

Withdrawals, Transfers, and Reinstatements (LTS Procedure #9)

Scope: This procedure contains instructions for processing withdrawals, transfers, and reinstatements in the Database Quality Unit. Requests for these transactions typically come from selectors or from Collection Maintenance staff.

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Date last reviewed: 16 Apr 2024

Date of next review: April 2025

Withdrawals

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A. Withdrawals

I. Instance

1. Display **Instance record**. Verify that record matches book. If the title is marked "lost" or "missing", see special instructions below.
2. If the title is a serial, check for and report an open purchase order or ongoing subscription.
3. For **single-part monographs** Click **ActionsEdit Instance**, and make the following changes in the **Administrative Data** section:
 - Check the "Suppress from Discovery" box
 - Check the "Staff Suppress" box
 - Add an **Administrative note** with the proper coding for the withdrawal, using the format **date:yyyymmdd ttype:w userid:[netid] ploc:Its** **The macro for this is „w.**
 - For **multipart items**, record the number of pieces withdrawn by adding "pcs: " to the end of the note, followed by the number of pieces withdrawn (**see example below**)
 - **If you are NOT withdrawing ALL of the pieces of a particular multi-volume, DO NOT suppress the instance record, or the remaining volumes will not be discoverable.**

Examples (single-part and complete multivolume sets):

 **Administrative data**

 Record last updated: 6/19/2021 2:53 AM

☒ **Suppress from discovery** ☒ **Staff suppress**

Administrative note

date:20230112 ttype:w userid:pca1 ploc:Its

Administrative note

date:20230614 ttype:w userid:pca1 ploc:Its pcs: 3

II. Holdings record

1. Display the appropriate **Holdings record** for the piece in hand:
 - For single-part monographs being withdrawn, check the box to **SUPPRESS FROM DISCOVERY**. For Multi-part monographs and serials, see instructions below, suppress **ONLY** if withdrawing all of the pieces.

Holdings record

^ Administrative data

Record last updated: 2/7/2023 12:43 PM

☒ Suppress from discovery

2. In the **Holdings Notes**, with **Note Type: Note**, enter **"WITHDRAWN"**, and a short parenthetical note stating the reason, if available (e.g. lost, damaged, deselected, etc.), plus the **date and your netID**:

Note type *	Note *	Staff only
Note	Withdrawn (deselected) 01/12/23 pca1	☒

- **When withdrawing only certain parts of a multipart monograph or serial**, add specific information in the "WITHDRAWN" Holdings note on which parts are being withdrawn, and why.
 - **Example: "v.2 and v.6 withdrawn (damaged) 01/02/03 abc"**

Make sure NOT to suppress the Instance and Holdings records if any of the volumes are still left in the collection.

3. If the part(s) being withdrawn are accompanying material that is included in the bibliographic description for the title (such as supplements or maps in a pocket), add a note specifying that the supplement/map/etc. has been withdrawn –

- **Example: "Vol. 3 and accompanying maps WITHDRAWN (MISSING) 9/3/21"**

4. **Edit** the appropriate **Holdings Statement(s)** to reflect **ONLY** those holdings that are retained. **If you are withdrawing all parts of a multipart monograph or serial**, however, **retain the Holdings Statement information** as is.

5. **Save** the Holdings record.

III. Item Record

1. Display relevant **item record(s)**:
 - For single-part monographs, **delete** the Item record by clicking **ActionsDelete**. If the Item cannot be deleted because of dependencies or certain Item Statuses in FOLIO, bring the piece to the DBQ supervisor or other appropriate staff to Check-in the piece before withdrawal.
 - For multipart monographs and serials, note item Enum/Chron information for the withdrawal note, make sure the Item status lack any dependencies, and delete the Item records as described above.

IV. Physical Disposal

1. If you have the physical pieces in hand, stamp them "Withdrawn."
2. Dispose of the withdrawn physical pieces as follows:

- Place print serials in the recycle bin.
- Send all items that with a "Federal Publications" sticker, or "Depository" stamp, or have a "D" penciled on the cover, title page, or other preliminary pages, to the LTS Documents supervisor.
- Place all other items on the "Withdrawn Items" items cart in 110, to be sent to the Annex for donation.

• B. Batch Withdrawals: Single Monographic Volume or Complete Serial collections

For batch withdrawals of single volume monographs, a text file or Excel spreadsheet of barcodes of records to be withdrawn are sent to the batch processing team. Batch processing will only perform the batch withdrawal process if the count is greater than 25. Less than 25 will be processed manually by DBQ staff.

The batch withdrawal process is as follows:

1. Text file or Excel spreadsheet is imported into DBEaver LDP and a separate table of the barcodes is created.
2. A query, (or queries), is performed on the newly created table of barcodes. This is to acquire specific data needed to perform the batch withdrawal process. The primary data necessary to complete a batch withdrawal are the instance UUIDs, holdings UUIDs and the item UUIDs.
3. Once item UUIDs are acquired, item records are deleted by means of a Perl or Python script.
4. Utilizing the holdings UUIDs and a Perl or Python script involving the the Folio API, all holding work will be completed. This would include adding the withdrawal note in the holdings note, the transaction data note and the suppression of the holdings. Examples of withdrawal notes: Withdrawn (lost/missing) 3/12/20, netid or Withdrawn (dupe-deselected) 3/12/20, netid.
5. If the holdings being withdrawn is the last CUL copy, the MARC bibliographic record will need to be suppressed.
6. The corresponding instance UUIDs for the bibliographic MARC bibs will be used when implementing a Perl or Python script utilizing the Folio API to suppress the instance, if there are no other holdings attached with circulating material. The instance will not be suppressed if there is a valid holdings attached with circulating material.

7. Spot check a few records in Blacklight to see if modifications have taken affect.
8. Develop and run query in Dbeaver to verify bibliographic records of last CUL copy are suppressed and that all withdrawn holdings are suppressed and the items deleted.

Note: As of the writing, (05/16/2022), all scripts necessary to perform the aforementioned tasks in the Folio API are currently in development.

• C. Transfers

I. Initial Conditions

If the transfer involves a title for "**rmc,anx**" or one of the "ranx" sublocations, follow the **Rare Annex (12a)** instructions below.

If the transfer involves superseded editions or volumes, see also [Special Instructions](#) below.

If the title is a serial, check for and report an open purchase order.

If the title bears a "Pamphlet" call number, send it to the Library Annex.

Process the physical piece(s) as follows (except for Rare Annex material)

II. Single Part Item and Complete Multipart Item Transfers

1. Display the **Instance Record** and enter an **Administrative note for Postcataloging maintenance („mc)**
2. Display the **Holdings** record that matches the old location and copy number of the title and edition in hand.
3. Verify that the record is NOT suppressed from public view. If it is suppressed, **uncheck** the **Suppress from Discovery** box.
4. Change the **Permanent Location** field to the new location.
5. If needed, add a **copy number** in the Holdings record and Item records.
6. Check the [Oversize Chart](#) for prefixes and/or suffixes appropriate for the new location.
7. In the **Holdings Record**, add a note (Note type: Note) showing which collection the piece originally came from, and when it was transferred. Make sure the "Staff only" box is checked:

Note type *	Note *
Note	transfer from uris,ref 3/29/10

Exception: Transfers to Annex do NOT require a transfer note

7. Search the database to verify that the old call number is NOT already in use for the new location. If it is, add publication date and work letter to the call number **in the Holdings and on the piece in hand** or work letter only if call number already contains a date.

Make sure to re-mark and re-label the piece if you make these modifications.

8. **Save and close** the Holdings record.

III. Partial Multipart Item Transfers

1. Display the holdings record that matches the old location and copy number of the title and edition in hand.
2. Delete the volumes and/or numbers to be transferred from the **Holdings statements**, INCLUDING supplements and indexes.
3. Display the holdings record that matches the new location and copy number. If there is no holdings record for the new location, skip to "8" below.
4. Verify that the destination Holdings record is not suppressed from the OPAC. If it is, **uncheck the Suppress from Discovery** box.
5. Add the appropriate **"Transfer From"** note to the **Holdings Notes** (Note type: Note), as in the above example.
6. Add the volumes and/or numbers to be transferred to the appropriate **Holdings Statements** of the destination Holdings record.
7. **Save** the Holdings record.
8. If there is no holdings record for the new location and copy number (including ANX locations, if you are transferring items to the Annex), **create and edit one**. Be sure to:
 - Check the [Oversize Chart](#) for **prefixes and/or suffixes** appropriate for the new location.
 - Search FOLIO to verify that the old call number is not already in use for the new location. **If it is already in use, add a w suffix to the last cutter in the call number.**
 - Add an appropriate **transfer note** to the **Holdings note**, as in the above example.
 - Include appropriate **Holdings statements** for volumes, supplements and indexes.

IV. Item Records

1. Single Part Item and Complete Multipart Item Transfers

- a. Display item record.
- b. Change **Permanent Location** field to match location in the holdings record.
- c. Edit the **Permanent Loan Type**, if appropriate -- for example: when transferring a title to or from a "Non-Circulating" reference collection. If you are transferring a title to a ([Rare Annex #12a](#)) location (e.g. "rmc,anx"), set the Item Type to "Non-Circulating". (**NOTE:** These are the only Annex locations for which the Item Type should be set to "Non-Circulating")
- e. **Delete** any leftover Item Notes that may not be relevant after the transfer.
- f. **Save** the Item record

- g. Repeat for each item record associated with the transfer.

2. Partial Multipart Item Transfers

- a. [Relink](#) the item records for the pieces in hand from the old holdings record to the new holdings record.
- b. Display each item record.
- c. Change **Permanent Location** to match location in the Holdings record.
- d. Edit the **Permanent Loan Type**, if appropriate -- for example: when transferring a title to or from a "Non-Circulating" reference collection. If you are transferring a title to a ([Rare Annex #12a](#)) location (e.g. "rmc,anx"), set the Item Type to "Non-Circulating". (**NOTE:** These are the only Annex locations for which the Item Type should be set to "Non-Circulating")

V. Final Steps

1. Re-display the Instance record. If it is suppressed, uncheck the **suppress from Discovery** box.
 2. If you unsuppress the bib record, add an additional 948 to indicate a fast shelf statistic (.,s). **Note:** If a new BIB record is created, add additional 948 statistics fields for inputting (.,i) and fast-cataloging (.,f) to insure that the record is exported to OCLC as a newly cataloged record.
 3. Save the record to the database.
 4. Line out all previous location stamps -- (see exception below).
 5. Edit pencilled locations and call numbers -- (see exception below).
 6. For serials, if you know that the new location is picking up an open subscription from the old location, write "Ongoing, currently received" on the location flyer. In addition, for unbound issues not barcoded separately, give recent issues (as displayed in the OPAC) to LTS Serials or Documents for further processing.
If the transfers are [computer disks](#), [sound recordings](#), or [video recordings](#), do additional processing if required for the new location.
Exception: for unbound serials not barcoded separately, edit only the first and last issue in each bundle.
Insert a location flyer and place completed transfers on the [appropriate shelf \(#12a\)](#).
- Examples of Holdings notes for transferred:
 - Transfer from Uris, 3/13/03
 - Vols. 1-8 transferred from Uris, 3/13/03

• D. Reinstatements

1. Search FOLIO for the piece. If no Instance record is available in FOLIO or OCLC, forward item(s) to the LTS Inputting or DBQ supervisor to be processed as new (Instance Statistical Code: **Source of Acquisition: miscellaneous**)
2. If there is an Instance record in FOLIO, verify that the record matches book.
3. Check for and report an **open purchase order** associated with the item, if applicable.
 - a. If you find an open PO associated with the piece, see **Special Instructions** below.
4. If the piece in-hand was the only piece cataloged in FOLIO, the Instance record will likely be Suppressed.
 - a. **Un-check the "Suppress from Discovery" box in the Instance record.**
 - b. Set the **Catalog Date** to the CURRENT date.


Administrative data


 Record last updated: 6/19/2021 4:20 AM


☐ **Suppress from discovery**

Instance HRID

9276313

Cataloged date


 [Current Date]

- c. **Save and Close** the Instance record.

- Display **Holdings** record.
- If the Holdings record is suppressed, make sure to **un-check the Suppress From Discovery box** so that it displays in the public catalog.
- In the **Holdings Notes** section, remove the "WITHDRAWN [date/initials]" note, if present.
- Add "REINSTATED [date]" to the **Holdings Notes** field (Note type: Note) :

Note type	Note	Staff only
Note	Withdrawn 5/14/2004	☒
Note	Reinstated 9/16/2021	☒

- ****Make sure the call number on the label matches the call number written in the book, and that BOTH of them match the Holdings call number:** Reinstatements are most often the result of there being a mis-match in the call number, resulting in the item having been "withdrawn /lost" because it was misplaced in the stacks.

Save the Holdings record.

Display item record[s]. If no item record is found, create item record[s] and barcode book[s].

Re-display the bibliographic record. Add a 948 local statistics ([Procedure #136](#)) field to the record using the value "s" for the type of transaction.

- If there are multiple holdings records for the title:
 - Display holdings record that matches book in hand.
 - Remove |x WITHDRAWN [date] and [initials] from the 852 field following the call number.
 - Add |x REINSTATED [date] to the 852 field following the call number.
 - If necessary, [add 8XX fields](#).
 - Select system tab.
 - Uncheck the Suppress from OPAC box. Record should display in the OPAC.
 - Click on **Leader**. Change the record status value to 'c'.
 - Save the record.
 - Display item record[s]. If no item record is found, create record[s] and barcode book[s].
 - Re-display the bibliographic record. Add a 948 local statistics field to the record using the value "s" for the type of transaction.
- 1. Process the physical pieces as follows:
 1. Cross out all "withdrawn" stamps.
 2. Edit penciled locations and call numbers, if needed.
Insert a location flyer and place completed transfers on the appropriate shelf.

- **E. Medium Rare Annex**
- See Instructions for [Rare Annex Transfers Processing \(LTS Procedure #12a\)](#)
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• **F. Additional Steps: Special Cases**

- 1. Lost and missing titles:
- If you delete the sublocation "anx", edit the Permanent Location on the item record(s) to match the Holdings Permanent ~~Location~~.
- 2. Open purchase orders: when withdrawing or transferring serials, and for all reinstatements, check to see if there is an open purchase order for the title:
 - a. With the Acquisitions Client open in the background, type [control] m to bring up a line item screen. If multiple line items are attached, select the appropriate location from the Line Item Summary, then click on Details to bring up the appropriate line item screen.
 - b. With the appropriate line item screen displayed, click on the Order tab, then click on the ellipsis in the Order Number field.
 - c. Verify that the Location is correct.
 - d. Check the title bar at the top of the screen. If it states that the purchase order is complete or canceled, do nothing. If it states that the purchase order is approved/sent or pending, send an e-mail notification to Supervisor of either Monographic or Serials processing as appropriate. In the e-mail, give the following information:
 - Action (withdrawal or transfer)
 - Brief serial title
 - BIB ID
 - Purchase Order Number
- 3. [Rare Annex Transfers \(Procedure #12a\)](#)
- 4. [Selection Policy for Shelf Space Adjustment](#). --additional guidelines:
 - a. Retain a unique print copy of an item if the only other manifestations in CUL are microform, CD-ROM, or networked resource. Do not retain a unique microform if the title is available in print.
 - b. When filling in serial "back volumes missing in other units," retain volumes (numbers, issues, etc.) that are unique to CUL but do not retain additional copies, even if there is more than one incomplete serial run in CUL.
- 5. Shelves for completed transfers and reinstatements:
 - a. For Rare Annex transfers, see [Special Instructions \(Procedure #12a\)](#) otherwise:
 - b. Deliver all unbound serials that are not separately barcoded to Collection Management--Serials, otherwise
 - c. Place items on the appropriate Physical Processing truck at the east end of Room 110, if remarking is required (e.g. location or call number on spine are incorrect).
 - d. If remarking is not required, place items for Olin, Kroch, or Uris on the "return to stacks" shelf in Room 107E or 110. Place items for other libraries on the outgoing mail shelves in Room 110.
- 6. Superseded editions or volumes: add appropriate notes to holdings records to indicate the treatment of these "ongoing" transfers. For example:
 - 852 ... \$z Latest ed. only.
 - 852 ... \$z Latest ed. in Reference.
- 7. State-supported library:
 - If any CUL state-supported library is withdrawing material, the following procedure will apply:
 - a. The withdrawing library will:
 - Create a list of material for withdrawal.
 - Post list to SUNY listserv SUNYLA-L@LISTSERV.BINGHAMTON.EDU offering material for quick disposal to other SUNY libraries.
 - Specify last date responses will be accepted.

- Take responses and tag material for shipping to designated libraries using UPS call tag.
 - Obtain shipping and delivery information from requesting library. Shipping costs will be borne by the requesting library.
 - Send materials to LTS Database Quality staff for withdrawal, along with shipping information as appropriate.
- b. Technical Services staff will:
 - Receive material for withdrawal (DBQ).
 - Update records in voyager for withdrawn titles (DBQ).
 - Ship requested material to designated library (G&E).
 - Discard remaining volumes in accordance with CUL's general withdrawal policies (DBQ).
 - Work with library accounting to collect shipping fees, if necessary (N/A with UPS call tag).
- 8. Withdrawal requests from publishers:
 - a. When selectors inform LTS that the Library has received a request from a publisher to withdraw a particular title (usually because of controversial or erroneous content), *but that request has been refused*, add the following note to the appropriate Voyager BIB record:
 - 500 ## \$aPublisher withdrew this title from publication in light of controversy about its content.
 - b. For more information about these situations, see [Collection Development's Policy on Returning or Destroying Materials on Request](#).
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