

When are my books due back???

How the University of Minnesota
has utilized Alma Implementation
to simplify circulation policies

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UMWUG 2013

Topics of Discussion

- (Not So) Quick overview of circulation policy in Aleph at Minnesota
- How Alma defines policy and provides opportunities for a rethink
- Decisions made by Minnesota for Alma implementation

A quick disclaimer ...

Aleph Circulation at Minnesota





TCF BANK STADIUM
Coca-Cola Dairy Queen

HAIL MINNESOTA
MINNESOTA, HAIL TO THEE!
HAIL TO THEE OUR COLLEGE DEAR!
THY LIGHT SHALL EVER BE A BEACON BRIGHT AND CLEAR,
THEY SONS AND DAUGHTERS TRUE WILL
PROCLAIM THEE NEAR AND FAR,
THEY WILL GUARD THY FAME AND ADORE THY NAME,
THOU SHALT BE THEIR NORTHERN STAR!

MINNESOTA

About Minnesota

- Four Campus
 - Crookston (UMC)
 - Duluth (UMD)
 - Morris (UMM)
 - Twin Cities (UMTC)
- UMTC has thirteen separate libraries; the other campuses have just one

About Minnesota

- Crookston and Morris are both universities that only offer undergraduate degrees
- Duluth and the Twin Cities both have graduate and professional programs; because of size, the Twin Cities campus has a larger percentage of its user community in these programs

Let's take a look into the future



In the year 2000

In the year 2000

- Each Campus had its own library system
 - Crookston: MnPALS
 - Duluth: SirsiDynix
 - Morris: MnPALS
 - Twin Cities: NOTIS
- No systems coordination between the campuses

In the year 2000

- State legislature had mandated a single library system for the U of M campuses
- Aleph was selected



In the year 2002-04

- Twin Cities campus went live with Aleph in 2002
- UMC, UMD, UMM went live in 2004
- Because of the differing “go live” dates, data/policies were simply migrated to Aleph without consideration of consolidating or simplifying

In the year 2004 - Present



- One single system in place, but little effort to coordinate circulation policy
- Other campus loan periods were visible and began to be used

Our first attempt at Coordination

- After sharing a single catalog for years, we decided it would be nice for researchers to be able to request items materials from other campuses directly in lieu of ILL.
- A new service was launched, but lots of materials/collections opted out. Opt outs occurred by creating new item statuses.

Our first attempt at Coordination

- Borrower categories were expanded to get campus specific usage statistics



So where are we in Aleph?

41 Aleph Borrower Statuses

undergrad graduate level UM law student UM employee processing
point to point bindery UMTC undergraduate UMTC graduate UMTC employee
law faculty attorney law organization area law student Ill office minitex 6
Aleph ISO ILL partner CIC lending friend assoc friend corp special privilege
UMD courtesy - high school UMD courtesy - summer UMD Short processing
UMD courtesy - area faculty, students, residents UMD processing UMD ILL lending
UMD undergraduate UMD graduate UMD employee UMC community user
UMC undergraduate UMC graduate UMC employee UMM community user
UMM ILL lending UMM undergraduate UMM graduate UMM employee

Book Digitization Project

55 Aleph Item Statuses

1-Week Loan or Class Booking

2-Hour Loan or Class Booking

24 Hour Loan

3-Day loan or Class Booking

3-Hr Loan or Faculty Booking

72 Hour Loan

Carrel Assigned

Carrel use Only

Circulating

End of Semester

Four Day Loan

Four Hour Loan

Four Week Loan

Four Week Loan: Bookable

ILL Material

ILL in library use

ILL loan - Not renewable

ILL loan - Renewable

In Library Use

Loan Varies

Networked

New Book Shelf

Non-Circulating

One Day Loan

One Day Loan (HSL use only)

One Day Loan: Booking Allowed

One Week Loan

One Week Loan (Laptops only)

One Week Loan (No Get It)

One Week Loan: Booking Allowed

Online Resource

Overnight Loan

Regular Loan

Request At Desk

Restricted

Room Use Only

Same Day Loan

SIX WEEK LOAN

Study Room

Suppressed

Thirteen Week Loan

Three Day Loan

Three Hour Loan

Three Hour Loan: Bookable

Three Week Loan

Three day loan no renewals

TWO DAY LOAN

Two Hour Loan

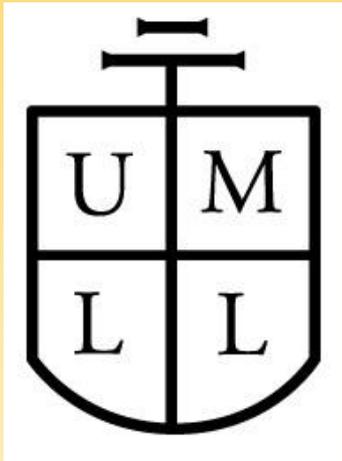
Two Hour Loan (No overnight)

Two Week Loan

8 Aleph “Group IDs”



8 Aleph “Group IDs”



Our Aleph Environment

- Circ Policy based on (1) “library”, (2) borrower status, (3) item status
- Aleph sublibraries organized by Group IDs: Crookston, Duluth, Morris, Bio-Med, Law, MLAC, Twin Cities, Twin Cities Reserve
- 41 Borrower Statuses
- 55 Item Statuses
- 18,040 possible “policies”, approx. 4,000 in use

Implications of 4,000 policies

- (Almost) Impossible to post policies for users

UNIVERSITY LIBRARIES

To access your account

Services

Services - Home

Borrowing Privileges

Borrowing Privileges

U of M Students, Faculty, Staff and Retirees

Current University students, faculty, staff and retirees are eligible for direct borrowing privileges by obtaining a [University of Minnesota ID card](#). Privileges include:

- 13-week loan period for faculty, staff, retirees and graduate students
- 6-week loan period for undergraduates
- Generous renewal limit:
 - Undergraduates: Up to 6 months
 - Graduate Students: Up to 1 year
 - Faculty, Staff, and Retirees: Up to 5 years

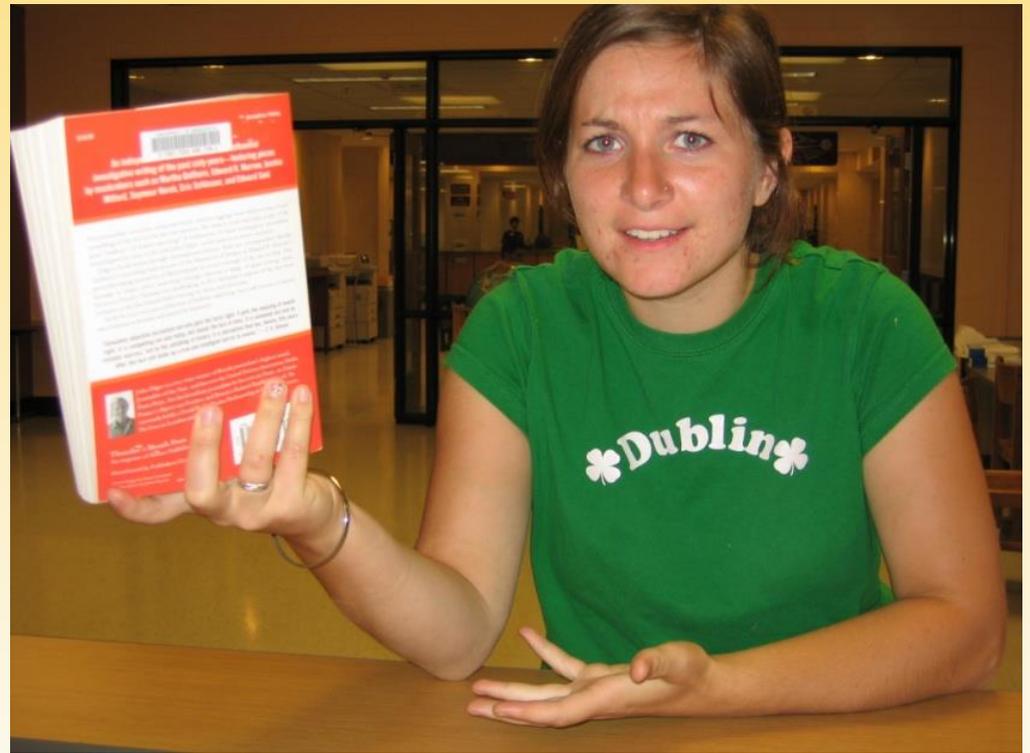
Contact
Privileges

110 Wil
309 19t

Loan Period	Regular Rate	Recall Rate	Rush Recall Rate
Regular Loan	\$0.50/day	\$1.00/day	\$5.00/day
Non-Circulating Overnight Loan In Library Use Same Day Loan 1 Day Loan 3 Day Loan ILL Material	\$3.00/day	\$6.00/day	\$30.00/day
2 Hour Loan	\$1.50/hour	\$3.00/hour	\$15.00/hour
Carrel Assigned	\$3.00/day	-	-

Implications of 4,000 policies

- (Almost) Impossible to post policies for users



Implications of 4,000 policies

- Items get assigned the “wrong” status
- 4,000 policies is not enough when more possibilities are permitted in the system
- Identifying sets of records gets confusing
- System config gets overly burdensome

Alma to the Rescue!



Alma to the Rescue!

- Nothing has to change
- Alma has the ability to simplify policy
 - Users can be grouped and share same rules
 - Focus on Collection based circulation policy instead of item based policy
 - “Like” collections can share the same policy

A Quick Example

- Grouping by Users/Collections creates a grid-like approach to policy

	Collection Usage #1	Collection Usage #2	Collection Usage #3	Collection Usage #4
Patron Privileges #1				
Patron Privileges #2				
Patron Privileges #3				

A Quick Example

	Non-Circulating	Short	Medium	Long
Low				
Middle				
High				

Defining Borrowers

Borrower Status	Privileges
UMTC undergraduate	Middle
UMTC graduate	Middle
UM law student	Middle
UMTC Staff	High
UMTC Faculty	High
Friend of the Library	Low
Local Attorney	Low
ILL	Low

Defining Collections

Wilson Collections	Usage
TC Wilson Library Ames	Long
TC Wilson Library Ames (Periodicals)	Medium
TC Wilson Library Gov Pub (US Docs)	Long
TC Wilson Library Reference	Non-Circulating
TC Wilson Library Periodicals	Medium
TC Wilson Library Reserve	Short
TC Wilson Library East Asian	Long

Policy Defined

- Alma refers to policy as “Terms of Use”

	Collection Usage #1	Collection Usage #2	Collection Usage #3	Collection Usage #4
Patron Privileges #1	Terms of Use	Terms of Use	Terms of Use	Terms of Use
Patron Privileges #2	Terms of Use	Terms of Use	Terms of Use	Terms of Use
Patron Privileges #3	Terms of Use	Terms of Use	Terms of Use	Terms of Use

Sample Terms of Use Questions

- Loans: Can a book be checked out? How long? Number of renewals?
- Requests: Can a book be recalled? Paged from the Shelf? Digitized?
- Cash: Grace periods? Fine rates? Max fine? Replacement costs?

Scope of Terms of Use

- Terms of Use can be applied at the institution level or can be assigned at the library(ies) level

What doesn't fit?

- Item Exceptions are added, if needed
- Exceptions can be based on any (or all) of the following criteria: user, location, material, item policy
- Exceptions trump the policy defined for a collection/user combination

What doesn't fit?

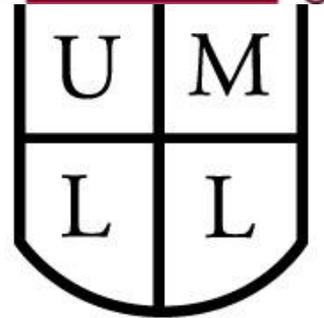
- Item policies, which are assigned within the item record only work if the item record has the exception assigned and a rule has been created in configuration

So how did Minnesota do it?

So how did Minnesota do it?

- Alma implementation team decided that separate campus policies would cease to exist
- Exceptions were to be avoided

Single Shared Group Circulation Policy



LIBRARIES

So how did Minnesota do it?

ExLibris Alma Sandbox

Tasks Analytics Currently at: Graduate Library (GRAD) - D...

User Details

Name Potter, Harry Primary identifier 47370030001701
Internal User group Undergraduate Student
[Manage fulfillment activities](#)

General Information Contact Information Identifiers Notes Blocks Fines/Fees **Statistics** Attachments

User Information

First name *	Harry	Middle name	
Last name *	Potter	Primary identifier *	47370030001701
PIN number		Generate	
Job category	Please select a value	Job description	
Gender		User group	Undergraduate Student
Campus		Website URL	
Preferred language	English	Status	Active
Status date	13/03/2013	Birth date	
Expiration date		Usage date	

So how did Minnesota do it?

- Stakeholder meetings: 16 in total, everybody involved in public services / collections attended at least one
- Each campus was asked to develop their proposal for shared policy
- Library Directors created Guiding Principles

Guiding Principles

- Align circulation policies across the system for greater clarity for patrons
- Treat like materials the same (e.g., periodicals in all areas check out the same)
- Make most materials available to check out for most users (more choice, more access)
- Language in Primo should be clear for patrons

Proposals Submitted

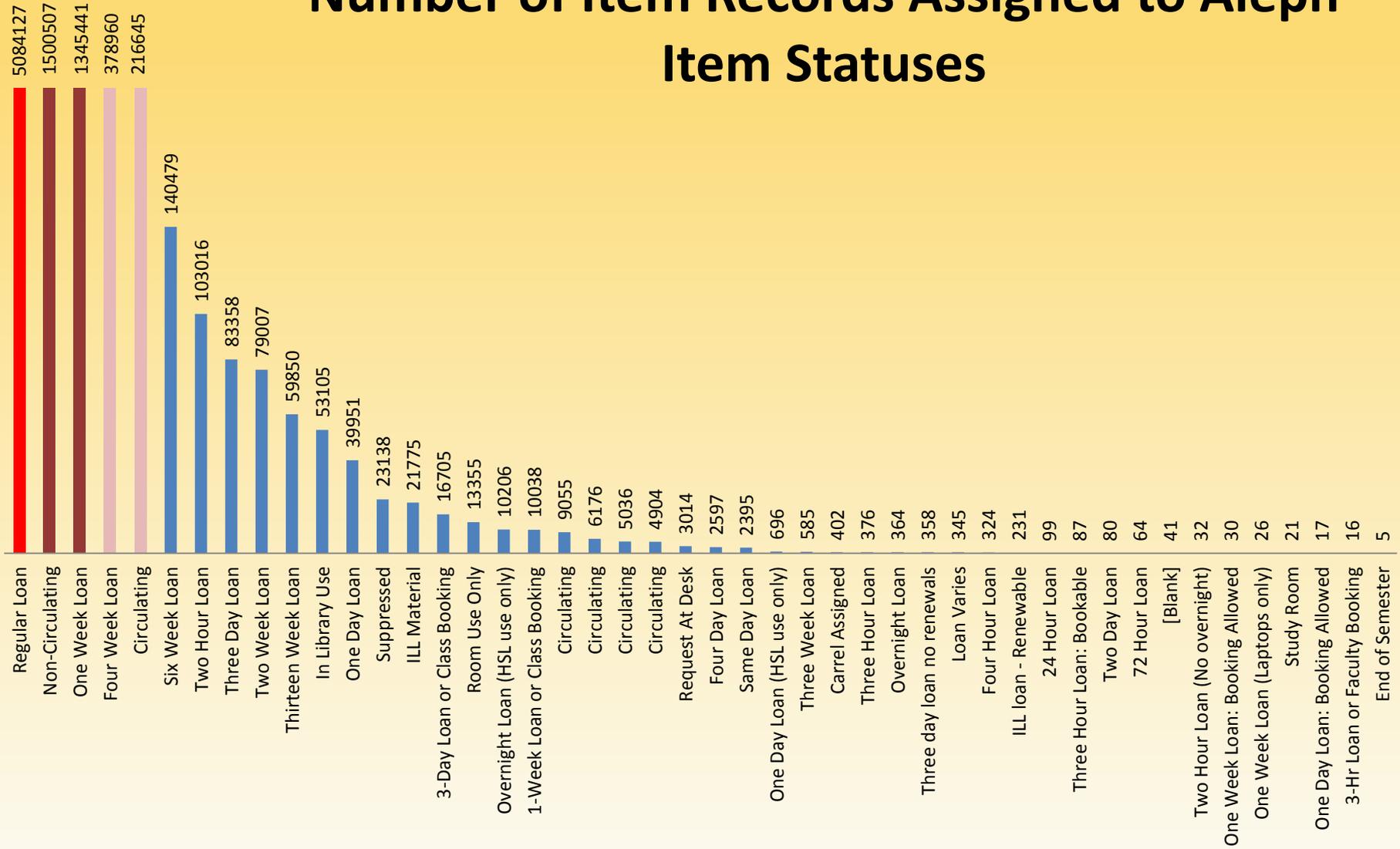
- 4x26 proposal was a bit misleading
 - Some proposed TOU were very similar but had “small” differences in some of the components (fine rates, renewals, etc.)
 - Each campus proposed no more than four user groups, but no two campuses agreed on what individuals belonged in each group



How to get a working proposal

- Very small group of representatives from our Alma implementation team worked on consolidating the proposals
- Used existing policy data to drive decisions

Number of Item Records Assigned to Aleph Item Statuses



Grouping Users

- **NON-AFFILIATES:** community users, friends of the library, special privileges, law-only, etc.
- **STUDENTS:** U of M undergraduates, graduates, and law graduates

Grouping Users

- **FACULTY & STAFF:** U of M faculty and staff
- **LIBRARY PROCESSING:** Inter-Library Loan, Bindery, Reserve, Google, etc.

Location Types (Loan Periods)

- In Library Use
- Reading Room Use
- Three Hour Loan
- One Day Loan
- Three Day Loan
- One Week Loan
- Four Week Loan
- Long Term Loan

Alma Loan Periods

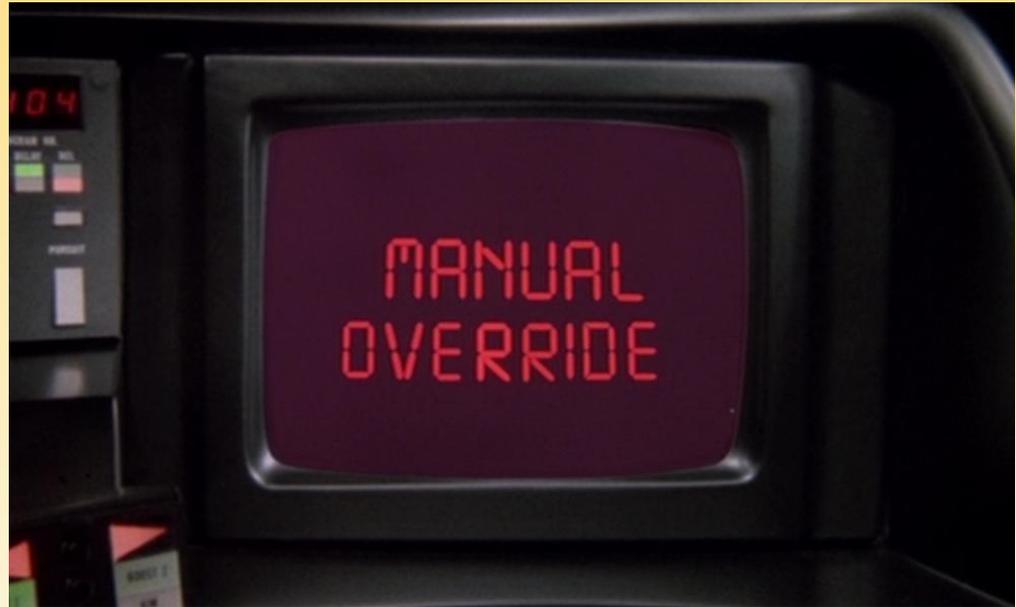
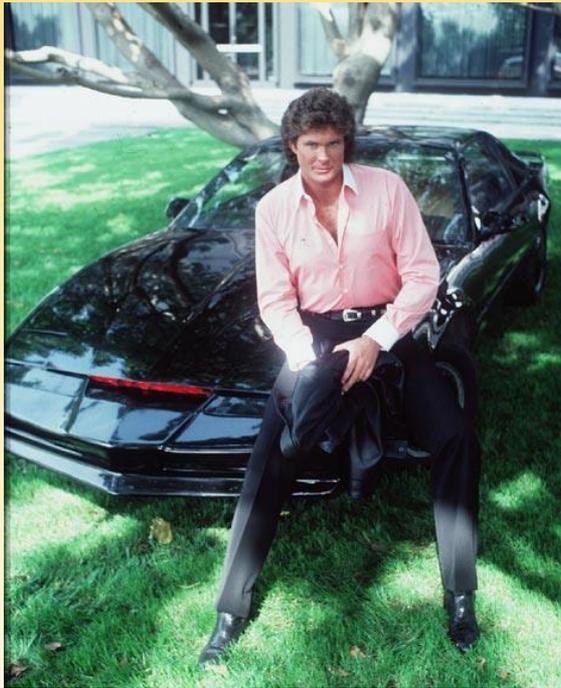
	In Library Use	Reading Room Use	Three Hour Loan	One Day Loan	Three Day Loan	One Week Loan	Four Week Loan	Long Term Loan
Non-Affiliates	No loans	No loans	3 hour	1 day	3 day	1 week	4 week	6 week
Students	No loans	No loans	3 hour	1 day	3 day	1 week	4 week	13 week
Faculty & Staff	No loans	No loans	3 hour	1 day	3 day	1 week	4 week	13 week
Library Processing	13 week	13 week	13 week	13 week	13 week	13 week	13 week	13 week

Example TOU - Long Term Loan

	Initial Loan	Renewal	Grace Period	Overdue Fine	Requests
Non-Affiliates	6 week	3 month	4 day	\$1/day	Yes
Students	13 week	6 month	4 day	\$1/day	Yes
Faculty & Staff	13 week	24 month	N/A	N/A	Yes
Library Processing	13 week	24 month	N/A	N/A	Yes

A reminder to our staff ...

Just like Michael could override KITT



We can override circulation transactions in Alma

Policy Vetting

- All-staff meetings were held to share the proposal and receive feedback
- Web form created to allow for private comments
- Library Directors resolved fundamental policy differences



Mapping Location Types

- 532 collections in Aleph needed to be assigned an Alma location type
- Guiding principles were used to assign “like” materials to the same location type
- Applying the principles revealed many “unique” collections in Aleph

Mapping Location Types

- 50 collections had no items
- Many collections had very few items
 - Less than 10 items: 27 collections
 - Less than 50 items: 58 collections
 - Less than 100 items: 76 collections
- We decided to take a step back and define a policy on what is a collection in Alma

Mapping Location Types

- With a policy in place, we began to map our ~500 collections to Alma location types
- Collections staff began to inform us that a number of collections could not have a single Terms of Use in Alma
- Question if we allow Exceptions in Alma

Mapping Location Types

- We decided that allowing for Exceptions was a creating a path to 4,000 circulation rules
- Our Aleph database had enough errors to make Item Exceptions a challenge (e.g. 122,440 items marked as non-circulating in our circulating collections)

Mapping Location Types

- Instead of Item Exceptions, collections would be “split” when truly necessary; two collections would be created in Alma, but the physical items would not move.
- Each split collection has its own Alma location type.

Collections Identified for Splits



Collections Identified for Splits

- Splits occurred based upon:
 - Format
 - Course Reserve
 - Rarity/Value



Collections Identified for Splits

- Serials presented a significant challenge to our idea of splitting locations because of the need for multiple holdings records
- Alma Implementation team decided that collections staff would need to decide on a single location type for an entire serial set

Exception to the Exceptions

- Our circulation policy for periodicals was not going to fit into our Alma proposal
 - Unbound materials stay in the library
 - Bound materials can circulate for one week and can be delivered to other campuses
- We have a single exception for (1) material = ISSUE and (2) location = PER

Lessons Learned

Lessons Learned

- Verify that your data is up-to-date and accurate
- Open communication, large numbers of staff have skin in the game
- Be willing to rethink the status quo



rose/...edu

Non-Circulating Items

- Original decision was for one single exception for unbound periodicals, material type ISSUE
- We discovered that the number of “periodical collections” was much higher than anticipated that collectively had multiple TOU

Non-Circulating Items

- A “single exception” would require multiple exceptions to the various TOUs for periodical collections
- Setting up these exceptions for material type ISSUE would impact more than periodical collections

Non-Circulating Items

- Our solution is to add an exception rule (Item Policy) for non-circulating for every TOU
- The Item Policy of non-circulating must be added to any item record that requires it; the default TOU rules allow for circulation

Booking

- Booking: a user request for a resource that is not (necessarily) immediate but is requested for a specific date/time
- Booking functionality was still in development when decisions were made for TOU

Create Request

Create Request

Title Cinders /

Institution University of Minnesota

Request Type * Booking request

Requester * Rose, Christopher Cole

Note

Start time * 10/29/2013 13:30

End time *

Pickup At *

Calendar for October 2013. The 27th is highlighted.

Su	Mo	Tu	We	Th	Fr	Sa
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

Additional Request Attributes

No records were found.

Add Request Attributes

Material Type Refresh Values > Book

Availability

1 Day Week

Calendar for October 2013. The 27th is highlighted.

S	M	T	W	T	F	S
29	30	1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31	1	2
3	4	5	6	7	8	9

2013	Sun, Oct 27	Mon, Oct 28	Tue, Oct 29	Wed, Oct 30	Thu, Oct 31	Fri, Nov 1
12 am						
1 am						
2 am						
3 am						

Booking

- Tried to integrate booking to existing TOU
 - Reading Room Use
 - Three Hour Loan
 - One Day Loan
 - Three Day Loan
 - One Week Loan
- Integrating our test Alma with Primo has us wondering if all TOU should have booking

Booking

2 Results for MNCAT Discovery

Sorted by: Date-newest ▾

2 R

Refined by: List of Versions: x

Refi

Book



Peddlers and princes; social change and economic modernization in two Indonesian towns.

Clifford Geertz
Chicago, University of Chicago Press 1963

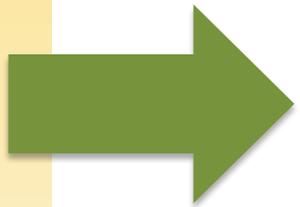
● Available at IN STORAGE: MN Lib Access Ctr MPL (HC448.M58 G4) and other locations

Get It Details Reviews & Tags HathiTrust (limited)

Twin Cities Campus More(1)

Request Options: Request | Digitization | Resource sharing request |

Location	Availability
IN STORAGE: MN Lib Access Ctr MPL HC448.M58 G4	(1 copy, 1 available)
TC Magrath Library GEN HC448.M58 G4 1963	(1 copy, 1 available)
TC Wilson Library GEN 330.891 G271	(1 copy, 1 available)



Booking

- Alma Display Logic Rules have the ability to solve the Primo problem*

The screenshot displays the Alma Discovery Interface Display Logic configuration page. The main interface shows a table of rules with columns for 'Active', 'Move Up', 'Move Down', and 'Rule'. A modal window titled 'Add Rule' is open, showing the configuration for a new rule. The modal contains the following fields:

- Add Rule** (button)
- For user from groups**: A dropdown menu with options: Graduate Student, Inter-Library Loan, Staff, and Undergraduate Student (selected).
- hide service ***: A dropdown menu with the option: Digitization.
- if exists service**: An empty dropdown menu.
- Buttons**: Cancel, Add, and Add and Close.

Collection Consolidation

- 532 Aleph collections
- 114 collections are to be eliminated before going live
 - Obsolete Collections
 - Few items
 - Elimination of 17 Aleph sublibraries
 - Overlap with library consolidation projects

Collection Consolidation

- Items have to be moved somewhere to delete a collection, including withdrawn items
- Not completing Collection Consolidation will result in items not appearing in Primo

Collection Consolidation

primo.lib.umn.edu/primo_library/libweb/action/search.do?dscnt=0&vl(2404505UI0)=anv&scp.scps=scope%3Aft
umn-primoalmasb.hosted.exlibrisgroup.com/primo_library/libweb/action/search.do?dscnt=0&scp.scps=scope%

BIB= 473128 ADM= 473124 - Labor specialization and endogenous grow (Mohtadi, Hamid.) Year: 1992.

Items List

Loan Filter

Description	Due Date	Barcode	Call no.	Sublibrary	Collection	Status	Last Return
		31951D0 1530539J	MN4450B92-2	TC Magrath Library	Gov Pub	Regular Loan	10/22/96

UNIV
MNC
Labor
All item
rs:
S
Add page to e-Shelf

Haven't Found What You're Looking For?

Specialists
Labor economics

rss

Results for Twin Cities Catalog

Sorted by: Relevance

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Lessons Learned

- Verify that your data is up-to-date and accurate
- Open communication, large numbers of staff have skin in the game
- Be willing to rethink the status quo
- Don't bite off more than you can chew

Thank you!

Chris Rose

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