date. If this date is too long or short for your purposes, adjust it manually.

10. Click the **Update** button to save the record.

The completed sublibrary record should look similar to the example in the figure below.

![Completed local patron record for a Gutman Special Borrower](image)

11. **Add an address.** Click on the **Address Information** node in the left navigation pane.

The system automatically opens a new address record, with the default Address Type of 01 (Residence Address).

12. Supply address information according to your local policies.

- **Name:** the system automatically adds the name as it was entered during initial setup (Last name, First name). For **special borrowers** and **proxy borrowers**, you will need to rearrange the name to First name Last name.

- **Address:** all manually-created patron records should have an address.

- **Email:** add an email address if appropriate. Include the full address (e.g., name@fas.harvard.edu, not name@fas).

Revised: March 18, 2009
• **Telephone**: add a telephone number if appropriate.

• **Valid From/To**: system automatically assigns these dates. Aleph will not use an address after the Valid To date has passed. Best practice is to set the Valid To date into the far future, for example, 12/31/2099. This helps avoid the problem of sending notices when patron’s address has expired.

• **Address Type**: use Type 01 (Residence address) for a patron’s permanent (home) address. Use Type 02 (Mailing address) for a campus address. Aleph will always try to use the type 02 address, unless it has expired or there is no type 02 address, in which case it will use the type 01 address. Aleph never uses Type 03 addresses.

13. Click the **Update** button to save the record.

The completed address record should look something like the example in the figure below. Your patron record is complete!

![Completed address record for a special borrower](image-url)

Revised: March 18, 2009
Lesson 7: Proxy Borrowing

This lesson describes proxy borrower functions in Aleph. This includes how proxy borrowing works (Section 7.1) and how to tell when a borrower is a sponsor or proxy (Section 7.2).

7.1 How proxy borrowing works

A proxy borrower is someone (student, research assistant) who borrows on behalf of a sponsor (usually an officer or faculty member), normally using the sponsor’s privileges. The sponsor is responsible for the proxy’s circulation activities (e.g., sponsor receives notices and bills associated with proxy loans).

The proxy uses a specially-issued ID card/barcode (associated with a proxy patron record in Aleph) to borrow materials. In Aleph, the proxy record is linked to the sponsor’s patron record. The procedure for creating a proxy borrower record is described in Lesson 6.

Below are characteristics of loans, billing, and requests associated with a proxy borrower:

- **Loan parameters**, such as due date, are calculated based on the sponsor’s privileges.

- **Loans to a proxy will display** on both the proxy’s and the sponsors loan list.

- **Circulation notices**, including bills, are sent to the sponsor. Note: Aleph is not currently able to send notices to both proxy and sponsor, although this functionality is intended.

- **Cash transactions** associated with proxied loans appear on the sponsor’s cash list only.

- **Requests** placed by the proxy appear on both the proxy’s and the sponsor’s hold request list. When a requested item becomes available, the “Item Available” notice is sent only to the sponsor.

When a request is placed ON an item loaned to a proxy borrower, evidence of this request will appear on both the proxy’s and the sponsor’s loan list. The recall and availability notices associated with such a request will be sent only to the sponsor.

7.2 How to identify a proxy or sponsor

This section describes how you can identify a proxy borrower or sponsor in the patron file, and also how to move between proxy and sponsor patron records.

In Aleph, a proxy borrower has a special borrower record coded specifically for proxy borrowing. If a Harvard student is also a proxy borrower, the student will have a regular patron record and a proxy borrower record in Aleph. In the sponsor’s existing patron record, under the **Proxies/Sponsor node**, there will be a link to the patron record for each proxy borrower. In the proxy’s patron record, there will be a link to the sponsor’s patron record.

When a patron record is open under the Patron tab, the **Proxies/Sponsor node** will indicate that the patron has a proxy or sponsor role.
7.2.1 Viewing a sponsor’s patron record

The figure below illustrates a patron record for a sponsor. The **Proxies/Sponsor node** is open. Note the number in parentheses after the node label – this is the number of proxy borrowers linked to this sponsor.

Note these details:

- In the **right pane**, a list of proxies (or sponsors) displays.
- The **Type** value “Proxy” indicates that these are proxy borrowers, which means you are looking at the sponsor’s record.
- **Proxy Type “99”** means “All proxy functions”. This value is coming from the Global Patron Information node of the proxy patron record.
- Click the **Switch to** button to move to the selected proxy patron record.
The figure below shows the **sponsor’s loan list**. Included on the list are regular loans to the sponsor and loans to the sponsor’s proxy borrowers. The easiest way to differentiate regular from proxy loans is to add the **Proxy column** to the list display. A red check in this column indicates a proxy loan.

Note that the sponsor’s list of **hold requests** will work the same way. The list will include requests placed directly by the sponsor as well as requests placed by the proxy borrower. Adding the **Proxy column** to the list display will help you differentiate regular from proxy requests on the list.

The figure below shows the **cash list**. Included on the list are cash transactions derived from the sponsor’s loan activity and also from the proxy borrower’s loan activity.
At this time, the cash list does not offer a **Proxy column** option so there is no “flag” to indicate a proxy cash transaction. The cash transaction details that display in the lower pane also do not contain an indicator that the transaction resulted from a proxy loan.

### 7.2.2 Viewing a proxy’s patron record

The figure below illustrates a patron record for a proxy borrower. The **Proxies/Sponsor node** is open. Note the number in parentheses after the node label – in this case, the number indicates that this patron is a proxy borrower.

*Proxies/Sponsor node is selected; number in parentheses indicates this patron has a proxy relationship*

*Type “Sponsor” indicates that this is the sponsor, which means you are looking at a proxy’s patron record*

*Click the Switch to button to view the sponsor’s record*

*Proxies/Sponsor node for a proxy borrower, showing a link to the sponsor*
Note these details about the proxy’s patron record:

- **Proxy’s loan list** will include only items borrowed with the proxy ID card. If the proxy borrower is also a student at Harvard, any loans on the student ID card will be listed separately on the student’s regular patron record.

- **Proxy’s hold requests list** will include only items requested with the proxy ID card. If the proxy borrower is also a student at Harvard, any requests placed with the student ID card will be listed separately on the student’s regular patron record.

- **Proxy’s cash list** will always be empty since cash transactions resulting from proxy loans are listed only on the sponsor’s cash list.

**Lesson 8: Handling Cash Transactions**

This lesson describes how fines and fees should be handled during Returns (Section 8.1) and Renewals (Section 8.2). It also describes procedures for recording payments directly on a patron’s Active Cash List (Section 8.3).

The fines and fees charged to patrons because of overdue or lost materials are called cash transactions in Aleph.

Cash transactions are generated:

- When an item is returned (see Section 8.1)
- When an item is renewed (see Section 8.2)
- When an unreturned item is recorded as “lost” and possibly also when the “lost” item is returned (See Lesson 9)

Aleph does indicate a fine amount as it accumulates for an active overdue loan, but such a fine does not become a cash transaction until the item is returned or renewed.

Cash transactions can also be created manually by staff. See Lesson 11.

**Important note:** most cash transactions, if not paid or waived at the circulation desk, will eventually be transferred electronically from Aleph to an external agency for billing. See Lesson 12 for more information.

### 8.1 Handling fines during a return session

When an item is overdue, this is what happens during the Return session:

- System displays an “Item returned late” pop-up warning. You will not be able to continue discharging items until this warning is acknowledged (by clicking OK).
- After acknowledging the late return, the system will create a cash transaction for an overdue fine (if this is called for by the sublibrary’s policy table).
• On the upper pane of the Return session, the Pay window will indicate the total amount collectable for your sublibrary (not necessarily just the most recent fine transaction).

Click the Patron’s Cash button to switch to the Active Cash list

Pay window shows total amount of collectable fines for your sublibrary

Returning an item that is overdue

Options for accepting payment during a Return session include:

• If the patron is present and wants to pay, either:
  
  o record full or partial payment for all collectible fines using the Pay Cash button (Section 8.1.1), or
  
  o click the Patron’s Cash button to view all open cash transactions on the Active Cash list and record payment there (Section 8.1.2, Section 8.3).

• If the patron chooses not to pay, or if the patron is not present (e.g., you are returning items found in the book drop)
  
  o the cash transaction will be created by the system and left unpaid, but will eventually be passed to an external billing agency.

If you just need to confirm the amount of the fine that was just calculated, click the Patron’s Cash button to view a list of all active cash transactions.

8.1.1 At Return, accepting payment for all collectable fines

The Pay Cash option on the Return screen allows you to apply a payment to all outstanding (active) fines from your sublibrary without having to select fines individually. The patron can pay the total collectable and all of your sublibrary’s fines will be closed, or patron can make a partial payment and the system will sequentially close outstanding fines until payment is exhausted.

If the patron chooses to pay only a specific fine or part of a specific fine, use the specific find payment workflow described in Section 8.1.2.

1. Click the OK button to close the pop-up Late Return warning.

Revised: March 18, 2009
On the upper pane of the Return session, the Pay window will indicate the total amount collectable for your sublibrary.

2. If the patron chooses to pay the full amount of all fines for your sublibrary, click the Pay Cash button. This function will mark ALL outstanding fines for your sublibrary as paid.

If the patron chooses to make a partial payment toward these fines, enter the payment amount in the Pay text box and then click the Pay Cash button.

When the system asks Are you sure …?, click Yes to proceed (or No to cancel this transaction).

3. System provides the option of printing a cash receipt that identifies the amount paid and titles associated with the fines.

All cash transactions closed by this process are marked paid and now display under the Cash History and All Transactions tabs.

8.1.2 At Return, accepting payment for a specific fine

If you need to view a cash transaction created during a Return session, or if the patron wants to pay for a specific fine during a Return session, you must go to the patron’s Active Cash list, where all active (open) cash transactions display.

There are two ways to switch to the Active Cash list:

- **Click the Patron’s Cash button** in the upper pane of the Return screen. This will open the Cash node under the Patron tab. The Active Cash list will display, with the newly-created cash transaction highlighted.

- **Select the Patron tab directly**, then open the Cash node and select the Active Cash tab in the upper pane.

Revised: March 18, 2009
Once you have selected the Active Cash tab, follow the payment procedures in Section 8.3 (Handling fines from the patron cash node) to accept payment for a specific cash transaction.

8.2 Handling fines during a renewal

This section describes how the system handles cash transactions when items are renewed. There are three ways to perform a renewal in the PC client: (1) from patron’s loan list, (2) item list of the Item tab, or (3) from the menu (Circulation>Renew Loan by Barcode). And, a borrower can renew items using the “Your Account” feature in the OPAC.

**Important note:** renewing an item using the Loan tab is not recommended. Any accrued fines will disappear but no cash transaction will be created. This behavior is intentional, based on settings recommended by the original Circulation Implementation Team.

When an overdue item is renewed,

- the system calculates the overdue fine and creates an “unpaid” cash transaction, and
- unlike a return session, a pop-up warning does not display to circulation staff and there is no obvious sign that a fine has been assessed.

Of the several ways to perform a renewal, only renewals from the patron’s loan list allow circulation staff the opportunity to notice an accumulated fine for the item before renewal takes place. The loan entry for the item in question will have an amount in the “Fine” column.

Example of patron’s loan lost, with accumulated fines BEFORE renewal

Once the item is renewed, system will create an unpaid cash transaction for this fine but will not display a pop-up warning to staff. And, since the original fine has been transferred to a cash transaction, the fine amount disappears from the “Fine” column of the loan entry.

Revised: March 18, 2009
8.3 **Handling fines from the patron cash node**

From a patron’s Cash node, you can accept payment for all collectable fines (Section 8.3.1), or you can accept payment for all or part of a specific fine (Section 8.3.2).

### 8.3.1 From Cash node, accepting payment for all collectable fines

Use the **Pay Sum** button on the **Active Cash tab** to apply a payment to all outstanding (active) fines from your sublibrary without having to select fines individually. The patron can pay the total collectable and all of your sublibrary’s fines will be closed, or the patron can make a partial payment and the system will sequentially close outstanding fines until payment is exhausted.

If the patron chooses to pay only a specific fine or part of a specific fine, use the **specific fine payment workflow** described in Section 8.3.2.

1. From the navigation pane of the Patron tab, select the **Cash node**. In the upper pane, select the **Active Cash tab**.

   Note that the total amount of collectable fines for your sublibrary displays in the **Pay Sum** box.

2. If the patron chooses to pay the full amount of these fines, click the **Pay Sum** button. This function will mark ALL outstanding fines for your sublibrary as paid.

   If the patron chooses to make a partial payment toward these fines, enter the payment amount in the **Sum to Pay** box and then click the **Pay Sum** button.

Revised: March 18, 2009
When the system asks **Are you sure ...?** Click **Yes** to proceed (or **No** to cancel this transaction).

(1) Enter amount being paid in **Sum to Pay** (or leave as is to pay full amount collectable)

(2) Click **Pay Sum**

(3) Pop-up confirming payment displays; click **Yes** to record payment

On the patron’s Active Cash tab; using **Pay Sum** to pay all collectible fines

The Cash payment mode provides options for accepting payment-check with your supervisor to make sure you can accept one of the payment modes.

- 00-Cash [this is the default]
- 01 Check
- 02 Crimson Cash
- 03 Credit Card

3. System provides the option of printing a cash receipt that identifies the amount paid and titles associated with the fines.

Revised: March 18, 2009
Cash receipt produced after accepting payment using Pay Sum

All cash transactions closed by this process are marked paid and now display under the Cash History and All Transactions tabs.

8.3.2 From Cash node, accepting payment for a specific fine

This section describes how to apply full or partial payment to a specific fine when on the patron’s Cash node. Highlight the fine transaction of interest and click the Pay Selected button to apply a full or partial payment to this fine.

1. From the navigation pane of the Patron tab, select the Cash node and the Active Cash tab.

2. On the Active Cash list, highlight the fine transaction to which payment will be applied. Then click the Pay Selected button.

To mark several transactions for payment, press Shift and click to select them, then click Pay Selected.

A pop-up warning box displays, asking “Are you sure the patron wants to pay the library XX US dollars?”

Revised: March 18, 2009
On the patron’s Active Cash tab; using Pay Selected to pay a single fine

3. If patron will pay in full, click Yes to record payment of the full amount of the selected fine.

   The fine will be marked as paid and will be listed under the Cash History and All Transactions tabs.

4. If patron will make a partial payment, click No to get an option to alter the payment amount.
Click No and a Change Sum to be Paid by Patron window will display. Alter the payment amount as needed and click OK.

![Cash Transaction Window]

Changing the amount to be paid

In the example above, the patron chooses to pay $50.00 (of a $75 fine) so that is the amount entered in the box.

5. System provides the option of printing a cash receipt that identifies the amount paid and title associated with the fine.

6. You will see that the Active Cash tab now indicates that it says that 50.00 of the fine was paid and $25.00 is left in debit

![Active Cash Tab]

Active Cash tab after partial payment

7. Look at this transaction in the All Transactions tab. The history for this partial payment includes a line for the original debit ($75) and another line for the remaining debit ($25) after a partial payment of $50.

Revised: March 18, 2009
Patron’s All Transactions tab, showing the cash transaction now marked “Paid (Partial payment)”

Look at this transaction in the Cash History tab. Note that the entry does not indicate amount of the partial payment. If you need this information, consult the All Transactions tab.

Cash History Tab: Note that there is no amount listed for the Partial Payment
Lesson 9: “Lost” and “Claimed Returned” Cash Transactions

This Lesson describes how the system handles cash transactions for “lost” and “claimed returned” items. This includes an overview of cash activity for lost and claimed returned items (Section 9.1), the procedure for handling lost materials at loan and return (Section 9.2), and the procedure for handling claimed returned materials at loan and return (Section 9.3).

Note that the procedure for declaring an item lost or claimed returned is described in the Learner Guide for the class “Circulation A: Transactions and Items”, which is available on the web: http://hul.harvard.edu/ois/systems/aleph/docs/train_crca.pdf

Important note: processing of credits resulting from the return of a “lost” item can be influenced by the external billing cycle. See Lesson 12 for more information.

9.1 About charges for “lost” and “claimed returned” items

When an item is declared lost:

- the system will charge the patron with the standard replacement fee for your sublibrary,
- a cash transaction for this replacement fee will appear on the patron’s Active Cash list,
- if the item had an overdue fine when it was declared lost, this fine remains associated with the active loan but no cash transaction is created,
- if the item is found and returned, the system will forgive (credit) the replacement fee but any overdue fine will be charged to the patron (and become a cash transaction).

When an item is declared “claimed returned”:

- the loan to the patron remains intact, but fines stop accruing,
- after a set number of days, the claimed returned item is declared lost (by the system automatically, or by staff manually),
- the cash transactions typical of lost materials take over; e.g., patron is charged for the replacement fee,
- if the item is returned, replacement fee is forgiven (credited) and any overdue fine is charged.

9.2 Handling “lost” material in loan and return sessions

The system will not allow you to loan a book that has been declared lost. If you try, a pop-up warning displays, saying “Item cannot be loaned. It is already on loan.” You must return the item and then perform the loan.

Here is the procedure for handling a “lost” item encountered during a loan session. If you encounter a “lost” item during a return session, start at Step 3 below.

1. Click OK to acknowledge the warning you received trying to loan the lost item.

Revised: March 18, 2009
2. Go to the **Return** tab, and return the item.

3. A pop-up warning displays, saying “The returned item has been declared lost. Do you want to continue?” Click **Yes**.

4. Now it is OK to loan the item to the new borrower.

The item is discharged from the original borrower. The system creates a cash transaction to credit the replacement fee that was originally charged to the patron. Any overdue fine associated with the original loan will be charged to the patron at this point (and a cash transaction for it added to patron’s Active Loans list).

Here is the patron’s Active Cash list BEFORE the “lost” item was returned. Note the cash transaction for a replacement fee.

![Image of Active Cash list BEFORE the “lost” item was returned]

Before “lost” item is returned, a cash transaction for replacement fee exists.

Here is the patron’s Active Cash list AFTER the “lost” item is returned. Note that the replacement fee has been credited and there is a new cash transaction for an overdue fine.

![Image of Active Cash list AFTER the “lost” item is returned]

After “lost item is returned, replacement fee is credited and cash transaction for an overdue fine is created.

**Revised:** March 18, 2009
9.3 **Handling “claimed returned” material in loan and return sessions**

“Claimed Returned” items behave the same as “Lost” items during loan and return sessions.

The system will not allow you to loan a book that has been declared claimed returned. If you try, a pop-up warning displays, saying “Item cannot be loaned. It is already on loan.” You must return the item and then perform the loan.

Here is the procedure for handling a “claimed returned” item encountered during a loan session. If you encounter a “claimed returned” item during a return session, start at **Step 3** below.

1. Click **OK** to acknowledge this warning.
2. Go to the **Return** tab, and return the item.
3. A pop-up warning displays, saying “The item returned has been claimed as returned. Do you want to continue?” Click **Yes**.
4. Now it is OK to loan the item to the new borrower.

The item is discharged from the original borrower. Any overdue fines associated with the original loan will be charged to the patron at this point (and a cash transaction for them added to patron’s Active Loans list).

Here is the patron’s Active Cash list after the “claimed returned” item was returned. A cash transaction for an overdue fine has been created.

![Cash Transaction Example]

After “claimed returned” item is returned, cash transaction for an overdue fine is created.

Revised: March 18, 2009
Lesson 10: Waiving or Canceling Fines

This lesson describes how to waive or cancel active cash transactions.

In Aleph, use the Waive function any time a cash transaction must be canceled, including valid fines that are forgiven and fines charged in error.

Waiving a cash transaction means the patron is no longer responsible for paying the fine. Waived cash transactions are not transferred to Term Bill or Accounts Receivable.

In Aleph, fine transactions can be waived individually, partially waived, or you can waive a selected group of transactions. If a single loan transaction results in multiple fines (e.g., late return and recall late return on the same item), these can be waived individually.

Here is the procedure for waiving a cash transaction.

1. Go to the Patron tab, Cash node. Select the Active Cash tab.

2. Highlight the fine to be waived and click the Waive button.

   If you want to waive a group of fines, press Shift and click to select the fines, then press the Waive button.

3. A Waive Description pop-up window displays. In the text box, enter a reason for the waive. This text will display in the description column of the cash transaction. Then click OK.

   In the example below, the operator is going to waive an overdue fine (labeled as “Late Return”).

Revised: March 18, 2009
On the Cash node, Active Cash list; waiving an overdue fine

If you are waiving a group of fines, a separate **Waive Description** window will display for each. Enter a description and click **OK** for each.

4. Depending on how your sublibrary has configured it, a cash receipt will appear with an option for printing, or a copy will just print. If you waived a group of transactions, information for each will appear on a single cash receipt.

When the waive is complete, the fine transaction no longer displays on the **Active Cash** list.

In the following example, the “Late Return” transaction that was waived now appears on the **Cancelled Transactions** tab. You will also find this listed under **All Transactions**.
The waived overdue fine now appears on the Cancelled Transactions tab.

Use the same procedure to utilize a partial waive.

Lesson 11: Manual Creation of Cash Transactions

This lesson describes how to manually create a cash transaction. Most cash transactions will be created automatically by the system when overdue situations arise or when materials are declared lost. But there will be occasions in which staff need to create a cash transaction, for example to reinstate a fine waived in error or to add a processing fee to accompany an existing fine.

In Aleph, you can associate a specific item with a manually-created cash transaction, but this is not required. A manually-created cash transaction can represent a debit or a credit. Such transactions can be transferred to Accounts Receivable or Term Bill.

New cash transactions can be created from the patron record Cash node, by clicking the New button.

Follow the steps below to create a new cash transaction. The example used in the procedure involves creation of a new cash transaction to replace a late return fine that was waived in error.

Here is the “Late Return” fine that was waived in error. This waived transaction displays on the patron’s Cancelled Transactions tab.
1. Go to the patron record **Cash node**. Any cash tab can be displaying.

2. Click the **New button** (to the right of the cash transaction list).

3. Fill out the **New Cash Transaction** form. Then click **OK**. See the list of fields to complete below.

   **Note**: When you select a **Type** value, the system displays a pop-up window warning you that values are different from the default. This is OK. Just click **Yes** to continue.

   ![Pop-up warning]

   Pop-up warning

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Fill out these fields:

- **Enter Item Barcode**: [optional] enter barcode of item to associate with this transaction. If you don’t have barcode on hand, click the expand arrow to get a mini-Find search form, then search for the item.

- **Type**: click the expand arrow and select the appropriate cash transaction type (for example, “0003” for “late return”). The system will display a pop-up warning that values do not match the default. Just click Yes to continue.

- **Sum**: enter the amount of the transaction.

- **Debit/Credit**: select either debit or credit.

- **Description**: this will default based on the **Type** code you select. But you can add more text if desired.

- **Sublibrary**: enter the sublibrary associated with this transaction. This field does NOT default to the sublibrary of the item whose barcode you specified at the top of the form.

The new cash transaction will appear under Active Cash as well as All Transactions. Below is an example of the new cash transaction on the **Active Cash tab**.

Manually created cash transaction, from the Active Cash tab

Revised: March 18, 2009
Lesson 12: External Billing to Term Bill and Accounts Receivable

12.1. Introduction to Aleph external billing

The Aleph library system uses cash transactions to track library fines and fees owed by library patrons. Cash transactions may be created automatically by the system, for example, when an overdue book is returned, or if a book is declared lost. Authorized library staff may also create cash transactions manually.

Most of these cash transactions, if not paid or waived at the circulation desk, will eventually be transferred electronically from Aleph to an external Harvard billing agency for collection. There are currently two external billing destinations: the Student Receivables Office and the Accounts Receivable Office.

Because there are important differences between billing to Student Receivables and to Accounts Receivable, each process is described in detail in this document.

12.1.1 What is Student Receivables (Term Bill)?

The Student Receivables Office (SRO) is sometimes referred to as “Student Billing” or “Term Bill. The Student Receivables Office (SRO) is part of Harvard's central Student Financial Services. SRO is responsible for gathering term bill charges from the schools and other administrative units across the University, and for generating and collecting student term bills.

Consult the SRO web site (https://sfsportal.harvard.edu/portal/AdminSROHome) for information about their policies and a list of SRO contacts.

12.2.2 What is Accounts Receivable?

The Accounts Receivable Office (AR) is the part of Central Administration that is responsible for billing non-student “customers” for goods, services, and fees generated by local billing units within the University. For the purposes of external billing out of Aleph, this includes Harvard faculty, staff, Summer School students, degree candidates in Extension, and others affiliated with the university who are not regular undergraduate and graduate students.

Online user support for Accounts Receivable is available from the ABLE web site (http://able.harvard.edu/ar/ar_index.shtml).

12.2 External billing schedules

Data for external billing is sent out from Aleph on the following schedule:

<table>
<thead>
<tr>
<th>Destination</th>
<th>Frequency</th>
<th>Preliminary report</th>
<th>Library review period</th>
<th>Final report &amp; data feed</th>
</tr>
</thead>
<tbody>
<tr>
<td>Student billing</td>
<td>Weekly</td>
<td>Tuesday, 8am</td>
<td>Tuesday-Wednesday</td>
<td>Thursday, 8am</td>
</tr>
<tr>
<td>Accounts Receivable</td>
<td>Second week each month</td>
<td>Tuesday, 8am</td>
<td>Tuesday-Wednesday</td>
<td>Thursday, 8am (report) Thursday, 11am (data feed)</td>
</tr>
</tbody>
</table>

When the batch program runs on Tuesday, it includes eligible cash transactions up through midnight of the day before. Libraries review the Preliminary reports and waive transactions that they do not wish to send to billing. When the program sends data to the external billing agency

Revised: March 18, 2009
on Thursday, the program once again evaluates transactions up through midnight of the Monday of the same week, but waived transactions are not included because they are no longer in the patron’s active cash.

12.3 Student Billing (term bill) process

12.3.1 Eligibility for term billing

Cash transactions that are sent out for term billing must meet the following criteria:

1. Patron has one of the following patron statuses in the ALEPH Global portion of the patron record:

<table>
<thead>
<tr>
<th>Aleph patron status</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>11</td>
<td>Graduate<em>4</em>student</td>
</tr>
<tr>
<td>12</td>
<td>Graduate student</td>
</tr>
<tr>
<td>13</td>
<td>Undergraduate student</td>
</tr>
</tbody>
</table>

2. The patron has open, non-transferred cash transactions in Aleph; the total debit amount for a patron at a library must be at least $1.00.

3. The date of the open cash transaction must be no later than midnight of the day previous to the run date of the preliminary report.

Note: Bills for proxies (Borrower statuses 21, 22, 23) are assigned to the sponsor (Borrower statuses 01, 02, 03).

12.3.2 Overview of the term bill process

Preliminary processing (Tuesday 8 am)

- Aleph scans active cash transactions that are dated no later than midnight on Monday and identifies those eligible for term billing.
- A preliminary report of eligible cash transactions is delivered by email attachment to each library.
- In Aleph, eligible cash transactions are not marked in any way (yet).

Library review period (Tuesday and Wednesday)

- Library reviews the preliminary report and waives any fines that they do not want Student Billing to invoice. Waived fines will not be eligible for term billing.

Final processing and data feed (Thursday 8 am)

- All eligible active cash transactions dated no later than midnight on Monday are transferred to the Student Billing system.

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• In Aleph, transferred cash transactions are closed and marked with the status “Paid (External)”. Cash transactions that did not meet the batch minimum ($1 per patron, per library) are closed and marked “Waived – batch minimum not met”.

• A final report of transferred cash transactions is delivered by email attachment to each library.

12.3.3 About preliminary and final reports

OIS provides two reports (one preliminary and one final) to libraries to assist them in identifying and transferring information about patron bills eligible for Term Bill invoicing. These reports are generated weekly. The preliminary report appears on Tuesday followed by the final report on Thursday.

Libraries should use the Library Review Period (from the receipt of the preliminary report each Tuesday through midnight each Wednesday) to waive those fees and fines that the library does not want Student Billing to invoice. Upon waiving, a cash transaction is no longer “active” and will be skipped during final processing.

12.3.4 Report is e-mailed

Libraries will receive their preliminary student billing report via email to one or more pre-established contacts at each library. Contact the Aleph Support Center at http://hul.harvard.edu/ois/systems/Aleph/forms/f-supp-circ.html if you need to change or add to the distribution list.

12.3.5 To help you identify these emails

The return address on the email is: unix-ops@hulmail.harvard.edu. The report is sent as an attachment with a file name beginning with “tb” followed by a three-character code that corresponds to the library to which the data pertains, and a file type of .doc, e.g., tbwid.doc. Most email programs will open this file type with Microsoft Word. The file itself is a plain text file. The email subject line is “Preliminary Term Bill Report”.

Below is a sample of the contents in the preliminary term bill report.
Sample preliminary term bill report

HARVARD UNIVERSITY
08/26/2003                   Preliminary term bill

Origin:     Widener Circulation (subcode 54588)
Date range: 07/08/2002 - 08/25/2003

<table>
<thead>
<tr>
<th>Student name &amp; id</th>
<th>Amount</th>
<th>Date and time</th>
<th>Item barcode</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>AMES, KRISTEN ANN</td>
<td>405 3983 20</td>
<td>28.00</td>
<td>11/08/2002 11:52</td>
<td>32044018149591</td>
</tr>
<tr>
<td></td>
<td>405 3983 20</td>
<td>28.00</td>
<td>11/08/2002 11:54</td>
<td>HXENMM</td>
</tr>
</tbody>
</table>

total            56.00

12.3.6 Printing the term bill report

After you open the email attachment, and before you print, you will want to change the orientation of the page to Landscape printing. Choosing landscape will minimize wrapping and result in fewer pages to print.

Some libraries might want to use the printed report for making notes while at the same time using the electronic version for copy/pasting data such as the patron ID from the report into Aleph to easily look up the patron’s record.

12.3.7 Contents of the term bill report

Each preliminary report is labeled as follows:

- **Report Name:** Preliminary Term Bill Charges
- **Date:** Date of Preliminary Report.
- **Origin:** Name of Library Unit followed by billing subcode, e.g. Widener Circulation (subcode 54588)
- **Date range:** Cash transaction dates included in the report; coverage includes transactions through midnight of the day before the run.

The report contains the following information, and is sorted first by name, and then by the date and time of the cash transaction:

- **Student name and id:** Student's last name and first name, with the Aleph patron ID in parentheses following (e.g. Johnson, Kimberley (00023455)).

Each cash transaction will include the following data:

- **Student's barcode**
- **Amount:** Credit or debit amount of the cash transaction.
- **Date and time:** Open date and time of the cash transaction.
- **Item barcode:** Item barcode associated with the cash transaction.
- **Description:** Description of the cash transaction. Will contain text such as "Late return <0038 0000 D .50>" followed by any text that the operator may have entered when the cash transaction was registered. In this example, the cash transaction is for an item that was 38 days overdue, billed at $0.50/day.

Revised: March 18, 2009
The above detail lines are followed by a total of fees and fines owed by the patron to the library. Note that this report only lists the fines owed to your particular library; please be aware that the patron could owe other fines to other libraries as well.

If a total amount for the patron at a library is less than $1.00, the transactions will not appear on this report. Upon the actual running of the Aleph billing program, these transactions will be marked "Waived - batch minimum not met." You might see individual transaction amounts of less than $1.00 on the preliminary report if the patron's total transaction amount for an individual sublibrary is at least $1.00.

Example scenarios you will not see on the report:

Scenario 1. Patron has $0.72 overdue fine at Cabot.
Scenario 2. Patron has $0.72 overdue fine at Cabot and $0.32 overdue fine at Lamont.

Example scenarios you will see on the report:

Scenario 1. Patron has two overdue fines at Cabot: one for $0.72 and another for $0.32.

12.3.8 Library review of the preliminary report

Libraries should review the preliminary report and waive any fines in Aleph that should not be transferred to the term bill system.

All active cash transactions are unchanged at this point in the process.

12.3.9 About the term bill data feed

Every Thursday, OIS transmits all active cash transactions eligible for billing by Student Billing to the term bill system.

12.3.10 Final report for term bill feed

Upon transmission of the data, a final report will be emailed to the libraries as a record of the billing data that was sent. Except for the omission of references to "Preliminary," the characteristics of the final report are identical to the preliminary report.

12.3.11 Closed cash transactions for term bill

During the preliminary run, the cash transaction data is not modified in any way by the term bill program. During the final run, the status of all active cash transactions is updated to either “Paid (External)” or “Waived – batch minimum not met.” More details follow.

All cash transactions that are eligible for billing are changed to “Paid (External)” upon transfer to Student Billing. The transactions are now viewable in the patron's Cash History.

The Status description will be changed to "Paid (External)" to distinguish these transactions from ones that were paid in person.

On the detail pane of the transaction, Transferred to will contain the text "Student Billing".

On date will contain the date the data was sent to Student Billing.

Revised: March 18, 2009
**By export number** will contain a number similar to what was used in the old HOLLIS system: TB- followed by a datestamp, e.g. TB-20021113).

This sample screenshot shows these new values:

Closed cash transaction for term bill debit

12.3.12 Cancelled cash transactions for term bill

If the total amount for the patron at a library is less than $1.00, these transactions will be marked with the status "Waived - batch minimum not met."
Cash transactions that are manually waived by library staff are marked with the status “Cancelled.”

12.4. Troubleshooting: when students become unregistered

12.4.1 New charges

Once a student becomes non-registered, the policy at Student Receivables is that there is a three month grace period in which they will accept new charges for term billing. After the three month period, SRO rejects the transactions and sends them back to OIS.

OIS forwards these lists to circulation billing contacts via the circulation billing e-mail list. The lists include HUID, Student name, Term bill date, Billing Org, and amount. These transactions will remain closed in Aleph; programmatically at this time we cannot re-open them. If the library wishes to pursue these charges, it should contact Accounts Receivable for follow-up.

12.4.2 New credits

The term bill office will accept new credits indefinitely.

If the patron record is still in Aleph, and the debit transaction originated in Aleph, issue a new cash credit transaction. See section 4 for instructions on handling credits. The credit will be picked up in the next data feed.

If the patron record is not in Aleph, or the original debit originated in the old HULPR system, you must contact the Student Receivables Office to request the credit. There is an Excel spreadsheet designed for such requests, which is available for download.

Download the spreadsheet from the OIS website.

12.5. Accounts Receivable process

12.5.1 Eligibility for Accounts Receivable billing

Cash transactions that are sent out to Accounts Receivable (AR) for external billing must meet the following criteria:

1. The patron has one of the following statuses in the ALEPH Global portion of the patron record:
### Aleph patron status

<table>
<thead>
<tr>
<th>Aleph patron status</th>
<th>Aleph description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>REGULAR HUID’S</strong></td>
<td></td>
</tr>
<tr>
<td>01 Faculty</td>
<td></td>
</tr>
<tr>
<td>02 Officer</td>
<td></td>
</tr>
<tr>
<td>03 Staff</td>
<td></td>
</tr>
<tr>
<td>04 Summer school faculty</td>
<td></td>
</tr>
<tr>
<td>14 Extension school degree candidate</td>
<td></td>
</tr>
<tr>
<td>15 Summer school student</td>
<td></td>
</tr>
<tr>
<td><strong>SPECIAL BORROWERS</strong></td>
<td></td>
</tr>
<tr>
<td>31 Alumnus (HU)</td>
<td></td>
</tr>
<tr>
<td>32 S-Borrower (B)</td>
<td></td>
</tr>
<tr>
<td>33 Alumnus (College)</td>
<td></td>
</tr>
<tr>
<td>34 S-Borrower (Fletcher)</td>
<td></td>
</tr>
<tr>
<td>35 S-Borrower (HST-MIT-MEMP)</td>
<td></td>
</tr>
<tr>
<td>36 S-Borrower (O)</td>
<td></td>
</tr>
<tr>
<td>37 S-Borrower(U)</td>
<td></td>
</tr>
<tr>
<td>38 S-Borrower (WGBH)</td>
<td></td>
</tr>
<tr>
<td><strong>LIBRARY-MANAGED SPECIAL BORROWERS</strong></td>
<td></td>
</tr>
<tr>
<td>50 Library special borrower (50)</td>
<td></td>
</tr>
<tr>
<td>51 Library special borrower (51)</td>
<td></td>
</tr>
<tr>
<td>52 Library special borrower (52)</td>
<td></td>
</tr>
<tr>
<td>53 Library special borrower (53)</td>
<td></td>
</tr>
<tr>
<td>54 Library special borrower (54)</td>
<td></td>
</tr>
<tr>
<td>55 Library special borrower (55)</td>
<td></td>
</tr>
</tbody>
</table>

2. The patron has an active customer record in the AR system.

3. The patron has open, non-transferred cash transactions in Aleph; the total debit amount for a patron at a library must be at least $1.00.

4. The date of the open cash transaction is no later than midnight of the day previous to the run date of the preliminary report.

**Note:**

- Bills for proxies (Borrower statuses 21, 22, 23) are assigned to the sponsor Borrower statuses 01, 02, 03).

- Patron statuses 60 and above (pseudopatrons) are excluded from Accounts Receivable billing

### 12.5.2 Overview of the AR billing process

**Preliminary processing (Second Tuesday each month, 8 am)**

- Aleph scans active cash transactions that are dated no later than midnight on Monday and identifies those eligible for transfer to Accounts Receivable.

Revised: March 18, 2009
- Aleph queries the AR system to verify that the Aleph patron involved in each transaction has an active customer record. Patrons not found in the AR system are reported to AR staff for data entry. (See section 3.6.2 “How an Aleph patron becomes an AR customer” for more information.)

- A preliminary report of eligible cash transactions is delivered by email attachment to each library. This report identifies eligible cash transactions (for active AR customers) but also lists ineligible cash transactions (for inactive AR customers).

- In Aleph, eligible cash transactions are marked with the status “Ready to transfer” but continue as active cash transactions.

**Library review period (Tuesday and Wednesday)**

- Library reviews the preliminary report and waives any fines that they do not want Accounts Receivable to invoice. Waived fines will not be eligible for AR billing.

- Library works with Accounts Receivable staff to fix customer records that were identified as inactive in the preliminary report so that they can be billed out of Aleph in the future.

- Staff in Accounts Receivable create active customer records for Aleph patrons not found in their database during preliminary processing. If a new customer record is not created by the time of final processing on Thursday morning, the Aleph cash transactions for the patron will be held and re-evaluated during the next billing cycle.

**Final processing and data feed (Thursday 8 am)**

- All eligible active cash transactions, dated no later than midnight on Monday, are transferred to the AR system.

- In Aleph, transferred cash transactions are closed and marked with the status “Paid (External)”. Cash transactions that did not meet the batch minimum ($1 per patron, per library) are closed and marked “Waived – batch minimum not met”.

- A final report of transferred cash transactions is delivered by email attachment to each library.

**Accounts Receivable reports sent to libraries**

- AR sends out a monthly “Inactive Sites Report” that identifies customers with some type of inactive status. Libraries should work with AR to resolve any issues, as needed.

- Following each AR feed from Aleph, AR sends out a report of rejected transactions to each library. These will be mostly cases in which the AR bill was undeliverable (address has changed) or manually-created Aleph credit transactions (only lost book return credits are eligible for credit export to AR).
12.5.3 About preliminary and final reports

As with student billing, OIS provides two reports (one preliminary and one final) to libraries to assist them in identifying and transferring information about patron bills eligible for AR invoicing.

The second Tuesday of every month, OIS will send each library a preliminary report listing the bill/fine records eligible for billing in the external billing system. Libraries should use the preliminary report to identify those bill/fine records that should NOT be transferred to Accounts Receivable. Libraries should waive those fees and fines that the library does not want Accounts Receivable to invoice by waiving the fee in Aleph before the electronic feed is transmitted by Aleph to the AR office. Normally, this feed will happen on the second Thursday of each month, two days after the preliminary report is printed and disseminated to libraries.

12.5.4 Reports are e-mailed

Libraries will receive their preliminary Accounts Receivable reports via email to one or more pre-established contacts at each library. Contact the Aleph Support Center at http://hul.harvard.edu/ois/systems/Aleph/forms/f-supp-circ.html if you need to change or add to the distribution list.

12.5.5 To help you identify these emails

The return address on the email is: unix-ops@hulmail.harvard.edu. The report is sent as an attachment with a file name beginning with “ar” followed by a three-character code that corresponds to the library to which the data pertains, and a file type of .doc, e.g., arwid.doc. Most email programs will open this file type with Microsoft Word. The file itself is a plain text file. The email subject line is: “Preliminary AR Report”.

12.5.6 Printing the reports

After you open the email attachment, and before you print, you will want to change the orientation of the page to Landscape printing. Choosing landscape will minimize wrapping and result in fewer pages to print.

Some libraries might want to use the printed report for making notes while at the same time using the electronic version for copy/pasting data such as the patron ID from the report into Aleph to easily look up the patron’s record.

12.5.7 Contents of the AR report

The information included in the preliminary report is as follows:

- **Report Name**: Preliminary AR Charges
- **Date**: Date of Preliminary Report
- **Origin**: Name of Library Unit, e.g. Widener
- **Date range**: Cash transaction dates included in the report; coverage includes transactions through midnight of the day before the run.

The report contains the following information, and is sorted first by name, and then by the date and time of the cash transaction:

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**Patron name and id:** Patron’s last name and first name, with the Aleph patron ID in parentheses following (e.g. Johnson, Joseph (00023455)).

Some patron names will be preceded by special coding to indicate AR customer status other than “active.” For example:

***Abraham, Bernadette (00176999) -- 03 Staff

The code *** indicates that a Harvard ID was not found in the AR customer file for this patron.

See section 3.4, About Accounts Receivable Customers, for more information and a list of special codes. Active customers will have no special designation preceding their names.

Each cash transaction will include the following data:

- The patron's **barcode**.
- **Amount:** Credit or debit amount of the cash transaction.
- **Date and time:** Open date and time of the cash transaction.
- **Item barcode:** Item barcode associated with the cash transaction.
- **Description:** Description of the cash transaction. Will contain text such as "Late return <0038 0000 D .50>" followed by any text that the operator may have entered when the cash transaction was registered. In this example, the cash transaction is for an item that was 38 days overdue, billed at $0.50/day.

The above detail lines are followed by a **total** of debits and credits for the patron at your library. Note that this report only lists the fines owed to your particular library; please be aware that the patron could owe other fines to other libraries as well.

If a **total amount for the patron at a library** is less than $1.00, the transactions will **not** appear on this report. Upon the actual running of the Aleph billing program, these transactions will be marked with the status "Waived - batch minimum not met" in Aleph. You might see individual transaction amounts of less than $1.00 on the preliminary report if the patron's **total** transaction amount is at least $1.00.

Example scenarios you **will not** see on the report:

- Scenario 1. Patron has $0.72 overdue fine at Cabot.
- Scenario 2. Patron has $0.72 overdue fine at Cabot and $0.32 overdue fine at Lamont.

Example scenarios you **will** see on the report:

- Scenario 1. Patron has two overdue fines at Cabot: one for $0.72 and another for $0.32.

The **Library total** at the bottom of the report is a summary of all debit and credit transactions on the report, including both active and inactive customers.

**12.5.8 Library review of the preliminary report**

Libraries should review the **preliminary report** and **waive** any fines in Aleph that should not be transferred to AR. Staff can waive cash transactions for both **active and inactive** customers, but the Aleph client must be configured to allow this type of waive. See [Editing the CIRC.INI](#) for more information.

Revised: March 18, 2009
12.5.9 Editing the CIRC.INI file to allow waives

Active cash transactions that are eligible for the current AR billing cycle will be marked with the status “Ready to transfer” during preliminary processing. In order to waive transactions that are marked “Ready to transfer”, your Aleph desktop client must be set up to allow waives on transactions that are “transferred” (i.e. Aleph status code is a “T”).

Edit the circ.ini file to read as follows:

```ini
AllowWaiveOnTransfered=Y
AllowPayOnTransfered=Y
```

Note the misspelling of “Transferred” is the way the setting has been set up by Ex Libris and cannot be changed. The circ.ini file is located in the following directory:

```
C:/AL500/CIRC/TAB
```

The file can be edited using a text editor such as Notepad or Textpad. Avoid editing .ini files with Microsoft Word or other word processing applications. The change only needs to be done once per workstation where cash transactions are handled.

12.5.10 Look for error messages

Check the preliminary report for possible error messages. Whenever the preliminary report program determines that it is unable to find an eligible matching debit for a new credit, an error message is printed in the preliminary report. These transactions will not be exported to Accounts Receivable. After reviewing the transaction, if you determine that a credit is needed, it’s likely that you must issue the credit directly in the Oracle financials.

Contact OIS via the Aleph Support Center at [http://hul.harvard.edu/ois/systems/Aleph/forms/f-supp-circ.html](http://hul.harvard.edu/ois/systems/Aleph/forms/f-supp-circ.html) if you need assistance with error messages in the reports.

12.6 About the Accounts Receivable data feed

The second Thursday of each month, two days after the preliminary report has been received by the libraries, OIS will transmit all active cash transactions eligible for billing by Accounts Receivable to the AR system.

In Aleph, cash transactions that were transferred to AR are marked with the status “Paid (External)”. Cash transactions that did not meet the minimum amount ($1 per person, per library) will be marked with the status “Waived-batch minimum not met”.

Upon transmission of the data, a final report will be emailed to the libraries as a record of the billing data that was sent. Except for the omission of references to "Preliminary," the characteristics of the final report are identical to the preliminary report.

12.6.1 Closed cash transactions for AR

All cash transactions that are eligible for billing are changed to status “Paid (External)” upon transfer to Accounts Receivable.

On the detail pane of the transaction, **Transferred to** will contain the text "Accounts Receivable".

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On date will contain the date the data was sent to Accounts Receivable.

By export number will contain a unique number identifying the transaction, e.g., WID100026582. The first three characters identify the library, the fourth character is the constant ‘1’, and the next eight numbers are sequentially assigned to uniquely identify the transaction.

Note: The export number is the Invoice Number of the transaction in Harvard’s Oracle Accounts receivable database and may be used by authorized staff to look up the customer’s invoice in the Oracle system.

Sample screenshot showing closed transactions:

12.6.2 Cancelled cash transactions for AR

If the total debit amount for the patron at a library is less than $1.00, these transactions will be marked “Waived - batch minimum not met.”

12.7 About Accounts Receivable customers

12.7.1 What is an AR customer?

In Aleph, cash transactions are associated with Aleph borrowers, or patrons. In the Accounts Receivable system, these patrons are customers. Each customer has the following attributes to identify the customer:

1. Name
2. Address
3. A Harvard identifier generally known as the Aleph barcode or HUID (even if ID was not assigned by the HUID office)
4. An Accounts Receivable customer number
5. AR status (active, inactive), indicating whether this customer can be billed

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The data in the AR customer file is maintained separately from Aleph patron data and unlike the Aleph patron data, none of the AR customer data originates in the HUID office.

No faculty or staff member is automatically assumed to be in the customer file. No one becomes a customer in the AR customer file until a university entity has cause to bill the person.

An **active** customer can be billed by Accounts Receivable. An **inactive** customer cannot be billed, most likely because mail cannot be delivered to the address on file.

### 3.6.2 How an Aleph patron becomes an AR customer

The preliminary AR process checks to see if each patron is already an active customer in the AR customer file. This is done by matching the Aleph barcode against the Harvard identifier in the AR customer file.

- **If a match is found, and the customer record has an “active” status**, cash transactions are considered eligible for transfer to the AR system. These transactions appear on the preliminary report and in Aleph, they are marked with the status “Ready to transfer”. Once they are transferred in the final run, their status changes to “Paid (External)”.

- **If no match is found (no Harvard ID is found)**, the customer will have the special designation (***) next to his or her name in the preliminary report. For example:

  ***Cavallaro, Hugo (ID513999) -- 02 Officer

  The AR preliminary process will send a file of these patrons to the AR Office. AR staff make a final attempt to find this patron in the customer file and if not found, a new customer record is created.

  If the new customer record is created before the final run, the patron will be billed in the current cycle. If not, the cash transactions are not sent and the bill will be re-evaluated at the next billing cycle.

- **If there is a customer record on file, but it has an inactive status or some other problem**, the customer will have a special designation next to his or her name in the preliminary report. These designations include:

  --- Harvard id found, but AR customer id not found in the AR customer file
  ~~~ Harvard id found, but AR customer status is (I) inactive
  %%% Harvard id found, but AR customer bill-to address id not found in the AR customer file
  $$$ Harvard id found, but AR customer address status is (I) inactive
  +++ Harvard id found, but AR customer contact status is (I) inactive

  Cash transactions in these cases **will not be transferred to AR**. If it is important that these fines be paid, the library will need to work with Accounts Receivable staff to resolve the problem so that the patron’s AR customer status can be reinstated as “active”. See section 3.7 (Troubleshooting) for suggestions on how to resolve inactive customer situations.

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12.8 Troubleshooting AR customer billing problems

When AR customer problems appear in the preliminary reports, or when AR bills are returned as undeliverable, libraries are responsible for following up with AR to resolve these problems. It is nearly impossible for OIS to resolve these problems centrally because policy and practice varies from library to library; and some cases might not be considered worth the time to investigate, while others clearly will want to be pursued.

But, please contact OIS via the Aleph Support Center at http://hul.harvard.edu/ois/systems/aleph/forms/f-supp-circ.html if you have questions or concerns.

12.8.1 Customer address inactive ($$$ designation on the preliminary report)

On the preliminary report, a customer with this issue is identified as:

$$ Harvard id found, but AR customer address status is (I) inactive

To troubleshoot this problem, the library should compare Aleph address(es) for this patron with the AR address. In order to do this, library will need to secure browse access to the AR system. If the library determines that Aleph has a different address, then it should contact AR with the updated information and request that AR update their customer file to note the active address.

12.8.2 AR bill is returned as undeliverable

This is the scenario: cash transactions are sent to AR because at the time, customer address in the AR system was active. Subsequently, the bill is returned to AR as undeliverable. AR updates the customer record as inactive. The bills involved in this situation will become bad debt after 6 months have passed.

The Accounts Receivable office sends out lists of these customers directly to the libraries via its AR monthly “Inactive Sites” report. If payment for these fines is important, the library must work with the AR Office to resolve address issues.

Note: in this case, the bad address problem is discovered only after the cash transactions are transferred to the AR system. In Aleph, these cash transactions are marked with the status “Paid (External)” and cannot be changed back.

12.8.3 Patron with multiple Harvard IDs

Some patrons, during their time at Harvard, will accumulate multiple HUIDs representing their different affiliations (e.g., an alum who once was a student, a staff member who is also an Extension School degree candidate, etc.).

When an Aleph patron is in the AR customer database, but with a different HUID number, it is not currently possible to have AR bill this patron. This type of patron is excluded from the new customer creation process that is part of the Aleph feed to AR.

OIS and AR are investigating a better solution that might involve: 1) adding a secondary ID field to hold the alternative HUIDs, or 2) adding a duplicate of this patron record containing the Aleph HUID.

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12.9 Report of AR feed transactions

Following the final AR feed, AR emails a status report to each library. This report contains information about the individual library AR feed, including how many invoices were sent, how many of them were successful and how many were rejected. If any rejects occurred, error messages are included too.

OIS gets a copy of each report that AR sends to the libraries and will review them each month. For the most part, libraries do not need to be concerned with these reports. If follow-up by a library is needed, OIS will contact the library. If you have any questions, please report them via the Aleph Support Center at http://hul.harvard.edu/ois/systems/Aleph/forms/f-supp-circ.html.

But if you are interested, below are descriptions of contents of this report.

A sample subject line is:

09/04/03 11:10:32 : AR Invoice Interface
PRODUCTION<ARDxxxxxxx.20030904081024.09042003.110730> - PROCESSSED

Records that are rejected are most often due to the following:

- Invalid address -- AR has received returned mail from the post office with no forwarding address for a patron.

- Credit amount exceeds customer balance -- The patron may have already been credited directly in the Oracle Financials, or the debit has gone to bad debt and therefore has a zero balance already. Credits cannot be issued against zero balances.

The format of these reports from AR is cumbersome. OIS recommends the following procedure to open and view them:

1. Double-click the report. It opens in MS Word.
2. Click Edit then Select All
3. Change the Font Size to 8 and the Font to Courier or Courier New
4. Click File then Page Set Up and select Landscape

The first report has this heading:

########## HARVARD DATA VALIDATION ERRORS ##########

If it is followed by the message “No Harvard Validation Errors”, you have no errors.

Later in the report, it will state how many patron records were sent, how many of them were successful and how many were rejected.

Interface Lines:
Selected: 7
Successfully Processed: 7
Rejected: 0

Interface Salesreps:

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Finally, you will see the amount of money for the patron records that were successfully processed. This should be the same amount as the total dollar figure on the report of the final AR run. The amount from AR is reduced by any transactions that were rejected.

Alternatively, if you have errors, following the heading

```
########## HARVARD DATA VALIDATION ERRORS ##########
```

you will see error messages. The following error message is returned when a credit transaction is sent:

"Original invoice number and line number must be supplied for credit transactions"

In this case you will get another report listing the AR records that were rejected. Most of the information in it is in the format required by AR. It doesn't have much information that you would find pertinent except for the dollar amount.

### 12.10. Handling credits for “lost” and “claimed returned” items

When an item is declared “lost”, the system automatically creates an active cash transaction with description *Lost material – replacement*. This debit is included in preliminary reports and will be exported to either Student Billing or Accounts Receivable during the next external billing cycle. Upon export, the transaction is moved to the patron’s Cash History.

This section describes how to process credits for these replacement charges when an item that was declared “lost” is returned.

#### 12.10.1 How to handle credits when lost items are returned

If an item that was declared lost is returned, the system automatically creates an active credit for the replacement charge (and in most cases it also creates a separate debit for an overdue fine).

Here is an example from a preliminary report showing a debit, its credit, and an overdue fine:

```
<table>
<thead>
<tr>
<th>Patron Name</th>
<th>Item Number</th>
<th>Date</th>
<th>Time</th>
<th>Transaction ID</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>McLean, Sharon</td>
<td>202 9999 63</td>
<td>07/14/2005</td>
<td>02:45</td>
<td>32044022617922</td>
<td>Lost material – replacement</td>
</tr>
<tr>
<td></td>
<td>202 9999 63</td>
<td>08/03/2005</td>
<td>14:08</td>
<td>32044022617922</td>
<td>Recall late return fine</td>
</tr>
<tr>
<td></td>
<td>202 9999 63</td>
<td>08/03/2005</td>
<td>14:07</td>
<td>32044022617922</td>
<td>Lost material – replacement</td>
</tr>
</tbody>
</table>

Debit Total          103.00
Credit Total         -75.00
```
In the above example, the $75.00 debit and credit will effectively cancel each other out and the patron will be charged the $28.00 (unless the library chooses to waive the overdue fine).

12.10.2 How do you identify the need to issue a credit?

Sometimes you will want to issue a manual credit for something other than a replacement bill for a lost item. If the original debit was term billed, simply issue a manual credit, and the transaction will go out with the next term bill process. If the original debit was sent to Accounts Receivable, the credit must be issued directly in the Accounts Receivable Oracle financials.

12.10.3 How to create a credit transaction in Aleph

Please note that the manual crediting procedures for student billing and AR are different. Specifically, for credits other than for lost returns, only student term-billed transactions can be credited by issuing a credit transaction in Aleph. See section 4.1 for more information.

Creating an Aleph credit transaction for term bill

If a bill has already gone off to Student Billing and you need to issue a credit, or you need to issue a credit for some other reason, use the “New” cash transaction form to create a credit.

New cash transactions enable you to register cash transactions on an ad hoc basis. Basic help for each field of the form is given below. The primary purpose right now is to issue credits against transactions that have already been sent to Student Billing. Credits issued in this manner will go out in the next student billing data feed. Students will see the credit under their accounts in the HOLLIS OPAC as soon as you create it; they will not see the credits actually posted to their accounts until the data is sent from Aleph and is processed by the term bill office.

Here are the steps for creating an active credit transaction (in the Circulation module):

1. Display the Cash Node of the patron’s record.

2. Click the “New” button and a “New Cash Transaction” form will display.

3. Fill out the form as described below and then click OK.

   Be sure to select the Credit radio button and include the correct Sublibrary (or the credit may not be applied properly).

   Be sure to fill out the form carefully, not clicking OK until you are really done, because it cannot be edited afterwards if you discover you want to add something.

The next time term bills are processed, the patron will be credited.

Here is the New Cash Transaction form, followed by descriptions of the fields on the form:

Revised: March 18, 2009
Enter Item Barcode

Optional, but very useful information for you to enter if this transaction is associated with a particular item, select the item by entering its barcode. After selecting an item, its bibliographic description, ADM record number and item sequence number will be displayed.

Type

The “type” in this field is intended to automatically place some default text into the “Description field.” It can be left as is, or choose a value such as “General.” If you receive a warning message about table defaults not matching, it’s ok to click “Yes” and continue.

Sum

Enter the fee for the transaction. The fee may be zero. Note that two fields down you will select credit or debit, so enter a positive amount here.

Key

Not functional.

Description

Whatever you enter here will display in the Description column on the cash transaction in Aleph. Since there is no note field otherwise, this is probably a good place to enter a brief description of why you are issuing the credit. The Description field will carry up to 100 characters.

Debit or Credit

If the patron will owe the library money for the transaction, click Debit. If the library will owe the patron money, click Credit.

Sublibrary

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Enter the circulation sublibrary code here or choose from a list of sublibraries by clicking the down arrow on the right side of the field. The field only appears to be protected (background is grayed out). In fact, you must enter your sublibrary code here or the transaction will be assigned to “Harvard University” and will never get sent out (OIS may run batch jobs periodically to weed these mistakes from the database).

Target
Optional, but for now, repeat the sublibrary code.

Creating a “shadow” credit transaction for Accounts Receivable

At this time, for patrons billed through Accounts Receivable, it is not possible to process Aleph active credit transactions for any type of credit other than the automatic credit issued upon the return of a lost book. Such credits must be issued from the university’s Oracle Accounts Receivable system, not through Aleph.

The library does have the option of creating a “shadow” credit in Aleph to record that the credit was issued in the AR system. To create a shadow credit, fill out a New Cash Transaction form as described in section 4.3.1. After the credit transaction is created, immediately mark it paid by selecting the transaction and clicking the “Pay Selected” button. Creating a shadow credit is not required.

If a shadow credit is created, but is not marked paid, Aleph will try to transfer it to AR and it will be rejected.

12.11. "My Account" - what patrons will see in the OPAC

When logged in to the “My Account” feature in the HOLLIS web OPAC, active cash transactions are viewable from “Fines for returned materials” under "Circulation Activity.”

<table>
<thead>
<tr>
<th>Circulation Activity</th>
</tr>
</thead>
<tbody>
<tr>
<td>Materials checked out (view or renew)</td>
</tr>
<tr>
<td>Requests (view or cancel)</td>
</tr>
<tr>
<td>Fines for returned materials</td>
</tr>
</tbody>
</table>

The display shows active cash transactions only. Once a cash transaction has been sent out to external billing, or is otherwise marked paid or cancelled, it is no longer active and will not appear in the patron's online view of his or her account.

Cash transactions will only appear under the column “Transferred to University Billing” during the AR library review period, when transactions are marked “T”. [N.B. OIS and the OPAC team are looking into removing this text from the display as it is misleading.]

In the example below, the patron has active cash transactions totaling $25.00 at one library, Gutman.

| Fines for returned materials : Creedon, Martha |

Revised: March 18, 2009
To pay a fine, or if you have questions about a fine, please contact the library at which the fine was incurred (list of libraries).

Fines on materials still checked out to you are not included on this page.

<table>
<thead>
<tr>
<th>Location</th>
<th>Balance</th>
<th>Transferred to University Billing</th>
</tr>
</thead>
<tbody>
<tr>
<td>Gutman</td>
<td>- 25.00</td>
<td>0.00</td>
</tr>
<tr>
<td>Education</td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total:</strong></td>
<td>- 25.00</td>
<td>0.00</td>
</tr>
</tbody>
</table>

The summary shown above is followed by details about the library totals, including brief bibliographic information, billing description, debit/credit, amount, and status:

All credits and debits are for returned items.

<table>
<thead>
<tr>
<th>No.</th>
<th>Bibliographic Info</th>
<th>Description</th>
<th>Credit</th>
<th>Debit</th>
<th>Date</th>
<th>Status</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>What schools for the future? / Late return &lt;0021 1400 1 24.00&gt;</td>
<td>25.00 09/09/03 Not paid</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2</td>
<td></td>
<td>Lost material - Replacement</td>
<td>65.00 09/09/03 Not paid</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3</td>
<td></td>
<td>Lost material - Replacement</td>
<td>65.00 09/09/03 Credited</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>