

NEOS Policy on Sharing Materials within NEOS

May 2011

NEOS is a library consortium that supports members' clients in a cost-effective manner through the sharing of people, technology, and collections.

Membership in NEOS requires that NEOS Member Libraries provide reciprocal access to their collections. The intent of this policy is to clarify the sharing of material.

Definitions

Circulation hold function: ILS process that enables requests to be made by and on behalf of primary clients.

Client types:

Primary Client:

- 1 For an academic institution, a Primary Client is a current student, faculty or staff member at that institution.
 - 1.1 Under the following conditions, NEOS accepts high school students as Primary Clients: the high school collection is integrated in the ILS, there is a formal affiliation with a current NEOS Member, and the current NEOS Member is willing to take responsibility for missing, damaged or overdue material.
- 2 For a special library, a Primary Client is a current staff member (salaried, wage, contract or seconded) or student (placement, rotation or co-op) at that institution.
 - 2.1 For the Alberta Government Library, this includes Alberta Government employees in ministries served by the Alberta Government Library..
 - 2.2 For Alberta Health Services and Justice Canada, this includes only Primary Clients at the sites named in the NEOS Memorandum of Understanding.
- 3 Exceptions: Local exceptions may be made at the discretion of the Director.

Secondary client is a Primary Client borrowing materials from NEOS Member Libraries other than their home library.

External Client is an individual not directly affiliated with any NEOS organization. This includes The Alberta Library (TAL) clients for those libraries that participate in the TAL Card program.

Document delivery:

- library-to-library transfer of non-returnables (e.g. journal articles) and returnables not applicable to the circulation hold function (e.g. microfilm/microfiche)
- includes physical or electronic transfer of materials from library to library.

Interlibrary Loan: (ILL) library-to-library transaction outside of NEOS.

NEOS Connect: the physical delivery distribution service, centred at the Book and Record Depository (BARD), University of Alberta that links all delivery services used by NEOS Member Libraries.

Non-returnables: items that do not need to be returned to the owning library.

Returnables: items that are to be returned to the owning library.

Turnaround time: three working days from the receipt of the request at the owning library to its dispatch to the requesting library.

Sharing Materials using the ILS

1 Client File

- 1.1 NEOS Member Libraries share a common Client File when registering clients in the NEOS system.
- 1.2 Client cards with machine readable client bar code labels which include a check digit, as approved by the University of Alberta, ITS, are used for registered clients.
- 1.3 Confidentiality of Client Records

NEOS Member Libraries hold circulation and client information contained in the NEOS Client File in confidence. Staff do not release to any third party:

- any information on the specific titles or subjects of those titles an identifiable client has borrowed
- link a client name or address, or other revealing identification with an item out on loan
- any information, including names and addresses, on any other NEOS Member Libraries' clients.

This includes not providing such information to any clients, library users, officials of the agency the library serves, police, credit or collection agencies. This policy covers all current and historical circulation records and any interlibrary loan transactions.

The following exceptions may be made by a NEOS Member Library regarding only its own materials, and only in the following circumstances:

- with the client's consent
- judicial order or search warrant
- the client has ignored a recall request from the NEOS Member Library and/or the client has violated the terms of the lending policies. In these instances, the NEOS Member Library may release the name of the client to an official of the library in which the client is registered and only if that library has made reasonable attempts to contact the clients for the specific title(s) in question. Information is to be given only for the specific title(s) in question.
- misconduct, as defined in the relevant regulations of member institutions.

2. Clients

2.1 General Privileges

2.1.1 Where materials circulate, NEOS Member Libraries agree to honour all cards issued to Primary Clients.

2.1.2 For materials that can be borrowed, a standard two-week loan period with two renewals is allowed.

2.1.3 For Distance Clients the home library may override the loan period from two weeks (14 days) to three weeks (21 days) without seeking permission from the lending library.

Delivery method: the home library must deliver the material to the client's home or regional office via commercial courier or other internal courier service.

Government or other internal courier may be used providing that delivery to and from the Distance Client can be completed within seven days.

2.1.4 NEOS Member Libraries must recall material with loan periods longer than two weeks for other NEOS clients. Recall notices are emailed to the primary address of the client's record. Libraries that receive notices to a generic library email address may forward recalls via paper notice or other means. The client then has seven days to return the material.

2.1.5 Clients may return materials to any NEOS Member Library, unless directed otherwise by the lending library. When items are returned to a library other than the lending library, that library is obligated to promptly discharge the items and forward as per system instructions. If it is not possible to discharge items, libraries should securely attach a flag to the item indicating the date of return.

2.2 Primary and Secondary Client Privileges

2.2.1 NEOS Member Libraries are responsible for registering their own Primary Clients in the client database.

2.2.2 Client cards issued by NEOS Member Libraries must have the NEOS logo, a statement of liability, the signature of the client and a statement that the cards are not transferable. Where a library cannot use such a statement on a card, other means may be used to ensure that clients accept their responsibilities.

I accept responsibility for all fines incurred and for lost or damaged materials borrowed on this card.

Signature:

2.2.3 In some cases, multiple library cards are unavoidable. If a client has primary borrowing privileges at more than one NEOS Member Library, they are registered and receive a client card from each library where they are Primary Client. The client is responsible for using the correct card in each library and understanding the privileges and responsibilities associated with the card used.

- 2.2.4 Loan periods and renewal limits for Primary Clients are set by their home library.
- 2.2.5 A Primary Client borrowing directly from a library other than their home library is a Secondary Client in that library. The borrowing privileges of Secondary Clients are determined by NEOS policy. Secondary Clients have a two-week loan with two renewals.
- 2.2.6 Limits on the amount of material borrowed are not set in the system, but individual NEOS Member Libraries wishing to limit the amount of materials borrowed may do so verbally when the material is borrowed.

2.3 External Client Privileges

- 2.3.1 External Clients are eligible to borrow from the NEOS Member Library in which they are registered. At their discretion, other NEOS Member Libraries may grant borrowing privileges to registered External Clients. External Borrowers can only place holds on items from the library where they are registered.
- 2.3.2 The criteria used by any NEOS Member Library to screen and register External Clients are those guidelines currently in use in that library.
- 2.3.3 All External Clients cards have a borrowing limit of ten items.
- 2.3.4 It is preferable that NEOS Member Libraries use yellow card stock for External Client cards, but in no case may yellow card stock be used for Primary Client cards.
- 2.3.5 Cards issued to External Clients must have an expiry date that does not exceed one year.
- 2.3.6 Cards issued to External Clients must clearly identify the issuing NEOS Member Library. This card has a statement of liability, the signature of the client and a statement that the cards are not transferable.

I accept responsibility for all fines incurred and for lost or damaged materials borrowed on this card.

Signature:

3 Thresholds

- 3.1 Thresholds are limits set by each NEOS Member Library in their circulation policy file. When a threshold is reached by a client, the system creates an ALERT on the client record. Clients with the status of OK have full library privileges as defined in their User Profile policy.
- 3.2 **DELINQUENT** clients may still check out items and have all of the other privileges of a client with a status of OK. This status is informational and displays when clients have unpaid or overdue items.

BLOCKED clients may checkout items after an override has been entered. Clients are **BLOCKED** when their unpaid bill or accruing fines reach a certain amount, or they have an overdue recall.

It is recommended that all NEOS Member Libraries set a Blocked threshold of \$50.00 for all clients except ILL and Library Use User profiles. ILL User profiles are those which a library may use to sign out interlibrary loan materials. Library Use User Profiles are those assigned to divisions within a library, e.g. Cataloguing, which may sign out materials for processing or for other purposes.

BARRED clients cannot check out items. A client cannot be automatically barred or unbarred. This status is set or removed manually in the Privilege tab of a user record and requires an override.

- 3.3 NEOS Member Libraries agree to appropriately advise their Primary Clients who have an ALERT on their record.
- 3.4 In general, NEOS Member Libraries do not lend to **BLOCKED or BARRED** clients. Exceptions may be made by libraries when lending their own material to Primary Clients.

4 Bills

- 4.1 Bills include all charges added to a client's account. Some types of bills are determined by NEOS policy (e.g. overdue, lost), while others are added manually. (e.g. copying)
- 4.2 Each NEOS Member Library sets the fine structure for its own clients and its own materials. NEOS Member Libraries do not have to charge fines, but agree to encourage all clients, including their Primary Clients, to pay their fines as they are accrued.
- 4.3 All Secondary and External Clients have a fine structure of \$1.00/day and a fine limit of \$31.00 per item.
- 4.4 All clients are responsible for materials borrowed on their cards, including the payment of fines and reimbursement for lost materials. In the case of lost items or fines, there is no financial obligation on the part of the library that registered the client except in the case of high school students when defined as Primary Clients.

4.5 Bill Payments

- 4.5.1 Replacement costs and processing fees for lost or damaged books must be paid at the owning library.
- 4.5.2 Any other bills may be paid at any NEOS Member Library that can accept bill payments.
- 4.5.3 Bill payments remain with the library that collected the payments.
- 4.5.4 Bill appeals must be made at the owning library before the bill is paid.

4.5.5 A NEOS Member Library may Forgive bills linked to its own material, but must not forgive bills linked to material owned by any other NEOS Member Library.

4.5.6 A NEOS Member Library may Cancel bills linked to materials owned by another NEOS Member Library if those bills are due to library error.

4.6 **Bill Notices**

Bill notices are emailed to the email address from the primary address of the client's record. Libraries that receive Bill Notices to a generic library email are responsible for forwarding the Bill Notice to the client.

5. **Hold Function**

5.1 Primary and Secondary Clients may place holds on materials held at any NEOS Member Library.

5.2 External Clients can only place holds on items from the library where they are registered.

5.3 Both staff mediated and PAC hold functions are provided throughout NEOS. Items that should not be used to fill holds across systems must have an item type of 'local_loan' or 'no_loan' according to local policy. Staff should not use override to place holds on local_loan or no_loan materials from other NEOS Member Libraries. Rush Recall must not be used.

5.4 When placing holds, an expiry date must be chosen, the range must not be changed, and selecting "make first in hold queue" should be used sparingly if at all except when processing holds for the reserve rooms.

5.5 Primary, Secondary and External Clients can choose any NEOS Member Library, except non-shared system libraries as a pickup location.

5.6 Materials can be returned to any NEOS Member Library.

5.7 The system does not fill requests placed on Reserve Room items.

5.8 NEOS Member Libraries will only place their own materials on Reserve. In unusual circumstances, a library may grant permission to place its materials on Reserve at another member library.

5.9 The Onshelf Hold Items list and the Clean Hold Shelf list must be processed daily.

5.10 The Transit function must be used when moving items between NEOS Member Libraries.

5.11 Transited items must be charged out to the client and discharged upon return.

5.12 Items in transit should be monitored and processed regularly.

- 5.13 On-site clients are given priority to check out an item before it has been pulled to fill a hold.

Sharing Materials using the Document Delivery Process

In order to support the orderly transfer of material external to the Circulation Hold Function of the ILS, each NEOS Member Library:

- provides this service to Primary Clients only
- respects each NEOS Member Library's copyright restrictions and licensing agreements that exist outside of NEOS
- processes requests within three working days
- advises the NEOS Manager of their method of delivery to *NEOS Connect*
- maintains a minimum of three times weekly connection to *NEOS Connect*
- does not charge document delivery fees to other NEOS Member Libraries