

3/26/91 mtg

Mack @
Widener
Sept. 1st

- 2 - patron on-line ordering
* agreed → 1 - create linked item records for all older transfers of material to HD -- good clean records
- 3 - retrospectively fix the unlinked item records for materials at HD w/ bib records in Hollis -- these records confuse in public catalog screen.
- retrospectively catalog HD books with no bib record and create item records as well [these items now have provisional order records?]
- retrospectively catalog material at NEDL -- new records would need to be created as linked item records -- investment is in building records for low use material
- develop a patron browse facility in Hollis based on call number -- assumes all items are cataloged

Report of the HD Automation Task Group

February 23, 1991

- 4 - automated link w/ HD in order to take orders from patrons, link barcode and item record for report purposes

- pass item record recommendations

catalog card system, the circulation service displays the piece has already been recalled from HD. 200 to 400 / mo. When the piece is ordered, the piece will be delivered to the receiving library, and the patron can pick it up at the designated location.

INTRODUCTION AND BACKGROUND

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Mark Duffey
Michael Fitzgerald
Carrie Kent (chair)
Barbara Mitchell

Question for us -- even if we are being asked for little -- what value can we offer that either anticipate later needs or entice the users to use HD to get things it cannot get from Hollis

Hollis Costs

1¢ to create a Hollis item record.
1¢ to store record

We will need to upgrade systems. the upgrade to Widener includes

- 1 - communication channels allowing direct ordering tied into our retrieval system -- but these are due to change as well, so this is a good time
- 2 - placement of barcode to minimize handling and maximize retrievability
- 3 - delimiter "i" in loc will contain the name of the unit to which the material should be shipped and would be defined by the record -- other possibilities is patron has it returned to wherever he/she wants to use it -- this has enormous implications for us to keep track to delivery sites, order authorizations, packing and quality control at point of shipping, higher delivery costs, distribution of costs by ordering agency as opposed to delivery point, tracking items outstanding. Would at least need to be a "customer" of authorization a library status. Could just do a general user.

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records for all new
to HD -- good clean records

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Hollis records in Hollis -- these records confuse in public circulation
[dog HD books with no bib record and create item screen.
ie items now have provisional order records?] HD and other "K" class material at
HD and other "K" class material at
[unclear] would

A vision of the future...

Patrons of the Harvard College Library will be able to learn from the HOLLIS union catalog that a piece is located at Harvard Depository. If a patron wants to retrieve something from HD, he will issue a HOLLIS command that causes a special HD request screen to display. The screen will identify the piece to be retrieved, and will prompt the patron for his Harvard id.

When the patron enters his id number, HOLLIS responds by telling the patron when and where he can pick up the piece. (Some materials will be delivered to the Widener Circulation Desk for distribution, while others requiring special treatment may be delivered to a special supervised reading room.) HOLLIS also produces a retrieval request for the circulating unit (and perhaps for HD directly), and marks the item in HOLLIS as a retrieval in process. That way the next patron to look up the piece in the union catalog can see from its circulation status display that the piece has already been recalled from HD.

Twenty-four hours later, the piece will be delivered to the receiving library, and the patron can pick it up at the designated location.

1.0

INTRODUCTION AND MANAGEMENT SUMMARY:

Current Situation: At this time, transfers to Southborough from the Harvard College Library are made only from Widener. These transfers have for the most part been materials that have not been fully catalogued. The transfers take place out of Widener's cataloguing units, which preprocess the materials with HD location in mind.

Catalog users can see that a piece is stored at HD by location field information displaying in HOLLIS. Because of its placement in the LOC field, the HD barcode is not currently searchable in HOLLIS. In some cases the HD barcode number displays in the public catalog, in some it does not. In either case, the user goes to Widener Circulation and fills out a request form, which includes the HD barcode number (supplied by either the public catalog or a circulation staff member.) Circulation then phones the request into HD and the book is sent to Widener from where it circulates to the user.

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screen.

HCL currently has approximately 150,000 volumes at HD, and about 2000 are retrieved annually for use.

The Depository has maintained a basic, straight-forward method for processing and storage based on a series of barcodes. Anything identified as a "piece" is entered into HD's database in such a way that the piece's barcode is linked to a series of locational barcodes which makes it possible for a retriever to identify the exact physical location in the storage area. The HD database contains no bibliographic information or linkage to the piece's location in the HOLLIS database. The simplicity of this system makes retrieval easy. For reporting and billing purposes there are separate, small-machine systems which produce simple reports, again based, when identification is necessary, on the HD barcode rather than HOLLIS identification numbers. In general, the simplicity of HD's systems has worked well, both in terms of HD's locational and processing needs and in terms of HCL's retrieval and reporting needs. Difficulties arise when a piece cannot be located: the only information that HD is able to provide is its central processing barcode number, which is not an access point in HOLLIS; HCL's central processing number, the HOLLIS number, is not an access point at HD.

The Future: There are several things that are about to happen that could radically alter the effectiveness of both HCL's and HD's methods. First, Widener is about to undertake large, ongoing transfers of materials to HD. Some of these materials are fully cataloged in the HU database, some have minimal stub records in the OW database, and some are cataloged only in the Widener card catalog. It has been estimated that in the next several years we shall have to transfer 600,000 - 800,000 volumes to Southborough. Conservatively, that may mean that our current retrieval rate of 2000 items per year could jump to 12,000 per year. Second, the Depository is currently determining whether and how it should change the computer systems it uses to manage inventory control, retrieval, and statistical reporting.

These changes raise the question whether current HCL and HD practices and systems will be able to handle future storage and retrieval as easily as they have in the past.

Summary of Major Proposals: This report contains detailed descriptions of sometimes complex processing and technical issues. The following is a summary of the Task Group's

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major recommendations. [Section references to the fuller discussions in the report are included.]

• We recommend that the public catalog contain an online ordering facility in HOLLIS that would enable patrons to easily order materials from Southborough. [Section 2.1.1.1]

• Each item transferred to HD from HCL should have a linked item record containing the HD barcode number. [Section 2.1.2.1]

• In order for an online order system to work, all Widener materials at HD should have HOLLIS bibliographic records with appropriate item records linked to them. Therefore, Widener must undertake the following: first, the backlog of unlinked item records for circulating materials in the Post-Charge Linkage Project should be eliminated. [Section 2.1.1.3] Second, the KE class materials which were transferred to HD from NEDL should have HOLLIS bibliographic and item records created for them. [Section 2.1.3.1] Lastly, since most materials previously transferred to Southborough do not have linked item records, a project should be undertaken by OSPR to retrospectively create those linked item records. [Section 2.2.2]

• Because of the above recommendations, the way HCL records HD information in its records must be changed. [Section 2.1.3]

• In the future HCL will need reports reflecting an entire library's HD holdings. There is currently no library-wide method for recording HD reporting information. We therefore recommend that a new reporting field be defined in the item record. [Section 2.1.3.5]

2.0 CURRENT PRACTICES AND PROPOSALS FOR CHANGE

2.1 Harvard College Library

2.1.1 Order and Retrieval Process

As described in the Introduction section (1.0), the retrieval process at Widener is essentially a manual system. The user or circulation staff member finds the necessary HD barcode in the HOLLIS LOC or holdings record.

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fix the unlinked item records for HD w/ its records in HOLLIS - these records confuse in public catalog

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(A more complete description of HD barcode location in HOLLIS will be found in Section 2.1.3 below.) The HD barcode is then phoned into the Depository. Circulation keeps a manual record of patron requests and holds the retrieved book for ten days. When users request materials from HD, they are informed of the expected arrival time at Widener. If the materials retrieved have not already been barcoded for circulation, the Circulation staff notifies the Post-Charge Linkage Project, which creates a linked item record using the HD barcode number. When the materials are returned to Widener Circulation, or if the user has not picked them up after 10 days, the books are then shipped back to Southborough.

DISCUSSION:

The current process works relatively well for the current rate of retrieval. However, as the amount of materials we transfer increases dramatically, the Circulation Department will be unable to absorb the concomitant increase of time spent on a retrieval system which calls for personnel intervention for each HD request.

PROPOSALS:

2.1.1.1 We recommend that automation of as much of the retrieval process as is possible. An online ordering system should be developed so that those items which have HD barcodes can easily be ordered by patrons directly through the public catalog. If the patron wants to request an item, a new screen should appear asking for name and id information. Once entered, an order should be produced for Widener Circulation (and possibly for HD directly) and the patron should be informed as to where the item will be available for pick-up. The online order system should automatically extract and use the appropriate HD barcode. (A complete explanation of the current and proposed location of the HD barcode will be found in Section 2.1.3 below.)

2.1.1.2 An implication of the above proposal is that an item must be unambiguously associated with its HD barcode. This is not currently the case for any piece which is represented by a LOC containing multiple HD barcodes (e.g., multivolume monographs or periodicals.) [See 2.1.3 below.] We therefore recommend that future system changes be developed so that materials associated with multi-item LOCs can also be ordered. Since the LOC and holdings fields currently contain barcode information in a form that makes it

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difficult, if not impossible, to extract all appropriate HD barcodes, another mechanism must be developed. Using item records [see 2.1.2 below] will allow organized selection from public circulation display of item records.

2.1.1.3 Widener is currently unable to turn on public circulation display because of the backlog of unlinked item records for circulating materials. We therefore recommend that the Library make the elimination of this backlog a priority.

2.1.1.4 Until these system changes are in place, Widener Circulation will have to develop mechanisms to deal with an increased number of requests, the work associated with forwarding those requests, and an increased load of problems. We suggest that using FAX for transmitting daily requests would eliminate some of the problems.

2.1.2 Barcoding and Item Records

Any materials transferred to HD must have HD barcodes. These barcodes are 6 characters long; the first 2 characters identify the owning or transferring unit. HD processing requires that a single barcode be placed on the upper left-hand corner of the book's front cover.

HOLLIS circulation barcode numbers are 14 numbers long. HOLLIS can currently also use the 6 character HD barcode for processing. HD, however, cannot accommodate the use of HOLLIS barcode numbers. This means that all transferred pieces must have HD barcodes assigned to them, even if they already have HOLLIS barcodes.

Most materials transferred to Southborough have not had item records created for them. Those items retrieved from Southborough for use have linked item records created by the Post-Charge Linkage Project after charging.

DISCUSSION:

We currently use recorded LOC |s and the 989 field as control information for HD transfer. Information cannot be extracted from these fields for online presentation to users in a patron order system. Circulation inventory

*Clearly, circulation status in the catalog will benefit all users of Widener, not just those who wish to order materials from HD.

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demands a one-piece to one-item record relationship. Item records, many of which are already in place, offer a good control mechanism. In addition, since a piece's barcode is located in its item record and is indexed in HOLLIS, this would provide an informational link between HOLLIS and HD processing systems which is currently not available. Item record use in the future reporting mechanism [see Section 2.1.3.5] will also require that all materials at HD have item records.

The differing demands of barcode specification and placement between Southborough and HOLLIS will get increasingly cumbersome as books are transferred back and forth. Widener now requires the placement of the 14 digit barcode inside the back cover while HD requires the placement of its barcode on the front cover. HOLLIS can now accept and circulate materials on the HD barcodes, but many of the previously transferred materials do not have their HD barcodes represented in circulation item records.

PROPOSALS:

* 2.1.2.1 Increased inventory control must occur with an increased transfer rate. We recommend that all transferred pieces have item records recording the HD barcode number before transfer takes place.

2.1.2.2 If Southborough space is honestly to be looked at as "Widener's closed stack," we must rationalize the physical placement of barcodes, as well as develop a barcode which is acceptable to both Widener, HCL Preservation Department, and Southborough. The following factors must be part of any mutual agreement:

- ✓ • HD and HCL should be using a single barcode.
- The barcode should be placed on the book where HD needs it.
- The placement of a barcode must be sensitive to preservation issues.
- ✓ • For those items which cannot have the HD barcode placed where HD needs it (e.g., a leather-covered book), a mutually-agreed upon exception-handling mechanism should be developed.

circulation control
mechanism will
have to be
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2.1.3 Representation of HD Information in HOLLIS Records

It has been an accepted practice that any item transferred to the Depository has had a bibliographic record (often provisional) in the HU database. The one exception to this is the KE class books transferred from NEDL, which have no HOLLIS records, but instead have HD barcodes on shelflist cards which are kept at the Widener Circulation Desk.

Monographs and multi-volume works with less than 10 volumes have had the following LOCS built:

LOC/x |c Harvard Depository |g Circ Desk |h 2 v. |k xxxxx
|s HDbarcode
or

LOC/x |c Harvard Depository |g Circ Desk |h 2 v. |k xxxxx
|s v.1=HDbarcode, v.2=HDbarcode

These LOCS generate the following display in the public catalog:

Location: Harvard Depository. Consult: Circ Desk
for HDbarcode.

or

Location: Harvard Depository. Consult: Circ Desk
for v.1 HDbarcode, v.2 HDbarcode
Library has: 2 v.

Serials and multi-volume monographs of greater than 10 volumes have had HD barcodes entered into 989 fields in holding records (which do not display in the public catalog):

989 |a v.1=HDbarcode, v.2=HDbarcode, etc.

In addition, they have had the following LOC built:

LOC/x |c Harvard Depository |g Circ Desk |k xxxxx

In the public catalog, these LOCS generate this display:

Location: Harvard Depository. Consult Circ Desk.

Some HCL units also include HD location information in |k. Subfield k was created to accommodate the needs of subunits

to include reporting information in the LOC. This subfield is very limited in length, contains encoded information, and does not display in the public catalog. There are, however, no standards for how libraries and their subunits encode information.

DISCUSSION

The current retrieval method requires that users make retrieval requests directly to the circulation staff member in charge of retrieving materials from HD. The appearance of the HD barcode number in the LOC makes it possible for either the user or the staff person to easily identify the piece needed. The exception to this, of course, is the fact that for multivolume works exceeding 9 volumes, or serials, a staff member must look at the holdings record to find the appropriate barcode number (since the 989 field is not available to the public.) Since there have been few serial transfers, or multi-volume pieces which could not be accommodated by LOC annotation, this has not been an issue up to this point. However, if periodicals are sent to HD, this will change.

Subfield k use may create future reporting problems. For a complex organization like Widener, whose subunits may all be using different encoding schemes, no library-wide reporting from |k can be done. We therefore need a new location for encoded HD-related information.

PROPOSALS:

- 2.1.3.1 Any materials being sent to HD must have a bibliographic record which provides adequate access in the HU database. In accordance with this, Widener should create HOLLIS bibliographic and item records for the KE class.
- ✓ 2.1.3.2 In order for an online order system to work, the patron must be informed as to where to pick up the book. We recommend that |i always contain the name of the unit to which the material should be shipped.
- 2.1.3.3 HD barcodes are currently displayed to the public in the location fields (derived from |s), or to staff (derived from 989 fields in holdings record). When item records are created for all transfers to HD [see 2.1.2.1 above], the HD barcodes should be derived for public display from them. We recommend that a program be written to strip |s & |g from retrospective records for materials at HD, since the

instructions they generate in the public catalog will no longer be correct when a patron request system is in place.

2.1.3.4 When item records are created for all materials (again, see above) staff should no longer create 989 fields of LOC subfields |s and |g for pieces sent to HD.

✓ 2.1.3.5 HCL needs a new location for HD-related information which can be used for reporting purposes. We recommend that a new field in the item record be created to accommodate this need. We also recommend that a rigid standard for encoded information in this field be agreed upon by all HCL units and subunits.

2.1.4 Space and Use Issues

Large-scale transfer to and from HD will require space for processing. This space must be allocated for both the initial transfer process and also for the retrieval of HD materials for circulation. Widener's current procedures for processing HD materials have been based on a much lower rate of transfer than will exist in the future, and have been set up for materials which have never been in the stacks. There are no established procedures for how we will transfer high-use materials back to Widener from HD.

DISCUSSION:

Space: It will be very difficult to process large amounts of materials for transfer in any existing processing area. The large-scale transfer of materials out of the stacks will go on for several years until a long-term balance of stack and collection space is achieved.

The majority of materials transferred to HD will simply circulate normally out of the originating library. However, there are several instances when this may not work. First, materials may be sent to HD because of poor physical condition. Second, if the College sends runs of older serials out, it may be necessary to bring back large runs at a time for researchers. A special facility, with well-trained staff, will have to be provided to house these materials while they are in use at Widener.

Transfer procedures: With a great increase in the number of transfers, we will need greater in-transit control. Currently, we send shipments of books out to HD, where they

are then entered into HD's database. We have no record of what we have sent at any given time. Although HD can inform us which materials were received, there is nothing to tell us what happened to a book that we think we sent, but HD clearly didn't receive, or whether HD has accessioned our transfers in a reasonable period of time. We could maintain manual records of what we send, but with increasing transfer, it would quickly become too cumbersome to compare long lists of HD accessions with an HCL list of transfers. It would be ideal if there could be a reporting mechanism in HOLLIS which could be cross-checked by HD information. However, as long as HCL's and HD's systems are wholly separate, this does not seem possible. Such problems cannot be solved without the creation of system-links of some sort.

In the future, high-use materials housed at HD may be transferred back into HCL libraries. Procedures will be required for transfers back.

Retrieval procedures: At the point when HD materials are received at Widener or other locations, procedures will need to be established for distribution and handling. For example, some HD materials may need to go to a supervised reading room. At any one time, large numbers of materials may be retrieved for distribution and temporary housing. Internal distribution systems linking the HD materials to the site from which they will be circulated will be necessary.

PROPOSALS:

- 2.1.4.1 Widener must immediately find space where large-scale transfer can occur. This spring's pilot project may be able to use existing processing space, although an area for book-packing must be found.
- 2.1.4.2 A less immediate need is space for a supervised reading room. We recommend that the Strategic Planning Space and Services Reconfiguration Task Force include this in their considerations.
- 2.1.4.3 Widener Public Services must immediately begin to develop procedures for the receipt, holding, and distribution of increased HD retrievals.
- 2.1.4.4 HCL must develop procedures to handle the transfer of materials back to libraries from Southborough.

1.4.5 We recommend that a new group investigate the possibilities of a joint system between HD and HCL, or some sort of inter-system link. ✓ ?

2.2

Harvard Depository

The success of HD's storage system has always been based on the simplicity of its control system. This system only knows a transferred piece as a series of barcodes (book, shelf, box, etc.), and this makes retrieval fast and efficient. HD has intentionally isolated its system from our control system which is bibliographic in nature.

HD maintains a separate inventory control database for each library depositing material. Each depositing library gets a separate set of barcodes, and each library's barcodes begins with a two-letter code identifying the institution and the library (e.g., Harvard's Widener Library barcodes begin with HW, the University Archives with HA).

The inventory control system can produce reports, such as retrieved books which have not been returned, organized by the amount of time the library has had them.

HD has a separate billing system against which daily transactions are applied. It is from this system that HD produces billing and usage reports.

DISCUSSION:

Preserving the simplicity of HD's system is extremely important. From the library's point of view, however, this simplicity has produced some problems. First, it means that HD's reports to the library have been based on the HD barcode. Up to this time, only a few transferred items could be retrieved by this number, since the HD barcode was only located in unsearchable fields (LOC and 989.) This made problem-resolution on the library's end very difficult, since our only record of the HD number was a paper record, not in barcode order, at the Circulation Desk. When Widener begins to attach an item record containing a searchable HD barcode, this problem will be eliminated prospectively. Problem resolution will continue to be difficult for previously transferred materials.

PROPOSALS:

- 2.2.1 If HOLLIS is the basis for a patron retrieval system, we recommend that HD have HOLLIS access. ✓
- 2.2.2 We recommend that a project be undertaken to create item records retrospectively for all previously transferred materials. OSRP can do this with a program which will create the item records and which will copy the HD barcode number from |'s into the item record's barcode field.
- 2.2.3 Currently, HD loses its reporting ability after one month. This allows only periodic "snapshots" of activity in a certain database. More sophisticated reporting of activity history should be investigated further. ✓