When are my books due back???

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

Chris Rose, University of Minnesota
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
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 Statutes

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
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
<table>
<thead>
<tr>
<th>Loan Period</th>
<th>Regular Rate</th>
<th>Recall Rate</th>
<th>Rush Recall Rate</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regular Loan</td>
<td>$0.50/day</td>
<td>$1.00/day</td>
<td>$5.00/day</td>
</tr>
<tr>
<td>Non-Circulating</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Overnight Loan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>In Library Use</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Same Day Loan</td>
<td>$3.00/day</td>
<td>$6.00/day</td>
<td>$30.00/day</td>
</tr>
<tr>
<td>1 Day Loan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 Day Loan</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>ILL Material</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2 Hour Loan</td>
<td>$1.50/hour</td>
<td>$3.00/hour</td>
<td>$15.00/hour</td>
</tr>
<tr>
<td>Carrel Assigned</td>
<td>$3.00/day</td>
<td>-</td>
<td>-</td>
</tr>
</tbody>
</table>
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 simply 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

<table>
<thead>
<tr>
<th></th>
<th>Collection Usage #1</th>
<th>Collection Usage #2</th>
<th>Collection Usage #3</th>
<th>Collection Usage #4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Patron Privileges #1</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Patron Privileges #2</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Patron Privileges #3</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
## A Quick Example

<table>
<thead>
<tr>
<th></th>
<th>Non-Circulating</th>
<th>Short</th>
<th>Medium</th>
<th>Long</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Low</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Middle</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>High</strong></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
# Defining Borrowers

<table>
<thead>
<tr>
<th>Borrower Status</th>
<th>Privileges</th>
</tr>
</thead>
<tbody>
<tr>
<td>UMTC undergraduate</td>
<td>Middle</td>
</tr>
<tr>
<td>UMTC graduate</td>
<td>Middle</td>
</tr>
<tr>
<td>UM law student</td>
<td>Middle</td>
</tr>
<tr>
<td>UMTC Staff</td>
<td>High</td>
</tr>
<tr>
<td>UMTC Faculty</td>
<td>High</td>
</tr>
<tr>
<td>Friend of the Library</td>
<td>Low</td>
</tr>
<tr>
<td>Local Attorney</td>
<td>Low</td>
</tr>
<tr>
<td>ILL</td>
<td>Low</td>
</tr>
</tbody>
</table>
## Defining Collections

<table>
<thead>
<tr>
<th>Wilson Collections</th>
<th>Usage</th>
</tr>
</thead>
<tbody>
<tr>
<td>TC Wilson Library Ames</td>
<td>Long</td>
</tr>
<tr>
<td>TC Wilson Library Ames (Periodicals)</td>
<td>Medium</td>
</tr>
<tr>
<td>TC Wilson Library Gov Pub (US Docs)</td>
<td>Long</td>
</tr>
<tr>
<td>TC Wilson Library Reference</td>
<td>Non-Circulating</td>
</tr>
<tr>
<td>TC Wilson Library Periodicals</td>
<td>Medium</td>
</tr>
<tr>
<td>TC Wilson Library Reserve</td>
<td>Short</td>
</tr>
<tr>
<td>TC Wilson Library East Asian</td>
<td>Long</td>
</tr>
</tbody>
</table>
Policy Defined

- Alma refers to policy as “Terms of Use”

<table>
<thead>
<tr>
<th>Patron Privileges</th>
<th>Collection Usage #1</th>
<th>Collection Usage #2</th>
<th>Collection Usage #3</th>
<th>Collection Usage #4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Patron Privileges #1</td>
<td>Terms of Use</td>
<td>Terms of Use</td>
<td>Terms of Use</td>
<td>Terms of Use</td>
</tr>
<tr>
<td>Patron Privileges #2</td>
<td>Terms of Use</td>
<td>Terms of Use</td>
<td>Terms of Use</td>
<td>Terms of Use</td>
</tr>
<tr>
<td>Patron Privileges #3</td>
<td>Terms of Use</td>
<td>Terms of Use</td>
<td>Terms of Use</td>
<td>Terms of Use</td>
</tr>
</tbody>
</table>
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 Circulation Policy & "Group IDs"
So how did Minnesota do it?

- Alma's patron record includes a field for statistics, making us comfortable giving up our campus-specific statuses.
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

Take 1: 4x26
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

- Regular Loan
- Non-Circulating
- One Week Loan
- Four Week Loan
- Circulating
- Six Week Loan
- Two Hour Loan
- Three Day Loan
- Two Week Loan
- Thirteen Week Loan
- In Library Use
- One Day Loan
- Suppressed
- ILL Material
- Room Use Only
- 3-Day Loan or Class Booking
- 1-Week Loan or Class Booking
- One Day Loan (HSL use only)
- Same Day Loan
- Carrel Assigned
- One Day Loan (HSL use only)
- Over Night Loan
- Over Night Loan (HSL use only)
- Request At Desk
- 4 Day Loan
- Room Use Only
- 2 Day Loan
- End of Semester
- In Library Use
- One Day Loan: Booking Allowed
- Two Hour Loan (No overnight)
- Three Day Loan or Faculty Booking
- 3-Hour Loan or Faculty Booking
- Room Use Only
- End of Semester

Number of Item Records Assigned to Aleph:

- 5084127
- 1500507
- 378960
- 140479
- 103016
- 83358
- 79007
- 59850
- 53105
- 39951
- 23138
- 21775
- 16705
- 13355
- 10206
- 10038
- 9055
- 6176
- 5036
- 4904
- 3014
- 2597
- 2395
- 696
- 585
- 402
- 376
- 364
- 358
- 345
- 324
- 231
- 199
- 87
- 64
- 41
- 32
- 26
- 21
- 17
- 16
- 5
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

<table>
<thead>
<tr>
<th></th>
<th>In Library Use</th>
<th>Reading Room Use</th>
<th>Three Hour Loan</th>
<th>One Day Loan</th>
<th>Three Day Loan</th>
<th>One Week Loan</th>
<th>Four Week Loan</th>
<th>Long Term Loan</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-Affiliates</td>
<td>No loans</td>
<td>No loans</td>
<td>3 hour</td>
<td>1 day</td>
<td>3 day</td>
<td>1 week</td>
<td>4 week</td>
<td>6 week</td>
</tr>
<tr>
<td>Students</td>
<td>No loans</td>
<td>No loans</td>
<td>3 hour</td>
<td>1 day</td>
<td>3 day</td>
<td>1 week</td>
<td>4 week</td>
<td>13 week</td>
</tr>
<tr>
<td>Faculty &amp; Staff</td>
<td>No loans</td>
<td>No loans</td>
<td>3 hour</td>
<td>1 day</td>
<td>3 day</td>
<td>1 week</td>
<td>4 week</td>
<td>13 week</td>
</tr>
<tr>
<td>Library Processing</td>
<td>13 week</td>
<td>13 week</td>
<td>13 week</td>
<td>13 week</td>
<td>13 week</td>
<td>13 week</td>
<td>13 week</td>
<td>13 week</td>
</tr>
</tbody>
</table>
# Example TOU - Long Term Loan

<table>
<thead>
<tr>
<th></th>
<th>Initial Loan</th>
<th>Renewal</th>
<th>Grace Period</th>
<th>Overdue Fine</th>
<th>Requests</th>
</tr>
</thead>
<tbody>
<tr>
<td>Non-Affiliates</td>
<td>6 week</td>
<td>3 month</td>
<td>4 day</td>
<td>$1/day</td>
<td>Yes</td>
</tr>
<tr>
<td>Students</td>
<td>13 week</td>
<td>6 month</td>
<td>4 day</td>
<td>$1/day</td>
<td>Yes</td>
</tr>
<tr>
<td>Faculty &amp; Staff</td>
<td>13 week</td>
<td>24 month</td>
<td>N/A</td>
<td>N/A</td>
<td>Yes</td>
</tr>
<tr>
<td>Library Processing</td>
<td>13 week</td>
<td>24 month</td>
<td>N/A</td>
<td>N/A</td>
<td>Yes</td>
</tr>
</tbody>
</table>
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 assign 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 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
Thank you!

Chris Rose
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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
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
Booking

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

<table>
<thead>
<tr>
<th>Description</th>
<th>Due Date</th>
<th>Barcode</th>
<th>Call no.</th>
<th>Sublibrary</th>
<th>Collection</th>
<th>Status</th>
<th>Last Return</th>
</tr>
</thead>
<tbody>
<tr>
<td>Labor specialization</td>
<td></td>
<td>31951D0</td>
<td>MN4450B92-2</td>
<td>TC Magrath Library</td>
<td>Gov Pub</td>
<td>Regular Loan</td>
<td>10/22/96</td>
</tr>
<tr>
<td>and endogenous grow</td>
<td></td>
<td>1530539J</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Haven't Found What You're Looking For?

Specialists
Labor economics

Results for Twin Cities Catalog Sorted by: Relevance
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!

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