SWAN Circulation Advisory
Wednesday, November 20th, 2019
9:30 am – 12:00 pm
RAILS Main Meeting Room
125 Tower Drive, Burr Ridge, IL 60527

AGENDA

1. Introductions
    a. Welcome new members
2. Minutes from September Planning Session {Exhibit A}
3. Circulation policy changes {Exhibit B}
4. Damaged proposal {Exhibit C}
5. Legal opinions on website {Exhibit D}
6. ILA survey update-Hold Wrappers {Exhibit E}
7. Trainings

Advisory members present: Sue Feddersen (BVD), Stephanie DeYoung (BLD), Sandra Leyva (AMS), Julie Lombardo (WRS), Victoria Muraiti (RFS), Cheryl Pawlak (DGS), Debbie Sheehan (INS), Brittany Smith (WMS), Thomas Webb (MTS)
Advisory members absent: Cindy Maiello-Gluecklich (MPS), Peggy Tomzik (ESS)

SWAN staff present: Crystal Vela, Samantha Dietel, Dawne Tortorella, Tara Wood, Vickie Totton, Aaron Skog

The Circulation Advisory Group met at Thomas Ford Public Library on September 18th and had a planning session to develop recommendations for the Circulation Policy. The elected members identified key areas of interest, including user accounts, patron privacy, holds, and billing and claims returned.

- **User Accounts**: It was noted that birthdates in patron records are important for identifying duplicate accounts, so it is important to continue to require them. Members voiced that the collection of sensitive information such as driver's license numbers and social security numbers should be prohibited.
- **Patron Privacy**: Opinions varied regarding who is responsible for patron privacy and where attempts to protect patron privacy infringe on patron services. Conversation focused on requiring PINs at self-checkout and limiting patron information on hold wrappers.
- **Holds**: Members expressed frustration about varying hold permissions across the consortium. The possibility of reducing the number of days an item is on the hold shelf was discussed. Overall, this option was perceived as a disservice to patrons.
- **Billing and Claims Returned**: Billing is a complicated process with many variables, which is confusing for staff. The conversation centered around efforts to simplify the billing process without losing any data critical to quarterly billing. This discussion revealed the need to revise the way damaged materials are reimbursed in our consortium.

Overall the conversation revolved around creating standards to simplify training processes and create a more cohesive patron experience when roaming from library to library, including standardized circulation rules, consistent use of item types, and simplified hold policies.

It was also recommended that patron personally identifiable information and identity protection issues should be included in the SWAN Identity Protection Policy and not within the Circulation Policy. Consolidation of all policies related to patron privacy and data collection extend outside of circulation and therefore should be part of a larger policy.

Circulation Policy

Reviewed and approved by the SWAN Board on 2/15/2019.

If you are looking for policy configuration in Symphony WorkFlows, see ILS Configuration.

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 Itype) 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 optional grace period is 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.

I. All items that can be checked out and/or returned at another SWAN library must have a codabar barcode on the item.

2. Holds

A. Hold queues should ~~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"~~ 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 not to exceed 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. Staff should transfer any notes to the new routing label.

E. Routing labels must include the library codes for both the 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~~material replacement costs, including manual charges ~~over $5.00~~.

Charges Billsnot intended for material replacementreturned overdue items (fines, processing fees, etc.) 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 SWAN 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. Packing materials for ILL areis not billable.
F. Replacement materials are not accepted for ILL and Reciprocal Borrowing losses.
G. Once the patron has paid for any lost ILL/RB items monies will not be refunded.
H. Reimbursement for non-returned SWAN lost materials will be 365 days after due date. and processed on a quarterly basis. In order to abide by ILLINET ILL code, Non-SWAN libraries will be reimbursed 240 days after the due date. All reimbursements will be 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. Birthdate is 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. Creating multiple records is prohibited. 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 SWAN academic or special library members.
E. Academic and special library cards are not accepted for use at a public library.
F. When re-registering a user, modify the existing public library record following current user record entry standards.
G. Circulation to a user with an expired card should only be performed in consultation with the user's home library.
H. 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.
I. 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.

United States Postal Service standards (USPS)

1. Use a return address.
2. User all caps, spaces between words, no punctuation and left justify the margin.
3. Use 2 letter state abbreviations.
4. Use Zip Code or Zip 4 (if known) on the last line following city and state.
5. Use applicable directional.
    1. N-North, S-South, E-East, W-West
6. Include applicable designations.
    1. RM-room, APT- apartment

Damaged Material Policy and Procedure

Exhibit C

Circulation Policy Addition:

Damaged material is identified and handled at the Station Library wherever the item is returned for check-in. Owning libraries will be reimbursed through the regular billing process.

Damaged Procedure:

If an item is returned to your library and you notice that the item is damaged and your library would not circulate it, please follow the steps below.

If you are billing the user, use the **Mark Item Lost** wizard to mark the item "lost" and create the item bill.

- Be sure to add a bill note indicating the nature of the damage and where the item is being held. *Remove or destroy the item barcode to prevent accidental discharge.*

Patrons are entitled to keep an item for which they have been billed. If condition allows, hold on to the item so the patron may have it once it has been paid in full.

Billing Information:

- Paid "lost" bills will be reconciled to the Item Library in the following Quarter.
- Unpaid "lost" bills will be processed by the Custom Longoverdue Report (CLR) after 365 days, after which the Patron Library will be debited and the Item Library credited.
- Unpaid "lost" bills will be captured by the Bill Notice Report the same or next day. A patron with an unpaid "lost" bill will receive a bill in whatever manner they've elected to receive notices. It is recommended that the system-generated notice should not be the first the patron is learning about the bill. Communicate with the patron at the time the bill is created.
- After the bill is created and/or paid: **DO NOT** discharge the item or charge to another user.

Item Libraries:

If you observe an inordinate quantity of items being returned damaged, please document these instances and report them to SWAN.

Legal Opinions

Exhibit D

SWAN requests legal opinion from counsel in matters of concern in support of the membership. Legal opinions can be found the SWAN website under About>Information for Board Members>Legal Opinions.

https://support.swanlibraries.net/documentation/66923

Take the ILA Committee Open Hold Shelf Survey Before it Closes, 11/1

The issue of patron privacy and information printed on hold shelf wrappers has led to discussions at the state level between ILA, RAILS, and the Illinois State Library. The ILA Best Practices Committee has issued a comprehensive survey to gather information on how libraries are currently using open hold shelves. The survey introduction states the following:

The Illinois Library Association Best Practices Committee is charged with recommending best practices regarding self-service (or open) holds in relation to patron privacy. Self-serve (or open) holds are defined as a system whereby patrons are notified when an item they requested is available for pick-up at the library and the patron can retrieve the item from shelves that are accessible to the public. This survey aims to gather information about how libraries with self-serve/open holds are operating and safeguarding patron privacy.

"ILA Best Practices Survey - Self Service Holds" is available online until November 1, 2019. Click here to take the survey.

The issue of patron information being printed on hold wrappers and placed on items for pick-up in a publicly available area was raised last November by a Chicago resident. The Chicago Public Library was in the news due to the patron complaint of their name being printed and attached to items they had requested and placed on an open hold shelf. SWAN staff were approached by several library directors after hearing this in the news, and over this past year there has been a discussion at some of our advisory groups on the software options controlling what can be printed on these wrappers. We encourage libraries with or without open hold shelves to participate in the survey. After the ILS Best Practices Committee shares its recommendation, we will communicate to everyone how SWAN's hold wrapper printing can work within their guidelines.