NEOS Policy on Sharing Materials within NEOS

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

Client file: shared user database including client information and borrowing information.

Client types:

Primary Client:

1. For an academic institution, a Primary Client is a current student, faculty or staff member at that institution. Some institutions include retired or emeritus faculty and staff in this client type.

   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 employees in the departments and select agencies, boards and commissions of the Government of Alberta.

   2.2 For Alberta Health Services and Covenant Health, this includes staff, authorized affiliates and privileged physicians (active and probationary appointments) of Alberta Health Services and Covenant Health.

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.

Holds: ILS process that enables requests to be made by and on behalf of clients.

Integrated Library System (ILS): an automated system for libraries, combining modules for cataloguing, acquisitions, circulation, clients, reserve, and other library functions.

NEOS Connect: the physical delivery distribution service, centred at the Research and Collections Resource Facility (RCRF), University of Alberta, that links all delivery services used by NEOS Member Libraries.

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
- a client name or address, or other revealing identification related to 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.

Client files should only be accessed for work-related purposes

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 Distance Clients the home library may override the loan period from two weeks (14 days) to four weeks (28 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, internal courier, government courier or Canada Post providing that delivery to and from the Distance Client can be completed within seven days.

2.1.3   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.

2.1.4   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   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.

2.2.3   Loan periods and renewal limits for Primary Clients are set by their home library.

2.2.4   A Primary Client borrowing directly from a NEOS 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 three-week loan with four renewals for item type BOOK and variable loan periods with four renewals for other item types. Libraries may choose to add other item types to the three week loan rule. When an item has reached its renewal limit staff may discharge it and check it out again as long as there are no holds. The item has to be physically present. With a three week loan period, recalls are possible and accounts are blocked when recalled items are overdue.

2.3   **External Clients**

2.3.1   NEOS Member Libraries agree to grant borrowing privileges to registered External Clients of other NEOS libraries. External Clients have a two week loan period with four renewals and a borrowing limit of 30 items. Other services to External Clients are at the discretion of each NEOS library.

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   There is one profile across NEOS for External Clients, and a client setting up a profile at one NEOS library is able to borrow and place holds at any NEOS library. Libraries may use the client's home library card and barcode to register the client as an External Client, as long as there is no conflict with the barcode number.

2.3.4   The expiry date for External client privileges should normally be no later than one year from the registration date. In the case of cards where the holder has a special relationship with the library (e.g. alumni, Emeriti or retired staff, or board members) the expiry date can be up to 5 years from the registration date.

2.4   **The Alberta Library Card (TAL Card)**

TAL Card holders are External Clients, and not all NEOS libraries participate in the TAL Card program; however, NEOS libraries have agreed upon common privileges and procedures for TAL Card holders.

2.4.1   TAL Card holders have the same privileges as External Clients.

2.4.2   There is one profile across NEOS for TAL Card holders, and a client setting up a TAL Card profile at one NEOS library that participates in the TAL Card program is able to borrow from all other participating libraries. TAL Card holders may place holds on items from any participating library.

2.4.3   NEOS libraries will issue a TAL Card to the primary client of another TAL Card participating library. The NEOS library may verify with the client's home library that the client is in good standing, but is not required to do so.

2.4.4   The expiry date for a TAL Cards is the expiry date of the client's home library card, or one year from the registration date, whichever is earlier.

2.4.5.   Some NEOS libraries are not TAL members and do not participate in the TAL Card program. Those libraries are not obliged to lend items to TAL Card clients, although they may do so voluntarily if they wish. These libraries may issue an External card to the client. TAL Card clients may choose non-TAL member libraries as a pickup location. Items may also be dropped off at non-TAL Card participating libraries.

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.

Clients are **BLOCKED** when their unpaid bill or accruing fees reach a certain amount, or they have an overdue recall. **BLOCKED** clients may check out items from their home library after an override has been entered.

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. External and TAL Card clients have an overdue threshold of one item and a bill threshold of $50.00.

Staff can manually suspend library privileges by changing a client status to **BARRED.** The **BARRED** status is used for a variety of reasons, including abuse of privilege. A note should be added to the client's record with the reason and date, and the library where the note was created.

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 and in the case of **BLOCKED** TAL Card clients where appropriate.

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 fee structure for its own clients and its own materials. NEOS Member Libraries do not have to charge overdue fees, but agree to encourage all clients, including their Primary Clients, to pay their overdue fees as they are accrued.

4.3   Secondary Clients are not charged regular overdue fees; however fees may be charged for some items, such as recalled items, Reserve items and equipment. Fees are charged for **LOST** items.

4.4   External Clients, including TAL Clients, have an overdue fee structure of $1.00/day and an overdue fee limit of $31.00 per item.

4.4   Libraries may charge a maximum overdue fee of $50 for Reserve items or equipment.

4.5   All clients are responsible for materials borrowed on their cards, including the payment of fees and reimbursement for lost materials. In the case of lost items or overdue fees, 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.

4.6   **Bill Payments**

4.6.1   Replacement costs and processing fees for lost or damaged items should be paid at the owning library. If lost or damaged items are paid for online or in person at another library, the funds may be reimbursed annually. If libraries wish to be

reimbursed for their lost items paid for elsewhere, they may check BLUECloud Analytics and invoice the library where the lost items were paid for.

4.6.2   Any other bills may be paid at any NEOS Member Library that can accept bill payments.

4.6.3   Bill payments remain with the library that collected the payments.

4.6.4   Bill appeals must be made at the owning library before the bill is paid.

4.6.5   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.

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

4.7   **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, Secondary and External Clients may place holds on materials held at any NEOS Member Library. TAL Card clients may place holds on materials at participating TAL member libraries.

5.2   Clients place holds themselves via the online catalogue or with staff assistance. Staff can place holds through the circulation function of the ILS.

5.2   Items with an item type of "LOCAL_LOAN" are restricted to holds placed by Primary Clients of the owning library. Items with an item type of "NO_LOAN" are not available to fill holds. Staff should not use override to place holds on "LOCAL_LOAN" or "NO_LOAN" materials from other NEOS Member Libraries.

5.3   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, External and TAL Clients can choose any NEOS Member Library 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   The List Onshelf Items report and the Clean Hold Shelf report must be processed daily.

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

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

5.11   Items in transit should be monitored and processed regularly according to the established schedule.

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

6   Other Libraries' Materials

6.1   NEOS Member Libraries will only make exceptions to policy with their own materials. Permission to make exceptions may be granted by the owning library.

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

6.3   Libraries will not mark another library's item "claims returned." The client should be referred to the library that owns the item.

6.4   Appeals of overdue fees and similar account problems will be referred in the first instance to the library that owns the item. When a client has items from multiple libraries, the libraries may consult on the overall decision.

7.   Temporary Closures

7.1   When a library closure exceeds 5 consecutive business days, access to the collection must be maintained via the Hold function. The library will not be marked closed in the Integrated Library System and a hold block will not be added; however the library should be shadowed as a pickup location. Provision must be made for the On Shelf Holds report to be checked as usual and items pulled from the shelves in the closed library and shipped out. Libraries should also be prepared for unusual situations where the Hold function is insufficient, for example if a client needs immediate on site access. It is recognized that it may not be possible to provide in-person access in all cases, and that in the case of events such as flooding or renovation, access to collections is not possible. Notification of closures exceeding 5 business days must be made to the Access Services and NEOS-L lists. Exceptions may be made for libraries with one staff member.

Appendix A - Special Circumstances

Special circumstances may occur that influence the way NEOS libraries deal with lost or damaged items or overdue charges including:

- Death of a client
- Medical emergencies
- Theft of property
- Fire

- Water/weather damage
- If the equipment or textbook or other expensive items are part of the Reserve collection

The following guidelines may be used:

- The owning library may discharge their own items, change the status of item(s) to **MISSING** or **LOST**, and may cancel or forgive overdue fees and bills associated with replacement charges.

- Libraries may contact other NEOS libraries to coordinate action if the client has borrowed items from other NEOS libraries. Some libraries may require that the client provide documentation of claims (e.g. police report, doctor's note, etc.) as needed.

- If equipment or textbooks or other expensive items are part of the Reserve collection, then the maximum overdue fee is set by the Reserve circulation rules.

Appendix B
Reports and Schedules

Circulation Reports –Symphony Workflows

Daily/weekly Reports:

Symphony Report Name	Scheduled Date & Time
Notices - HeadsupALL	Daily / 0048
Notices - HeadsupRC	Daily / 0050
Notices - HeadsupALLdayof	Daily / 0051
Notices - HeadsupRCdayof	Daily / 0052
Notices – 1st Overdue	Daily / 0105
Notices – 1st OverdueRC	Daily / 0106

Notices – 2nd Overdue	Daily / 0107
Notices – 2nd OverdueRC	Daily / 0108
Notices – assumedlostALL	Daily / 0116
Notices – assumedlostRC	Daily / 0117
Load Users (Load User Libraries include Concordia, Burman, GPRC, Keyano, Kings, LKLND, MacEwan, NLC, NorQuest, Olds, RDC, UA	Monday - Friday/ 0053-0536
Clean Holds Shelf new	Daily / 0115
Report of Cash Receipts	Daily / 0710
Pull List of Bookings AGL_CAP	Monday - Friday/0715
Notices – PINs Concordia, MacEwan, NorQuest, NLC, Olds and RDC	Daily / 0750-0810
List Users – NEOS-TAL/NEOS-EXTRN for corrections	Daily / 0816 & 0818
ListHoldsRSV	Weekly, Thurs / 0901
List Transits 10+ by Lib	Weekly; Wed / 1105
RCRFpicklist	2x daily, Monday – Friday / 0118 & 1230
Notices – pickup reminder	Daily / 0855
Missing Items/Holds by Library	Daily / 0900
Notices – pickup 1st notice	3x daily / 1228, 1600, 2215
Holds by p/u library	Weekly; Tuesday / 1530
Notices – cancelled holds	Daily / 1715
List Onshelf Items -ootb	Daily / 2240

Notices – RecallALL	Daily / 2301

Monthly Reports:

Symphony Report Name	Scheduled Date & Time
List Charges-ClmsRtMonthly	3rd / 1045
Bill Totals Monthly by Library	10th / 1130
Missing Items Monthly by Library	15th / 1005
Notices – allbillsALL	3rd Sunday/ 0910

Yearly Reports:

Symphony Report Name	Scheduled Date & Time
Notices - Instructor reserve	March and December
Two year Missing: Missing Items Yearly_May Missing Items Yearly_Oct Set LostASSUM/CLAIM to DSCRD & CVT DISCARD Items	May 7 / 1445 Oct 8 / 1445 Mid-March
YE Aged Fines	4th or 5th day after end of fiscal year / 1100
List Charges-ClmsRt	June 8 / 1445
Maintenance Reports: Remove User-expired Purge Inactive Holds Remove Paid Bills Remove Paid Bills	Mid-December

Appendix C
Definitions of Statuses

- **MISSING** items have been charged out to the Missing user via the Mark Item Missing wizard. If the item had initially been charged to another user, the item is automatically discharged before it is checked out to the Missing user. Missing items are shadowed in the public catalogue.

- **LOST-ASSUM** means that the items have been automatically marked Lost after a specified period of time (in our case, after 31 days overdue). These items remain in a user's checkouts folder. Items that are assumed Lost may eventually be returned to the library. Lost book charges of $150.00 are applied automatically when an item is set to LOST-ASSUM. For item types AV-EQUIP and EQUIPMENT, libraries may enter a price in the item record that will appear as the lost item price. Libraries may also adjust the default price when charging the client for any lost item to an amount higher or lower than $150.00.

- **LOST-CLAIM** means that a staff member has manually marked an item Lost with the Mark Item Lost wizard. This normally happens for items that have been reported Lost by users. These items remain in a user's checkouts folder. Lost book charges of $150.00 or another amount must be applied manually when an item is set to LOST-CLAIM.

- **LOST-PAID** means that the user has paid the lost item charge. The item no longer remains checked out to the user.

- **Claims Returned** An item marked claims returned remains in a user's checkouts folder until the item has been discharged. These items also continue to appear in the public catalogue. Since claims returned items are not removed from the catalogue during the annual two year missing process or automatically changed to lost items, staff should have a manual process for dealing with these (i.e. either manually marking them MISSING or LOST depending on the situation).
Staff can track their own claims returned items by checking the regularly scheduled claims returned reports. A *List Charges -ClmsRt Monthly* report runs on the 3rd of every month at 1045. This report lists items marked Claimed Returned the previous month. An annual *List Charges - ClmsRt* report runs yearly on June 8th at 1445 as a cumulative report for items marked claims returned prior to Dec 31 of the previous year. The results in both reports are divided by library.