Acquisitions and Accessioning Manual

Overview

Accessioning is the process of receiving, documenting, storing and paying for materials immediately upon their receipt by Houghton, in order to establish basic physical, administrative, and intellectual control. The data required for an accession record comes from the acquiring curator, from documents accompanying the material, and from what is most apparent from the item or collection itself. The Accessioning and End-Processing Section in the Technical Services Department handles the accessioning and invoice payment for all new printed materials acquired for Houghton Library. Accessioning materials, staff record ownership information, pay for purchased materials, and collect vital information to pass on to catalogers. For the purposes of this document, the term books will be used to include all printed material, except where explicitly stated otherwise.

There are two streams of materials accessioned at Houghton: manuscripts and books. Manuscripts are unique items or collections of items which are not published and which appear as handwritten or typescript material (often with accompanying material, including photographs). Manuscripts and books are accessioned in ways largely parallel, with the main difference being in the record-creation and pre-cataloging workflows. Accessioning of manuscript materials takes place in the Manuscript Section. In A&E-P we perform a small part of the process—to verify receipt of materials and facilitate invoice payment—and then give the material and any accompanying documentation to the Accessioning Archivist for further processing. See the section below on Invoice Payment for further information.

In speaking of accessioning books at Houghton we refer to four distinct operations:

1. Initial bibliographic control (the identification or creation of a bibliographic record in ALMA)
2. Ownership control (the creation of an acquisitions order record for subsequent payment of the invoice)
3. Initial holdings control (editing holdings record)
4. Initial item-level control (editing discrete item records)

Workflows

Workflow for Check Payments:

1. Select Bib Record in Alma
2. Create Order Record (POL)
3. Create Invoice
4. Receive Items (as the last step in Invoice Creation)
5. Scan invoice and dealer descriptions for Houghton Electronic Records
6. Open MD Editor and edit the Holdings Records and Items
7. Print Routing slip
8. Change location to HOU/THE Circulation and proceed to Fulfillment—Scan in Items; scan in the dummy barcode to eliminate “In Transit” status.*
9. Set aside to complete the following morning when Hollis has updated
10. Create and print Aeon slip for the book
11. Dispatch item to Cataloger Shelves

* note that this process will not work if holdings already has “HD” in the 852 field; change to GEN to remove In Transit status, and then edit holdings record again to enter HD or final location code.

Workflow for Wire Transfer Payments:

1. Complete Currency Conversion Chart for all Invoice Lines
2. Complete Wire Transfer Authorization form
3. Select Bib Record in Alma
4. Create Order Record (POL) using the calculated price before the added 10%
5. Create Wire Transfer Invoice using the calculated prices before the added 10%
6. Receive Items in Alma
7. Open Oracle and create a Payment Request using the calculated price with the 10%
8. Scan the Authorization Form, Invoice, Conversion Sheet, Oracle print-out, and dealer descriptions into one PDF file, with naming convention “[Vendor Code] [Invoice number] [Invoice Date]” e.g. CRUISE 1570 2018-8-2
9. Minus the dealer descriptions, paperclip and send packet of documents to Financial Office
10. Return to MD Editor to edit holdings and items and print routing slips
11. Change location to HOU/THE Circulation and scan in the barcode
12. Set aside to complete the following morning when Hollis has updated
13. Create and print Aeon slip for the book
14. Financial will edit the PO Lines in Alma after the wire transfer has been finalized to reflect the actual dollar amounts used.

Accessioning Rare Books

Before you begin the accessioning process, double-check contents of shipment against the invoice; be certain what has been received is what has been purchased. If an export license is included with the invoice, retain it for scanning at the end of the invoice payment process.

Bibliographic Control

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

- Books with records extant in Alma

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

- Books without records in Alma but with records in OCLC

If a record for the book cannot be located in Alma, the accesser must then search OCLC. An appropriate OCLC record should be exported to ALMA and saved. The accesser then creates holdings and item records for the new accession as part of the acquisitions order process.

- Books without records in Alma or OCLC

For items with no existing Alma or OCLC copy, the accesser will create a stub bibliographic record, and verify the main entry in Alma. Holdings and item records, as above, will then be created as part of the order process. Rare and reference materials with neither Alma nor OCLC copy (with the exception of Poetry rare and media materials) will be given to the Rare Book Team for original cataloging.

Processing a book:

Search Alma for the item. Search by author and title (and other unique information, such as ISBN, if available). If a Houghton duplicate is located, alert the appropriate curator; do not mark the item or proceed with other processing until the duplicate is resolved. In some cases, Houghton collects duplicates for a variety of reasons; in other cases, a duplicate may have been erroneously purchased and the curator, once alerted, may wish to return the item to the vendor. If one or more non-Houghton Harvard duplicates are located, choose the best record. Note the Alma MMS ID number for unused duplicate records on the routing slip for the convenience of rare book catalogers.

Records for microform or electronic resources may not be used as the bibliographic record for print books. If no record is found in ALMA, search OCLC using the same strategies. Pay attention to spelling and names; discrepancies in spelling and variant names can result in missed records.

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

Searching Alma and OCLC:

The accesser will first perform a search in Alma to locate a matching bibliographic record. An Advanced Search may be used; alternatively an “All Titles” and “Keywords” search in the persistent toolbar works well to locate records.

If no results are found in Alma, proceed to OCLC Connexion and search. If a record is found, click “Export.” A confirmation message will appear with the new MMS ID number created during the export process. Copy and paste this number into Alma’s persistent search bar to retrieve the record in Alma.
If there is no copy available in Alma or OCLC:

The accessor will create a wholly-new stub bibliographic record. In creating and populating a bibliographical record for which there is no pre-existing ALMA or OCLC copy, use a template in the Alma Metadata Editor.

RDA Template for a book record at Houghton

<table>
<thead>
<tr>
<th>Field</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>100</td>
<td>Main Entry (Personal Name)</td>
</tr>
<tr>
<td>245</td>
<td>Title Statement</td>
</tr>
<tr>
<td>250</td>
<td>Edition Statement</td>
</tr>
<tr>
<td>264</td>
<td>Imprint (RDA)</td>
</tr>
<tr>
<td>300</td>
<td>Physical Description</td>
</tr>
<tr>
<td>336</td>
<td>$a text $$2 rdacontent</td>
</tr>
<tr>
<td>337</td>
<td>$a unmediated $$2 rdamedia</td>
</tr>
<tr>
<td>338</td>
<td>$a volume $$2 rdacarrier</td>
</tr>
<tr>
<td>752</td>
<td>Added entry (Geographical Name)</td>
</tr>
</tbody>
</table>

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

Remember that this “stub record” serves only as a placeholder until the cataloger creates a record in Connexion and overlays it. As of 2018, cataloging should be taking place within Connexion rather than Alma. The information presented in the stub should be accurate to ensure discovery by users during the interim, but time should be used judiciously in the creation of this record, with detail and description left to the cataloger.

When you have located, imported, or created a stub bibliographic record in Alma, print a copy of the record and insert in the book for review by the cataloger. (Printing is best done by performing an MMS ID search for the new record in the persistent search bar, clicking on the title, and using the browser toolbar option to print.)

Ownership Control (Purchase Order Creation)

At this stage of the accessioning process, order information can now be added in preparation for invoice payment. Once created, an order record will attach to the bibliographic record; during the creation of a purchase order line, inventory (item and holdings records) will also be generated by the system. Because the bulk of Houghton materials are ordered from specialty vendors, we do not regularly create acquisitions records at the time an item is ordered (as would be the case in many other Harvard libraries). Houghton curators purchase unique items, contact vendors, and manage funds for their collections. Material is then shipped to the curators, who bring the items and invoices to the Bibliographic Assistant for entry into Alma. This means that we create acquisitions records and record the receipt of material in one session. Items for the Houghton Reading Room, Poetry, and other select non-rare items are ordered in a process which more closely resembles what occurs in most other libraries.

There are two ways to initiate the order creation process, depending on whether you are in the title results screen of Alma, or in the Metadata Editor (having just created or imported a record).

For a record located in Alma:
From the Titles list, locate the bibliographic record that you will use. In the upper right-hand corner click on “Order.” This may be one of the two action buttons, or it may be accessed by clicking on the ellipses button.

Order from Search Results List

For a record that was imported or created from the MD Editor:

Click on the bright blue shopping cart located on the right-hand side of the MD Editor toolbar.

Order from within MD Editor

Clicking on the blue shopping cart results in the immediate performance of the following actions:
It will save and release the bib from the MD Editor,
It will check for duplicate bibs and offer options to do cleanup,
It will check the bib for any errors or missing info,
It will land you on the page to start placing your order.

Create Purchase Order Line - preliminary screen

The preliminary screen to initiate the order process will be context specific, based on the bibliographic record selected. PO line type in the instance of a print book would be Print Book – One Time. For all other items that are not print material (for example a CD or DVD, or an archival collection) select Physical – One Time. The PO line owner is the unit placing the order—in this instance, Houghton Library Technical Services. “Houghton Library” should be selected as the “owner” for both regular Houghton and Theatre collection purchases.

Templates are available for use, and may also be created at the time an order is created.

De-select “Assign inventory manually.” Holding and item records are always generated as part of the order creation process; as part of our workflow we opt to edit these records at the end of the accessioning process, in the MD Editor.
Click on “Create PO Line” to start the order.

A new window will open up with a blue alert indicating it is “In Review.” All required fields to place an order are in the summary tab.

You will see an ‘Unassigned’ location has been created. Disregard that section for the order process.

The required fields in the next sections are Vendor, Price, and Fund. After entering the Vendor code, change the “Expected receipt after ordering” value to “0”.

Order Screen with fields ready for data entry

The Price and Fund sections must be entered in order—price before fund—in order for the values to be saved.

The final section, PO Line Details, does not contain required fields; however it is best practice to enter certain values.
Under Acquisition method, always select “Purchase – Without Letter.” This will prevent the system from emailing an order request to the vendor for the item we already have in hand.

Confirm the Material Type. (This information will be put into the Item record Alma creates).

Enter the relevant Object Code for the item in the “Reporting code” drop-down menu. The codes are defined as follows:

<table>
<thead>
<tr>
<th>Object Code</th>
<th>Type of material</th>
</tr>
</thead>
<tbody>
<tr>
<td>7020</td>
<td>Manuscripts &amp; Archives Collections, GENERAL</td>
</tr>
<tr>
<td>7021</td>
<td>Rare Books (Special Collections)</td>
</tr>
<tr>
<td>7022</td>
<td>Manuscript &amp; Archival Material (Special Collections)</td>
</tr>
<tr>
<td>7023</td>
<td>Serials (Special Collections)</td>
</tr>
<tr>
<td>7024</td>
<td>Audio-Visual Material (Special Collections)</td>
</tr>
<tr>
<td>7025</td>
<td>Maps (Special Collections)</td>
</tr>
<tr>
<td>7026</td>
<td>Graphic Materials (Special Collections)</td>
</tr>
<tr>
<td>7027</td>
<td>Musical Scores (Special Collections)</td>
</tr>
<tr>
<td>7028</td>
<td>Electronic Data (Special Collections)</td>
</tr>
<tr>
<td>7029</td>
<td>Digitally Reformatted Material (Special Collections)</td>
</tr>
<tr>
<td>7031</td>
<td>Books (non-rare; used for reference materials)</td>
</tr>
</tbody>
</table>

After all values have been entered, select “Order Now.” (Be sure not to select “Save” or any of the other options—that will route the order into a review queue and not actually finish it.) Record the POL-Line number on the invoice.

Repeat the above and create an order record for every line item on the invoice.

**Invoice Payment**
It is Houghton policy to accession and pay for materials in one session. This enables materials to move most quickly through the twinned accessioning and invoicing processes, prevents unnecessary handling of materials and lessens the chance for errors.

Examine the accompanying invoice. Every invoice should contain:

- the vendor's name and address
- the date the invoice was issued
- the vendor’s invoice number
- a list of the item(s) covered by the invoice
- the amount due and the currency of the billing (typically $, £, €)
- information from the curator regarding the fund(s) used to make this purchase.

If there is no invoice number, create one based on available information. For example: 2009-01-01 (date-based), or 4567890 (the final, unique digits from a very long Amazon order number). If any other essential information is not present, please contact the curator. Please note: accessioners are not responsible for collating; curatorial staff are.

Timeliness is of the essence when paying invoices. Harvard’s policy is to pay invoices no earlier than 30 days after an invoice is issued; many vendors expect payment no later than 30 days after the invoice is issued, so we must do everything we can to ensure speedy accessioning of books and the processing of related invoices. Curators should release books and invoices within ten days of receipt. It is policy that all incoming shelves be cleared at the end of each week; invoices are dispatched to Harvard Financial Services daily.

When a book and invoice appear on the A&EP incoming shelf, staff should verify that the item is as described on the invoice and supporting documentation. The invoice should then be stamped with the Technical Services date stamp. It is critical, should questions arise, to know when an item came to the Mezzanine; the payment data in Alma will indicate when the material was processed (and, later, paid). When the invoice has been stamped, write the vendor code and invoice number above the stamp.

Procedure for paying an invoice in Alma:

From the persistent toolbar in Alma, navigate to: Acquisitions > Receiving and Invoicing > Create Invoice > Manually. At Houghton we’ve opted to handle receiving at the time of invoicing. Place a check-mark in the box “Handle Receiving.”

(Ensure that the location in the upper right-hand section of the screen is set to “Houghton Technical Services” so that you can Receive items a few steps later.)

Click “Next”

The Invoice details screen will display. Complete the Summary Tab for the following fields:

- Invoice number
- Vendor
  
  Search by entering a vendor code or click to see a list, which can be searched by Name, Code, Library Name, etc.

- Total Amount
  
  - enter a positive amount for a regular (debit) invoice
  - enter a negative amount (with a - sign preceding the number) for a credit invoice

- Currency
- Invoice Date
- Payment method

This will default to the value on the Vendor account record, but you can override the default and change it on the invoice:
- **Accounting Department**
  
  Choose this for regular check-payment invoices that will be sent to Financial for approval

- **Adjustment** (Formerly CC)
  
  Use this to enter Adjustment invoices; such as for P-card purchases

- **Wire Transfer**
  
  Use this when entering Wire transfer adjustments in Alma

**Alert:**

The invoice owner field defaults to “Harvard University” when using manual creation. This must be changed to reflect the actual POL owner of the orders on the invoice—Houghton Library.

Additional Charges, VAT, and Payment Information Section: these fields will most likely be left blank; consult the Finance Office if you have any questions about these sections.

Once the ‘Invoice Details’ form is filled out, finish by clicking ‘Save and Create Invoice Lines’

A blank ‘Invoice Lines’ tab will open
Add Purchase Order Lines

Click Add Invoice Line.

The Add Invoice Line form will open:

- Regular line items will use the default Type - Regular
- Postage lines will be Type - Shipment

Enter the PO line number.
After entering the PO Line number, you will see the 'Add invoice line' form is now populated with PO line number, Title, Price, Fund information, and Reporting Code, if applicable.

**Completing a Manual Invoice Line**

- Choose "Add and Close" to complete the current PO line, add it to the invoice, and return to the 'Invoice Lines' tab.
- Or (to perform other actions)
  - Choose "Add" to complete the current PO line (adding it to the invoice) and open a new, blank form for the next PO line to add.
  - Choose "Close" to exit the form and return to the 'Invoice Lines' tab without adding a new line;
  - To create another Invoice line, click Add Invoice Line again and repeat the process of filling out the 'Add Invoice Line' form.

If you have shipping charges:

- Go to the auto-generated “Shipment” line, and click on the ellipses.
- Click “Edit”
- Enter price, object code, and fund
- Click “Save”

Shipping should be the last Invoice Line on an invoice.

Finally:

Choose Save and Go to Receiving to complete the invoice and place it in Alma reviewing queue for Finance.

**Receiving**

You will now be brought to the item receiving section.
“Keep in department” will prevent the item from being marked as “In Transit” and shelf-ready for requests. Houghton TS is not using the Work Order feature at present so be sure that “Keep in department” is deselected when you receive items.

Check-mark each line item, and in the upper right-hand corner click “Receive.” This changes the Item Process for each item to “In Transit.”

Place the completed invoice in the out-file for the Bibliographic Assistant. The Bibliographic Assistant will create and file electronic records, and convey the invoices to the Financial Office for payment.

**Manuscript material**

Manuscripts follow a separate workflow from printed materials and are accessioned by the Accessioning Archivist. Payment of manuscript purchases, however, takes place in the Acquisitions and End-Processing Section. The procedure is described below.

**Manuscript processing workflow with invoice:**

Curators order and receive manuscript items and collections. Upon receipt of this material with invoice, a curator will fill out the Manuscript Acquisition web form, which collects information about the nature of the material and any instructions for processing. The data captured in this form is automatically sent to a spreadsheet maintained by the Accessioning Archivist. A&EP staff who handle invoices should have shared access to this spreadsheet; in the event of any problems, contact the Accessioning Archivist.

The curator brings the manuscript material, invoice, and any supporting documentation to the mezzanine for payment and preliminary Alma work. Upon receipt of the material and invoice, A&EP staff will consult the appropriate entry in the Manuscript Acquisition spreadsheet. Unless otherwise indicated, a suppressed stub bibliographic record and holdings record should be created, and an invoice generated following the same process as outlined for books. After payment of the invoice in Alma and creation of an electronic version of the invoice for department files, the A&EP Bibliographic Assistant should create an Aeon slip for the material, and route material with accompanying dealer’s descriptions to the Accessioning Archivist for accessioning and continued processing.

Two exceptions to this process are as follows:

- **Accruals to an archival collection**
- **Catchall items**

These types of acquisitions will be noted in the Manuscript Acquisition spreadsheet. In these cases (usually a single autograph letter, or a screenplay for example) the creation of a new bibliographic record is not necessary. The spreadsheet entry will include the Alma MMS ID number to which the order information should be attached. The A&EP Assistant should add a new 541 field to the existing holdings record, and withdraw the auto-generated item records that result from the order creation process. If multiple 541 fields exist, the most current should be added to the top of the list.

**Electronic Invoice Storage**

Houghton maintains an electronic copy of each invoice with its accompanying documentation (dealer description, curator email instructions, export license, etc.). Prior to sending the paper invoices to Financial, the Bibliographic Assistant must scan them, create file names according to Houghton naming conventions, and save them to the appropriate file. Dealer descriptions may then be inserted back into the books, which are placed on the ‘to-be-cataloged’ shelf; export licenses may be discarded.
Holdings Control

After the order record has been created, the holdings and item records must be updated to reflect the acquisitions details and accession number. The holdings record contains acquisitions information corresponding to the order record, collection and shelf location information, and copy-specific notes.

Procedure:

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

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

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

To update the recently created holdings record, perform a title search in the persistent search bar and bring up the bibliographic record for the newly acquired item.

Click on the hyperlinked location to view the auto-created holdings record, and then click “Edit” in the upper right-hand corner. Another way to access the holdings record is to click on the ellipses and select “Holdings.” From the Holdings view, click on the ellipses and select “Edit.” This brings the holdings record into the MD Editor.
From here, expand from a local template to add the 541 field information and Houghton-specific reporting fields. As of January 2019 we are no longer using the H09 field—instead, a 920 field will be used to capture this data.

Each field in the screenshot above contains essential (and, in some cases, mandatory, information). Please note that all MARC fields should be entered and displayed in numerical order. Local Harvard numbers (9XX) should follow the MARC tags.

LDR __ e22________1n#4500

Information in the leader film is system-supplied in the holdings record.

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

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

008 __ e22________8_____4001uu##0000000

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

For single-item monographs:

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

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

16 Completeness = 4 (for single-part items)

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

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

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

For multi-volume sets:

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

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

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

541 0  $Sc Purchase  $Sa [Name of vendor or donor];  $Sb [Address of vendor or donor];  $Sd [date on the invoice in the form year/month/day];  $Se [accession number];  $Sh $h[price of purchase] (name of the fund used);  $Sh hou

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

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

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

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

Example of a foreign currency and split funds:

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

852 8  $Sa HOU  $Sc GEN  $Sh 2014-

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

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

908 0  $Sa p $Sb yyyy-mm-dd

908 is a Harvard-specific field indicating cataloging status. Subfield a should always be coded p when accessioning (preliminary (not cataloged)); subfield b indicates date, and should be the day accessioning takes place, presented in the form yyyy-mm-dd)

920 11 $Sa

To populate the 920 field, click on the PowerShall shortcut. (Instructions for downloading this shortcut are available here in the Houghton TS Wiki.) Indicate which level of cataloging you are doing (for this process, “a” for accessioning) and the collection division section this item is being added to. Then right-click in the field and select “paste,” and the preformed data string will appear.
** Note: the 920 field should only be added to the holdings of printed material being accessioned at the time of payment. Do not add this field if the material in hand is going to the manuscript section. The Accessioning Archivist will add the 920 in those cases.

Finally, if the item requires an enclosure--either a prefab or a CMI case as indicated by the curator on the routing slip--an additional field must be created. Type in 563 _ _ and enter the type of enclosure, followed by its size if it’s a prefab. Add another subfield and code it $55 hou for Houghton library, as the information in this field will apply only to Houghton’s copy of the book. Without a $55 library code, the information will be appended to the main bibliographic record.

*Example:*

563 _ _ $55a In prefab, 36 cm. $55 hou

Once you have entered all the necessary information, click ‘Save.’ The holdings record is then complete (for accessioning purposes).

**Item Control**

At this point of the process, the item record will be marked “Not Available” in the catalog. Following creation of the invoice and receiving, the item status will show as “In Transit.” The item record must be edited to reflect Item Status 91 (so that patrons may request it in Aeon) and then moved out of transit, so it displays as “Available.”

[Screenshot of the catalog interface]

**Single Items**

For a single monographic item, one record is appropriate.
For all Houghton items except circulating Poetry, the appropriate Item Policy is 91 (Special Collections). The Status indicates whether or not the item is currently on the shelf. The Process Type indicates which workflow an item is in, if it’s not on the shelf. This causes the display in the public catalog to indicate an item is held at Houghton, but is currently unavailable for regular reading room requests through Aeon.

**Item Record for a single volume in Alma**

Update the Item policy to “Special Collections” and click Save. Then proceed to update the Process Type as described below, so the item is marked “Available.”

**Multi-Volume Sets**

If an accession consists of a multipart set, follow the steps above, while also adding the appropriate number of item records for each volume. Indicate the volume number or part in the Description field (e.g. v.1) and in the Enumeration fields.

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

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

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

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

Moving an Item from “In Transit” to “Available”

- Change the Alma Location in the upper right-hand corner of your Alma Desktop to either “Houghton Circulation” or “Theater Circulation,” depending on the source of the item in hand.
- Open the item record in Alma. Highlight and copy the system-provided barcode (usually beginning with ‘alma’).
- From the persistent tool bar on top of the page, go to Fulfillment – Scan In Items
- Paste the barcode into “Scan item barcode” box. Register in-house use box should be deselected. Click “OK”

* note that this process will not work if the holdings record already has “HD” in the 852 field; change to GEN to remove In Transit status, and then edit holdings record again to enter HD or final location code.

![Alma Screen](image)

The following screen will appear, usually with Destination as “Reshelve to GEN,” indicating the item was successfully removed from “In Transit” status.
The item should now display as available in Alma, and in the discovery layer for patrons to see and request.

<table>
<thead>
<tr>
<th>Title</th>
<th>Destination</th>
<th>Barcode</th>
<th>Request/Process Type</th>
<th>Requester</th>
<th>Requester ID</th>
<th>Place in Queue</th>
<th>Checked In</th>
</tr>
</thead>
<tbody>
<tr>
<td>Les signes mortuaires apparaissent sur la ville &amp; Charlton de Breyg en la presene du Roy &amp; assistance du peuple.</td>
<td>Realshelf to GEN</td>
<td>alma/46678</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>Q</td>
<td></td>
</tr>
</tbody>
</table>