



SWAN Circulation Advisory
Wednesday, January 16th 2018
9:30 am – 12:00 pm
RAILS Main Meeting Room
125 Tower Drive, Burr Ridge, IL 60527

AGENDA

1. Introductions
 - a. Housekeeping (facilities)
2. Review of Notes, November 21st, 2018 [Exhibit A] **{action requested}**
3. SWAN Updates & Discussion
 - a. Azure Update
 - b. Enterprise Update
 - c. ILL_LIBS Pickup Library
 - d. Patron Purge [Exhibit B]
 - e. NCOA
 - i. Report that was requested for patrons that were in Collections; also have a change of address. [Exhibit C]
 - ii. Email Template [Exhibit D]
 - f. New Status for Returned Mail Requested
 - g. Consolidation of Overdue Notices
 - i. Last meeting it was asked for us to check or create a BCA report for users without email addresses- Done
 - ii. Send ideas on promotional material to obtain patron's email addresses.
 - h. Consolidation of Extended Fields
 - i. We will try this process again after the move to Azure. You will see the creation of ALT PHONE; feel free to use this as it is the phone field we will use in the future, once the fields are consolidated.
 - i. Custom Longoverdue Report Update [Exhibit E]
 - j. Green Hills [Exhibit F]
 - i. Go-Live January 29th
 - ii. Volunteers to be on site for their Go-Live Week
 - k. Finished Unusable and Damaged Procedure [Exhibit G]
 - l. Circulation Policy [Exhibit H] **{action requested}**
 - m. Hold Wrapper Information Best Practice [Exhibit I]

SWAN Circulation Advisory Notes
November 21, 2018

Committee members present: Sue Feddersen (BVD), Stephanie DeYoung (BLD), Cindy Maiello Gluecklich (MPS), Sandra Leyva (AMS), Julie Lombardo (WRS), Victoria Muraiti (RFS), Cheryl Pawlak (DGS), Peggy Tomzik (ESS), Thomas Webb (MTS)

Committee members absent: Debbie Sheehan (INS), Brittany Smith (WMS)

SWAN staff present: Crystal Vela, Samantha Dietel, Joseph Miller, Helen Pinder, Dave Pacin, Michael Szarmach, Dawne Tortorella

Visitors present: Juan Estrada (LSS), Roberta Richter (LPS), Mary Moss (EPS), Mary Malach (MED), Marla Cole-Wieringa (MTS), Jeri Cain (CSD), Carrie Jeffries (GED), Crissy Barnat (CWS), Marcy Biala (WMS), Bridget O'Halloran (STS)

18 SWAN Libraries represented.

1. Introductions

a. Housekeeping

Special Thank You and Goodbye to Roberta Richter

Roberta will be leaving LaGrange Park and SWAN to become Director of the Morris Public Library (member of the PrairieCat consortium) in early December. With mixed feelings we send her off wishing much success and happiness in her new adventures.

2. Announcement of New Members

The following new members were welcomed to the Circulation Advisory Group with terms starting at this November 21, 2018 meeting until November 2020.

Stephanie DeYoung, Batavia Public Library District (BLD)

Cheryl Pawlak, Downers Grove Public Library (DGS)

Brittany Smith, Westmont Public Library (WMS)

Thomas Webb, Matteson Area Public Library District (MTS)

3. Review of Notes, September 19th, 2018

Notes were reviewed and approved without modification from September 19, 2018.

4. SWAN Updates & Discussion

a. Circulation Policy was approved by the SWAN Board at their October meeting. The new policy is available from the SWAN Support Site.

b. NCOA

- From the meeting packet, Exhibit B, #2 has a modification. After receiving the test data load back from UMS, it was determined that they can provide an update indicator/flag which distinguishes a change of address versus a format change. Since an update indicator is available from the data, only those patron records which are modified due to a change in

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address will receive the NCOA note field in their record and have a status change of BADADDRESS.

- There was discussion on exclusion of reciprocal borrower patrons from the file sent to UMS for NCOA processing. Since SWAN libraries are not the library of record for these patrons, we need to rely on the home library maintaining patron address updates. For libraries who serve a large population of non-SWAN patrons, we will look at means to facilitate communication and update between those libraries and the other library. This is particularly important to ESS/CPL and OPS/CPL.
- The status of BADADDRESS was discussed for clarification. Patrons receiving this status will be able to place holds, but checkouts will be barred until the status is cleared at the library. IMPORTANT: When SWAN processes the NCOA changes, if a patron currently has a status of COLLECTION, that status should NOT be changed to BADADDRESS. Libraries will need a list of patrons with a status COLLECTION and an address change for review manually as these patrons are cleared from collection.

c. Custom Long Overdue Report

- Most libraries have completed their clean-up of patron records. While initial reports were lengthy, ongoing review and clean-up of patron record should not be problematic. This verification of patron profile, city, and library is critical for correct reimbursement of items in Quarterly billing.
- SWAN ran the Custom Long-overdue Report (CLR) on CHICAGO_P patrons on November 1.
- December 1 deadline has been communicated to all libraries who have not yet completed their patron clean-up. After December 1, SWAN will run the CLR to remove items from patron records.

d. Update on Consolidation of Overdue Notices

- Overdue notices were consolidated, effective October 2nd.
 - 1st Overdue Notice – 7 days after due date
 - 2nd Overdue Notice – 21 days after due date
 - Billing Notice – 42 days after due date
- This change from 14 days to 7 days for the 1st Overdue Notice has resulted in an increase in the number of print notices sent by UMS, resulting in 100% increase in printing costs from Sept to Oct. This change in notice consolidation has been overwhelmingly positive. Therefore, SWAN will work with Circulation Advisory in the new year to develop materials to support a Go Green campaign encouraging people to register their email addresses. SWAN will verify that we have BCA reports to help target those patrons without an email address.

e. Green Hills

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- Bibliographic data load has been completed and the patron data load is in progress. All policies have been loaded, so you may see policies associated with Green Hills in both Workflows and BCA.
- December 7th is a full in-service day of training for Green Hills staff. Joseph Miller requested a 20-minute presentation/introduction/discussion from Circulation Advisory to be part of the program. Peggy Tomzik (ESS) and Sandra Leyva (AMS) volunteered to represent the Group and welcome the staff of Green Hills. Joseph will coordinate directly with Peggy and Sandra.

5. Unique Collection Best Practices

Per the change of Overdue Notices, the timing of billing notices came into question at the September meeting. UMS provided their best practices recommendations for review. SWAN practice follows the recommended UMS submission timing.

6. Outreach Module

Crystal led initial meetings for libraries who had expressed interest in implementing the Outreach module. St. Charles staff have been instrumental in sparking interest and helping to guide common practice. The following libraries participated in discussion and development of best practice and configuration settings: SCD (using), CSD (considering), INS (considering), LPS (using), TPS (considering), WMS (using), WRS(using). Crystal has also met with FPS (considering). Libraries interested in Outreach can submit a support ticket. Crystal will visit the library for an initial consultation before implementing.

Thanks to the sub-committee (Dana Hintz (SCD), Lynda Spraner (SCD), Roberta Richter (LPS), Carmen Higgins (WMS), Julie Lombardo (WRS) for their work in developing standards for consistent use of Outreach throughout SWAN.

7. Consolidation of Extended Info Fields

The STAFF field was originally thought to be carried over from SWAN's III migration. However, this is a delivered field from SirsiDynix and recommended to remain. The field is used widespread and it will not be eliminated/consolidated as originally outlined in the project field mapping.

We have experienced a delay in processing these extended field and address changes due to scheduling of major projects (Green Hill data load, RedHat 7 upgrade) and volume of data that needs to be updated. SWAN will announce timeline and updates as we implement these changes.

8. Unusable and Damaged

The Group reviewed the Damaged & Unusable Items documentation. Some additional clarification and reordering of content was recommended. Cheryl Pawlak (DGS) and Sandra Leyva (AMS) volunteered to review the document changes prior to publication.

The document was well-received for its clarity and presentation of procedures.

9. Website Overview

SWAN staff provided a brief demonstration of the SWAN Support Site which will launch on Tuesday, December 11th. A SWANcom and news post will be sent on Tuesday, November 27th providing a beta link and feedback form for input.

SWAN staff thanked Circulation Advisory Group members who were interviewed and provided feedback in the site design and content organization, as well as everyone who participated in the feedback opportunities posted throughout the process.

10. Open Forum and Library Updates

- a. STS – Interviews for a new director will take place the week after Thanksgiving
- b. Helen clarified that libraries should be using the CPL online portal for CPL reciprocal borrowing verification.

Meeting was adjourned at 11:28

SWAN 2019 Patron Record Purge



Exhibit B

We received multiple tickets for the patron record purge and are currently processing the requests to remove bills. We are also in the process of testing the Last Activity Date field is updated when patrons are checking out e-materials. We will not purge any records with an expiration date of NEVER until we have confirmed this. We will continue to update you on this project as it progresses. You can view the [Annual Patron Record Purge](#) documentation on the SWAN Support Site to review what the project entails.

SWAN NCOA Project Report



Exhibit C

SWAN worked with Unique Management Services (UMS) for our National Change of Address (NCOA) Project. We provided a secure file of patron names and addresses to UMS who then ran it through the NCOA Database. UMS flagged any patron that had an updated address in the database and included the new address in the secure file. Once we received the file we began working with the data and performed the following actions for the 117,313 patrons that had been flagged:

- Updated the Addresses tab to the new address
- Changed the status to BADADDRESS (those records with a COLLECTION status did not have their status updated to preserve the collections process)
- Added a note "Verify Address due to NCOA – SWAN 2018" that included the old address

The file also identified patron records that had a second address line for an apartment number. The last action in this project included the consolidation of those street fields and the addition of ZIP+4 that had been provided by the USPS. These patron records did **not** have their statuses updated to BADADDRESS.

We have created reports in BCA that will give you information on patrons that were updated in the NCOA project. The first report we created is the [List Users with NCOA Note](#) that lists any patron record with the "Verify Address due to NCOA – SWAN 2018" note. The report also lists the current status of the patron, which will enable you to use it as a cleanup report for any patron record you may have updated at your library without removing the note.

Per Circulation Advisory's suggestion we have also created a [List Users with COLLECTION Status at time of NCOA 2018](#) BCA report. You can use the information in this report to manually update any patron that has since cleared their collection status but has not yet verified their new address.

You can find more information about the project, and the reports, on the [National Change Of Address \(NCOA\)](#) page of the SWAN Support Site.

SWAN NCOA Form Letter to Patrons



Exhibit D

Hello,

Recently the **(insert your library's name)** participated in SWAN's National Change of Address report, and we were notified that you have moved out of our service area.

While we are happy to continue to serve your library needs, you will need to get a new library card. Your new library would also like to show you the services they have to offer! Please contact the local library in the town where you have moved to get a new library card, and once you have done that, feel free to visit us anytime, as your new card will also be valid at **(insert your library's name.)** Your card will be honored at one of the many libraries that participate in the state wide reciprocal borrowing program.

If your address did not change, and you are still residing in **(insert town)**, please visit us at the **(insert library name)** and bring in the following documents **(insert your library's requirements)** to reinstate your **(insert library name)** library card.

SWAN Custom Longoverdue Report (CLR) Update



Exhibit E

The following tasks have been completed for this project:

- Patron cleanup
 - We created reports for libraries to make sure all patron records have the correct Library and User profiles. This is necessary to ensure the bills created by the CLR belong to the patrons' libraries
- CLR run for items due before July 1, 2016, checked out to CHICAGO_P patrons
 - These items had been reimbursed via previous Quarterly Billings
- CLR run for items due before April 8, 2017, with a location of RB_ILL
 - These items had been reimbursed via previous Quarterly Billings
- CLR run for all items due April 8 – December 30, 2017
 - The RB and ILL transactions are included in this month's Quarterly Billing

What is taking place on a regular basis:

- CLR running weekly on all transactions
 - We are currently using a due date range for the reports as not all libraries have completed the CLR process for local transactions
- Patron cleanup
 - Libraries receive the cleanup reports monthly

What still needs to be completed:

- Local transactions due before April 8, 2017
 - Some libraries have submitted tickets to complete this process for their local transactions – we are working with them on an individual basis

Green Hills Test Load Results



Exhibit F

- The following data was extracted from Green Hills Symphony and loaded into the SWAN test system:
- 68,958 items
- 31,151 users; 1883 were already RBs in SWAN and were overlaid
- 812 holds
- Photos and signatures did load and may appear on some of your user records even if you do not use them if that user was registered at GHS as a RB pre-migration.



Published on *SWAN Library Services* (<https://support.swanlibraries.net>)

Exhibit G

Damaged & Unusable Items

All damaged items are unusable, but not all unusable items are damaged. Many variables may be considered when determining whether an item is Unusable vs Damaged. The Item Library has final say over whether an item is damaged and requires reimbursement.

The following procedures cover what to do if an item is returned or received at your library where it is either unusable or damaged.

Two generic users are utilized to facilitate the handling of these items.

- UNUSABLE_RB_ILL user is a placeholder for the item until it returns to the home library and final disposition is determined. It gives items a shadowed location and is not considered by the Quarterly Billing reports.
- LOSS_RB_ILL user is a billable location; these items are debited to the Checkout Library. Items checked out to this user will be processed in Quarterly Billing and can be checked out to the item library's discard user following reimbursement.

Item Libraries should periodically review the checkouts to UNUSABLE_RB_ILL to be sure none of your items are stalled in the evaluation/communication process. Ideally, no items should remain on this user for longer than 4 weeks.

Definitions

Unusable means the item in its current state cannot be used. However, once an issue is resolved, it may circulate again (e.g. locked case, missing piece).

Damaged is a permanent condition, meaning the item can no longer circulate and should be discarded.

Procedures

Is the patron present?

If the patron is present and acknowledges the damage, and is willing to pay for the item (No matter what library the item belongs to), follow the instructions in Section A.2

Was the item returned in the book drop?

If the item was returned and the patron is not present use the following chart to determine which actions to take.

Is it your item?	Is it your patron?	Action
Yes	Yes	Section A.1
No	No	Section B
Yes	No	Section C
No	Yes	Section D

Section A:

A.1. Local Policy

A.2 Mark the Item LOST using the **Mark Item Lost wizard** and insert a Bill Note indicating the reported damage. Accept Payment. Physically remove the barcode and you can notify Item Library. The patron may keep the item. The Item Library can DISCARD the item after it appears in Quarterly Billing.

Section B:

Charge item out to UNUSABLE_RB_ILL. Send to item library's Circulation Managers attention with "Unusable _RB_ILL" clearly written on the route tag.

Section C:

Contact the Patron library to discuss damage and replacement fees, ask them to notify the patron.

1. If the Patron library wishes to review the item: Check the item out to UNUSABLE_RB_ILL. Send item to the library Circulation Manager's attention and record previous User ID in a note.
2. The Patron Library must charge the item out to LOSS_RB_ILL.
 1. If the patron library would like to bill their patron for the cost of the item. Create a DMGDRBILLX on the user record for the item price. If applicable, bill a second time for PROCESFEEX.

Section D:

Contact the Item library to discuss damage and replacement fees. Notify your patron.

1. If the Item library wishes to review the item: Check the item out to UNUSABLE_RB_ILL.
Send item to the library Circulation Manager's attention and record previous User ID in a note.
2. As the Patron Library, charge the item out to LOSS_RB_ILL.
 1. If you would like to bill your patron for the cost of the item. Create a DMGDRBILLX on the user record for the item price. If applicable, bill a second time for PROCESFEEX.

After the Item Library receives their credit via Quarterly Billing, they may DISCARD their item.

Unusable or damaged in delivery

Unusable

When you receive an **unusable** item in delivery that belongs to another library, please follow these procedures. A broken case does not constitute **unusable**, but a locked case does.

Important: It is imperative that you check condition before checking the item in. If it is unusable DO NOT check it in.

1. If it is unusable, without checking the item in, open the Charge/Checkout wizard.
2. Enter the User ID UNUSABLE_RB_ILL
3. Check the item out to this user.
 1. The item will now have a due date of NEVER and a shadowed location.
 2. The previous user's information will be preserved in the Previous User ID field in the item record.
4. Place a new routing slip on the item and mark it with the following message: "Unusable ILL item DO NOT CHECK IN". Route the item back to the home library **without checking the item in**.

Upon receiving your unusable item

If you receive one of your items with an unusable ILL note in delivery, **do not check in the item**. Checking the item in will lose previous user information.

Use the Item Search and Display wizard to identify the previous user. If the previous user is your patron, you may contact them. If they are not your patron contact their home library.

Under no circumstances should a previously discharged item be checked back out to the user.

Damaged in delivery

If you receive a bin and its contents are damaged; you must contact RAILS. You should open a ticket with RAILS Delivery Help Desk at railsdelivery@railslibraries.info
[See [RAILS website](#)]

Source URL (modified on 12/06/2018 - 15:38): <https://support.swanlibraries.net/node/64708>

SWAN Circulation Policies



1) General Circulation Rules



- a) Service should not be refused to any patron unless that user record is barred or blocked
- b) User blocks, holds, and borrowing limits of zero are established in the user profile by the user's home library and follow the user from library to library. It is the sole responsibility of the user's home library to correctly, appropriately, and legally establish, modify, and remove user blocks, holds and borrowing limits in accordance with the home library's policies. SWAN and its member libraries, other than the user's home library, are not responsible for reviewing, correcting, imposing, or otherwise changing user blocks, holds or borrowing limits. Do not override user blocks or borrowing limits when checking out to a reciprocal borrower unless permission is granted by the user's home library.
- c) Circulation rules (loan period, fine rate, grace periods, number of renewals, and maximum charges by ltype) are established by the charging library.
 - i. Book discussion due dates, may be extended.
 - ii. DVD Boxed sets added to the catalog after 1/1/2015 (TV Series, movies series, etc.) circulate for at least 2 weeks.
 - iii. The number of renewals are limited to either 0, 2, 5, or 10.
 - iv. The grace period is limited to 3 days.
- d) Library staff should attempt to renew items for users regardless of due date or where items were checked out. Exception: Interlibrary Loan ("ILL") materials from outside of SWAN must only be renewed at the library where the item was checked out.
- e) The Circulation map and the Hold map must reflect the actual ILL policy of the owning library.
- f) Suspension of a user's library privileges must be set only by the user's home library. It is the sole responsibility of the user's home library to correctly, appropriately, and legally establish, modify, and remove user suspensions in accordance with the home library's policies. SWAN and its member libraries, other than the user's home library, are not responsible for reviewing, correcting, imposing, or otherwise changing user suspensions.
- g) It is individual library policy to set the expiration date of their users' library privileges. "NEVER" is an acceptable option.
- h) While the vast majority of library policy is established by the individual library, some policy can only be set by the consortia due to the limitations of the ILS software, such as but not limited to, run dates for overdue notices and bill notices, limits on the number of renewals.

2) Holds

- a) Hold queues must be honored unless it is your user and your item.
 - i. Per patron request, any unavailable hold can be cancelled at any SWAN library.
 - ii. When placing a hold, the pickup point can be any library that participates in "pickup anywhere".

- b) Each SWAN library is required to completely process the “On Shelf item with Holds Report” at least Monday through Friday. Items not in circulation or on shelf need to be checked out to a generic user.
- c) Each SWAN library is required to completely process the “Clean Holds Shelf” report at least Monday through Friday. “Pickup by” dates are not to be extended for items on the hold shelf.
- d) The established amount of time an item can remain on the hold shelf at a SWAN library is seven days.
- e) Holds can only be placed on the brief record created to circulate Non-Swan ILL items by the library creating that brief record. After circulation of the item, the brief record must be deleted from SWAN.

3) Handling of Materials

- a) SWAN library materials are to be checked in and routed to appropriate destination, regardless of where they are returned.
- b) Materials from Non-SWAN libraries that cannot be checked in, should be forwarded to the owning library.
- c) According to local practice, the user may be held responsible for Non-SWAN materials until the items reach their final destination.
- d) Always use a new routing label when sending items in delivery. unless the item is being returned to the owning library. Staff should transfer any notes to the new routing label. 
- e) Routing labels must include the library codes for both TO: and From: libraries. 
- f) Due to patron confidentiality, the user’s name or barcode should not appear on routing labels.

4) Financial Concerns


- a) All charges can be paid via eCommerce.
- b) Billing is generated at 42 days overdue.
- c) All charges must be accepted at any SWAN library. On a quarterly basis, SWAN Member Services debits and credits SWAN libraries for any charges including manual charges over \$5.00. Bills for returned overdue items (fines) are not included in the debits and credits processing and are retained by the library collecting the monies. Reimbursement for any lost or damaged ILL/RB materials should be reported to SWAN to be added to the Quarterly Billing, libraries should not invoice other SWAN libraries directly.

- d) Library staff can no longer pursue reimbursement for materials with a current location of INTRANSIT or those items “Damaged in Delivery” from SWAN or other SWAN libraries.
- e) Replacement materials are not accepted for ILL and Reciprocal Borrowing losses.
- f) Once the patron has paid for any lost ILL/RB items monies will not be refunded.
- g) Reimbursement for non-returned lost materials will be 365 days after due date and processed on a quarterly basis.

5) Lost and Claims Returned Items

- a) The Mark Item as Lost wizard should be used only when payment is made.
- b) The Claims Return wizard is used only by SWAN Member Services for ILL/Reciprocal Borrowing transactions. This is done in consultation with the user’s home library.
- c) Once a user is sent to a collection agency, performing a “Claims Returned” on the item is no longer an option.

6) Patron Accounts/Records

- a) Birthdates are a required field in user records.
- b) All user records must conform to current standards (see appended USPS guidelines).
- c) SWAN libraries must verify a user is in good standing before circulating to a new or renewing reciprocal borrower.
- d) There are only a few instances when a user may have more than one valid record in SWAN. Acceptable examples include: children in joint custody situations, staff, non-resident property owners, and records created for academic or SWAN special library members (an academic/special library card is not for use at a public library). Creating multiple records for the use of separate software features is prohibited.
- e) When re-registering a user, modify the existing public library record following current user record entry standards. 
- f) Circulation to a user with an expired card should only be performed in consultation with the user’s home library.
- g) A user record from another SWAN library can only be modified when the user has moved into your service area. However, library staff can assist any user in editing the following fields: PIN, email address, any phone field, SMS Texting, language or notice preference.
- h) All Non-SWAN user records should include the expiration date provided by the user’s home library or be assigned an expiration date one year from the date of issue.

7) Responsibility for Lost Interlibrary Loan and Reciprocal Borrowing Materials

- a) When all libraries involved in an ILL or RB transaction are SWAN libraries, the user's home library is responsible for all costs.
- b) When a Non-SWAN library is involved in the transaction, the ILLINET ILL Code requires that the borrowing library must reimburse the owning library for any losses.

Open Hold Shelf Best Practices



Exhibit I

Open Hold Shelf and Hold Wrapper Information

It was brought to our attention that CPL recently had a news segment dedicated to their open hold shelf and the violation of the Patron Privacy Act. Below is the link for the video of the news segment, as well as ALA's recommendation.

CBS

<https://chicago.cbslocal.com/2018/11/29/harold-washington-library-reserve-system-violation/>

ALA's Resolution to Protect Library User Confidentiality in Self-Serve Hold Practices

<http://www.ala.org/advocacy/intfreedom/statementspols/ifresolutions/selfserveholds>