BIBLIOGRAPHIC SERVICES OPERATIONAL PROCEDURE

2018

Northern Lights Library System

What do we do?

Member libraries have the administrative task and responsibilities to provide services to their communities while Bibliographic Services provides the very best services to support our libraries by identifying and evaluating possible opportunities for streamlining processes and procedures.

The department provides a range of expertise and services for the all the member libraries in Northern Lights Library System. The department encourages cooperation and collaboration within all units - acquisitions, receiving, cataloguing, processing but most importantly along side of the member libraries. The goal is to provide timely ordering, cataloguing, processing along with the delivery of materials to the libraries.

What's Inside?

POLICIES

Northern Lights Library System follows the guidelines set out by the Standards and Best Practices for Public Libraries in Alberta and TRAC Operational Guideline; both are available on the website.

PROPER PROCEDURE

Have a look inside to assist you with the proper method of filling out forms required within the department.

LEARN SOMETHING NEW

Perhaps you were unaware of all the services available through Bibliographic Service.

Bibliographic Service Department

- Bibliographic Services Manager
  - Acquisition
  - Receiving
  - Cataloguer
  - Processor
 - Shipping Coordinator
  - Driver / Shipping Assistant
  - Driver

Table of Contents

Acquisition

Northern Lights Library System's acquisitions specialist will source orders to obtain optimal pricing and delivery. Acquisitions verify order information, cancellations, up to 40% discount on purchases from some vendors, standing order program and Bestsellers program.

Sourcing
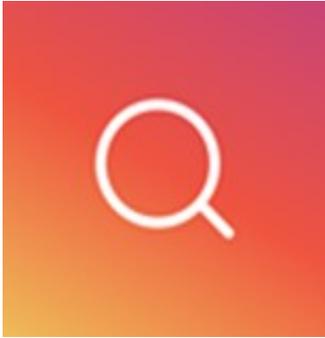
The most common acquisition sources used include ULS, WhiteHots, Amazon, Chapters, as well as specialty sources such as Living Books and Happy Harbour Comics. When placing an order, the Acquisition Order Form also includes a column for 'source', in case you request the item from a specific vendor that you want to use.

Encumbered Funds

When an order is released, Polaris will encumber funds from the book allotment, essentially setting them aside to pay for the order. This does not mean that all the encumbered money will be spent; once the order arrives and is invoiced, any discounted amount from the encumbered fund that isn't used to pay the invoice will be returned to the book allotment.

On Order Item Records

Once an order is sent to a Purchase Order and released, Polaris will automatically generate Item Records in accordance with the library's cataloguing profile and templates. The materials will switch to a status of In Processing when the item is shipped (in the case of EDI orders) or when the item is received at NLLS.

Acquisition Template

The Acquisitions Template is an Excel document used for submitting an order to NLLS Acquisitions. It contains columns for all the necessary information required for the acquisitions specialist to place your order. It is essential that this form be filled out as completely as possible to ensure that you receive the items you ordered in as timely a fashion as possible, that you receive the exact items that you ordered, and that Polaris generates the catalog Item Records correctly.

Best Practices

It's always best practice to keep copies of orders in the library's records, for keeping track of open orders. When placing a new order, it's also a good idea to be aware of what you may already have on order (Polaris will flag duplicate orders if it detects on order items, but once the item shifts to In Processing the alert will no longer trigger).

Author, Title, Year, ISBN – These fields are required to ensure that the acquisitions specialist can correctly identify and locate the materials.

List Price, Source – These fields will help the acquisitions specialist to more quickly locate the resource for ordering, and give an idea of how much you are expecting the item to cost. If acquisitions can readily locate a better price, NLLS will try to get the best pricing possible; if the material in question is significantly more expensive than expected, the acquisitions specialist may contact the library to confirm the order is still acceptable at the higher price.

Collection – It is important to fill this field out in accordance with the library's cataloguing profile. Polaris will automatically generate Item Records by matching Collection with Assigned Branch to select a template; without correct collection information it will generate an incomplete or inaccurate Item Record, and your materials may not be correctly catalogued, or at the very least the turnaround time will be delayed (on average, it takes five times longer to correct a bad Item Record than it does to   complete a properly created one).

Receiving

Northern Lights Library System's receiver ensures that acquisitions orders are correct and not damaged, receives all the cataloguing sheets from the member libraries and prioritize cataloguing per holds queue, Bestsellers or Hotlist.

Receiving of Acquisition Orders

- The receiver at Northern Lights Library System is responsible for checking over the materials to make sure that everything on the invoice is present and in good condition. In the event that there are missing or damaged items, the staff at NLLS will contact the vendor and arrange for a no-charge replacement or (if a replacement is not possible) a refund.

- When the materials are received, the items will go to a status of In Processing. The receiver will attach barcodes to the items and then send them to the cataloguers for bibliographic cataloguing and to have the Item Records completed. After being received, the encumbered funds allocated to the order will be shifted to expended, and any remaining difference between the on order price and the discount price will be returned to the library's book allotment fund.
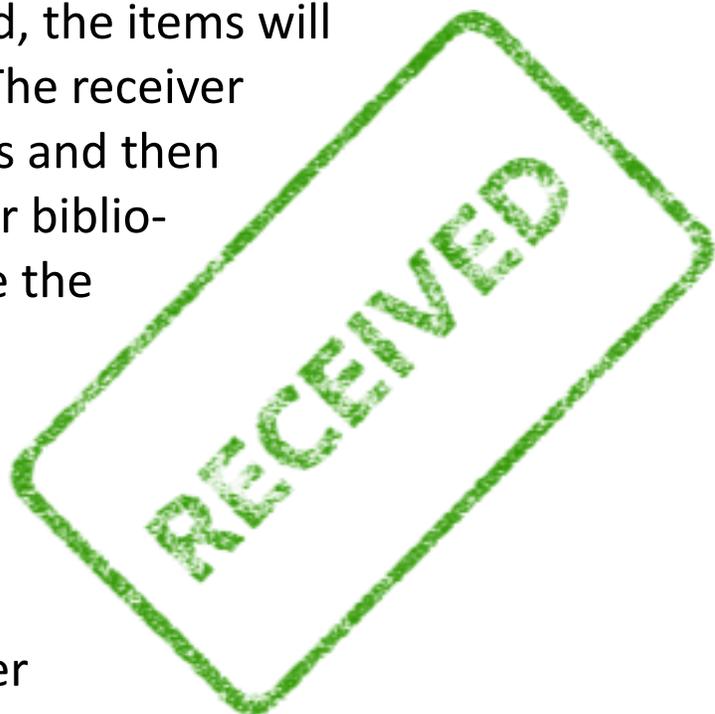
Receiving of Cataloguing Sheets

The receiver will check over cataloguing sheet submissions sent to NLLS to make sure that all the items arrived, that the cataloguing sheet is filled out in accordance with the policies.

In the event that the sheet is incorrectly filled out or items are missing or an extra items, the Bibliographic Services will either contact the library and/or return the cataloguing sheet and materials to the library, depending on the nature and degree of the issues.

Cover Page

CATALOGUING SHEET

Library/Code: ***PLEASE FILL OUT***

Second Page

LIBRARY NAME/LIBRARY CODE: PLEASE FILL OUT

DATE: PLEASE FILL OUT

Number of Items (Maximum of 12 per sheet, 6 if RUSH materials) ***PLEASE FILL OUT***

Authorized by: ***PLEASE FILL OUT***

(Signature)   (Print)

Both Pages need to be completed.

Receiving Outside Purchases

OUTSIDE PURCHASE

NAME:	***PLEASE FILL OUT***
DATE:	***PLEASE FILL OUT***

ADDRESS:

DATE	Expense Description	COSTS	SHIPPING	LINE TOTAL	GST
				$ -	
				$ -	
				$ -	
				$ -	
				$ -	
				$ -	
				$ -	
				$ -	
				$ -	
				$ -	
				$ -	
				$ -	
				$ -	
			Sub Total	$ -	
			GST	$0.00	
			Grand Total	$ -	

Cheque to be made payable to: ***PLEASE FILL OUT***

I HEREBY CERTIFY THAT THE WHOLE OF THE EXPENDITURES WAS INCURRED ON PROJECT BUSINESS AND THAT AMOUNTS CLAIMED HAVE NOT BEEN PREVIOUSLY PAID TO ME OR ON MY BEHALF. ALL RECEIPTS REGARDING ABOVE EXPENDITURES ARE ATTACHED.

PLEASE FILL OUT

CLAIMANT SIGNATURE

Outside Purchases

Member libraries may buy materials for the library collection through outside sources and receive reimbursement for those purchases and/or have Northern Lights pay the invoice for those items. Such materials include: books, magazines subscription or audio visual materials. Items can come from any source, and must be added to the catalogue - 2 options are available:

1) adding items at your library or

2) sending them in on the cataloguing sheet.

Up to 100% of the library's book allotment may go to this fund. Items such as computers, programming material (for example: puppets and coloring books used for in library used only for programs) and furniture CANNOT be purchased from this fund.

Outside Purchases Form Procedure

Outside Purchases Forms must be filled out correctly and completely
- Libraries must submit an Outside Purchases Form with original invoice or receipt for payment or reimbursement

  * It is best practice to include invoices with only the items listed for reimbursement

- Fill in the name of the person submitting the claim and the library.
- Please date, add description, cost, any shipping cost and GST. The form will total these amounts for you – the grand total should match the total of your invoice.
- Indicate who to make the cheque payable to.
- The claimant must sign the bottom of the form.

Repackaging of Audio/Visual Materials

Outside Purchase and Cataloguing Sheet items **WILL NOT be** processed with new cases when they come into Northern Lights for cataloguing. Only DVD/Blu-ray/CD/audiobooks items purchased through NLLS will be placed in the new cases.

REMINDER: Bibliographic services requires all DVD/Blu-ray/CD/audiobooks items be sent in their original cases to be catalogued so that the appropriate information can be recorded prior to repackaging since important information can be lost when scanning and printing the original package; further delays could occur.

Priority Cataloguing/Holds

During the receiving process, materials with standing patron holds will be placed in a priority queue for immediate cataloguing (priority materials will depending on workload, van run and the degree of bibliographic cataloguing required). In addition to items with holds, other priority materials such as hot list and standing orders (series, paperback bestsellers, monthly genre, etc.) will be moved to the front of the cataloguing queue as well.

Processing

Northern Lights Library System's processor prepares and processes materials. Processing includes:

⇒ Labelling - spine labels and book plates are attached in accordance with the current labelling standards and conventions
⇒ Laminating—jackets from hard cover books
⇒ Mac-Tac—softcover and paperback books with the determined value
⇒ AV Materials—beyond repackaged the disc will be identified with the library's code

Laminating and mac-tac preservation tactics that are aids to extend the life of print materials

All processed material is checked in, if the item has a hold it will be routed directly to the pick-up location. Packing slips will indicate the materials sent out on the van run, including those sent to fulfill holds; the slip will indicate the list price, net price, any service charges and totals for each category while also providing information on whether items are In Transit or Transferred.

REMINDER: The packing slips are tracked; therefore, check that all <u>items</u> are present, slips need to be <u>signed</u> and <u>returned</u> to NLLS. It is also important that the items upon arrival at the library are checked in.
**REMINDER:** Mac-Tac: $11.00 and up is mac-tac (current as of January 2017.)

Example of AV Material Processed

Barcode is placed on the bottom right corner –on the paper insert not the plastic

The spine label is placed on the insert ¼ inch from the bottom

ACD
LAC
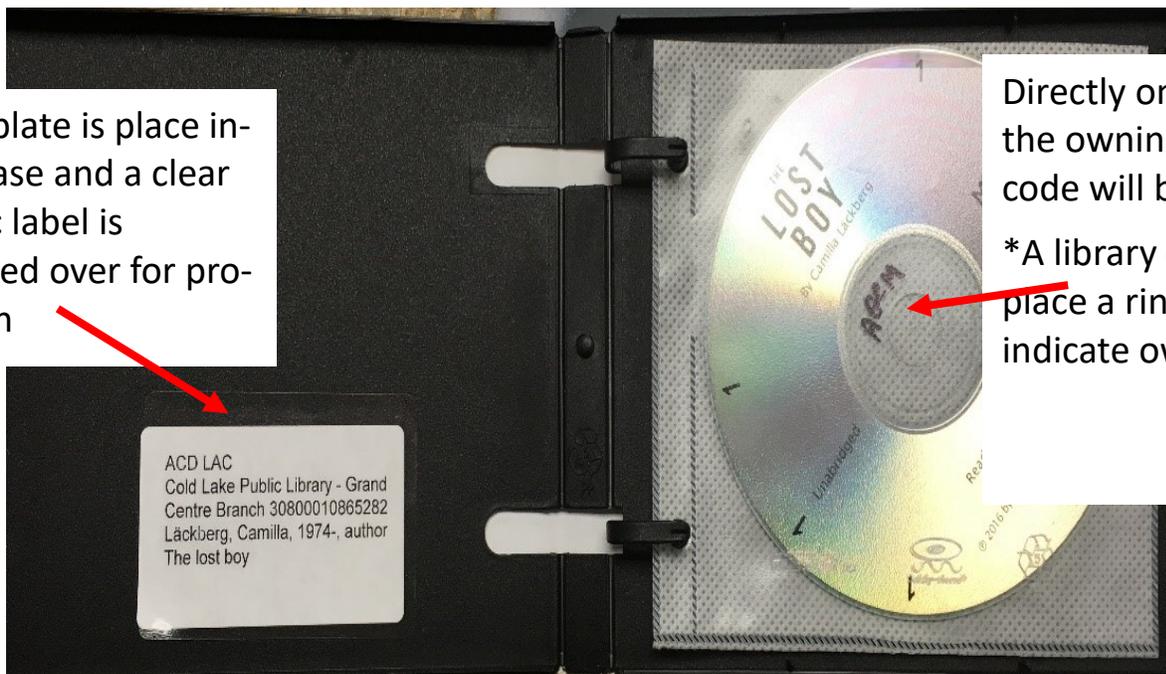
Book plate is place inside case and a clear plastic label is attached over for protection

ACD LAC
Cold Lake Public Library - Grand Centre Branch 30800010865282
Läckberg, Camilla, 1974-, author
The lost boy

Directly on the disc, the owning library's code will be marked

*A library can also place a ring label to indicate ownership

Audiovisual (DVD, Blu-Ray, audiobook, CD) purchased through NLLS, process procedure

Cataloguing

Bibliographic Records

The Cataloguer of the Bibliographic Service Department is responsible for the creation of full level cataloguing of Bibliographic Records for all materials purchased (options below) for the libraries' collections in accordance with RDA cataloguing rules and the TRAC Standards for Acceptable Bibliographic Records.

OPTION 1: Purchase materials out of the book allotment through Acquisitions

OPTION 2: Submit a cataloguing sheet to Northern Lights Library System

Item Records

The Bibliographic Services Department is responsible for filling out the Item Record for all materials purchased for the libraries' collection out of the book allotment through Acquisitions or submitted to Northern Lights Library System through cataloguing sheet procedures

Item records are generated and completed in accordance with the libraries' cataloguing profile and item templates

A complete item record will include the barcode; owning and assigned branch; collection; shelf location (if applicable); circulation information – material type, loan period, fine code; and call number information, which is defined by the cataloguing profile and item template

Item records, generated by NLLS or added by libraries, are required to reflect the item being described in the bibliographic record – items catalogued must be complete, with all cataloguing information and all original components of the item (for multipart items such as kits and combo packs) so that they can be included in both the bibliographic and item record information

Volume Control

ITEM	VOLUME FIELD	EXAMPLE
Single volume in a series	v.#	**v.3**
Annual item records	YYYY	**2005**
	*multiple year material where there are full annual dates, include these in the volume field using the formatting YYYY-YYYY	
Multi-disc set – single package including all the disc (not split)	**DISC SET**	**DISC SET**
	***DO NOT USE VOLUME CONTROL FOR COMBO PACKS ***	
Multi-disc sets – one disc per package	DISC#	**DISC5**
Multi-disc sets – two discs per package	DISC#&#	**DISC4&5**
Multi-disc sets – three or more discs per package	DISC#-#	**DISC4-6**
Monthly magazines	MMMYYYY	**MAR2014**
Quarterly magazines	SSSYYYY	**FAL2012**
Bimonthly magazines	MMM-MMMYYYY	**JUN-JUL2014**
Quarterly or Bimonthly (cover months in two years) – year end issues	MMMYYYY-MMMYYYY	**DEC2013-JAN2014**
	SSSYYYY-SSSYYYY	**WIN2012-WIN2013**
Weekly magazines	MMMDDYYYY	**JUN162014**
Special issues	XXXXYYYY	**MAKEITYOUR-SELF2012**
Magazines with volume and issue data only	v.#no.#	**v.57no.3**
Magazines with issue data only – most comic fall in this category	#	**266**
Magazines in French	MMMYYYY	**AVR2011**
Summer edition in French	SSSYYYY	**ETE2013**
Winter to winter edition in French	SSSYYYY-SSSYYYY	**HIV2013-HIV2014**

Tip Sheet

RULE
No spaces, lower case v
Four-digit year
All capitals, one space between words, Disc with a 'c'
No spaces, all capitals
No spaces, all capitals
Hyphen between numbers, no spaces, all capitals
First 3 letters of month, all 4 digits of year, all capitals, no spaces
First 3 letters of the season, all 4 digits of the year, all capitals, no spaces
First 3 letters of months separated by a hyphen, all 4 digits of year, all capitals, no spaces
First 3 letters of the first month followed by all 4 digits of year, one hyphen, first 3 letters of second month followed by all 4 digits of second year, all capitals, no spaces
Follows the same pattern but with first 3 letters of the season
First 3 letters of month, 2-digit day, all 4 digits of year, all capitals, no spaces
Full name of special edition, all 4 digits of year, all capitals, no spaces
Lower case, no spaces
No other information or characters needed
First 3 letters of the month in French – exceptions Juin(JUIN) & Juillet(JUIL), all capitals
First 3 letters of the season in French, all capital, no spaces
First 3 letters of the season in French, first 3 letters of the second season in French, all capitals, no spaces

Cataloguing Sheet Procedures

The NLLS Cataloguing Sheet is the document used when libraries' have materials not purchased through acquisitions (donations, outside purchases, etc.) that do not have a Bibliographic Records available in the [TRAC Catalogue](#) and requires cataloguing.

The [Cataloguing Sheet](#); periodically updated to reflect updates and changes to policies and procedures, and the libraries are re-sponsible for making sure they have downloaded and using the most recent version.

> **REMINDER:** Please make sure that all staff involved in filling out cataloguing sheets are familiar with and follows the existing cataloguing profile for the library. When cataloguing sheets request the use of collec-tions, shelf location, etc. that are not available to the library, the cataloguing staff will be unable to enter the items as indicated and waste time either changing the cataloguing sheets to match the profile or waiting for either the cataloguing sheet or profile to be reviewed and updated by the library manager and bibliographic services manager. Collections and shelf locations in particular must be activated/ entered into Polaris for the library before they are even accessible for cataloguing – please send a HelpDesk ticket for updating profile before sending in items.

As of July 1st, 2017:

- all items submitted to NLLS on a Cataloguing Sheet will not be receiv-ing processing. This includes: re-packaging of audio-video materials, laminating , mactacking . The libraries will receive from NLLS spine labels and book plates.

[Cataloguing sheet](#) must be filled out correctly and completely: all cataloguing submissions must be accompanied by a current copy of the cataloguing sheet containing all the required information

Weekly Limit Number of items being submitted, with a maximum of 12 items per sheet, and we ask that no more than 2 sheets (24 items) be submitted per library per week to ensure that staff resources are not being monopolized by a single library at any given time

Packing list filled out with barcode number and intended collection for each item. Cost of the item (if omitted will be filled in with the default replacement) and shelf location can also be included if necessary, however these will be taken from the item itself or the profile respectively.

		Title	Barcode	Collection – as per cataloguing profile	Cost	Notes

LIBRARY NAME/LIBRARY CODE: DATE:

Northern Lights Library System

Number of Items (Maximum of 12 per sheet, 6 if RUSH materials) =

Authorized by: _____   _____
                        (Signature)   (Print)

PACKING LIST

PLEASE FILL OUT THIS FORM ON YOUR COMPUTER AND PRINT TWO COPIES.
SEND ONE COPY TO NLLS AND RETAIN THE SECOND COPY FOR YOUR RECORDS.

Signature of the library manager or an authorized staff member who has been identified by the manger to Northern Lights Library System as having signing authority for the library and dated.

Criteria For Sending Items for Cataloguing

In addition to Northern Lights' regional policies, as a member of TRAC NLLS is required to meet the established standards for cataloguing and to follow the agreed upon policies of the consortium. In order to ensure that the cataloguers are able to follow those standards and policies, materials being sent to NLLS for cataloguing must meet certain criteria.

1. The Bibliographic Services Department reserves the right to refuse and return any submissions of materials that do not meet the established criteria

2. When selecting items to send to NLLS for cataloguing, ensure that all items meet the following criteria:
   a. No bibliographic record available: the libraries are responsible for adding their own items to existing Bibliographic Records on the catalogue. A search by [ISBN](#) of the catalogue will determine if a specific version of a title has already been catalogued and a record is available.

Do not search by keyword or title when adding Item Records – a title match does not necessarily mean that the Bibliographic Record is the same version; an ISBN will identify an exact match

A search for UPC code for DVD/Blu-Ray will give the specific title. If the set is a DVD/Blu-Ray combo ensure that you enter the item record under the correct format: DVD only and/or Blu-Ray only or the combo. REMINDER if the catalogue only has the combo record and the library chooses to split, please send in a HelpDesk Ticket with the UPC code and Title. If unsure please send in a question to the HelpDesk for assistance. It is also important that when combos are split that the change is reflected on the movie jacket (remove either the DVD or the Blu-Ray designation).

b. The item will be available for interlibrary loan: materials entered into the database must be available for loan to patrons of other libraries, both with TRAC and on occasions, outside of TRAC. ALL items being sent to NLLS to be catalogued must be made available as required by the TRAC guidelines. There are some exceptions, specifically reference material such as encyclopedias, which as a standard rule does not circulate out at all. Periodicals, items of fragility such as vinyl records and art work or items of excess weight (telescope) could be circulated locally but are not required to be circulated via interlibrary loan and is at the discretion of the library manager/director

c. Item meets the criteria for weeding: items being submitted to the Bibliographic Services Department for cataloguing are required to meet the same standards that the Public Services Department has outlined for determining if an existing item in the collection should be weeded.

> REMINDER: Bibliographic Records requires a significant amount of staff time and effort to create and new records will not be created for an item that would have already be recommended for removal/weeding under the General Weeding Philosophy and Methods and Weeding Guidelines provided by the Public Services Department

d. All necessary information for cataloguing is included and visible: in order to create a Bibliographic record containing all the required information to meet with the cataloguing standards, the Bibliographic Services Department must have access to and be able to examine the entire item. Without this information, the cataloguers cannot properly create the Bibliographic Record.

ISBN, UPC and other identifiers are visible: these numbers, typically located on the cover and spine of the item, are required to identify the specific version of an item. They must not be covered by barcodes, stickers, etc. as they must include in the bibliographic record

All original packaging and all materials are present: regardless of whether it is to be repackaged for circulation, at the time of cataloguing the item must be present in its original form as it was published, complete with the original packaging. This is particularly important when dealing with materials such as audiobooks, movies, kits, etc. In the case of multi-part items the entire item must be included for cataloguing.

All items are barcoded and property stamped by the library: this is to help identify which items belong to which library, should they become separated from the cataloguing sheet. This allows the staff to identify which library an item belongs to until such time as it can be added to the database.

Other language materials include a translation sheet: the TRAC catalogue is predominantly English with French being the second most common language for materials. The cataloguers are also primarily fluent in English and the resource sites they use when cataloguing are as well. When submitting items that are of a language other than English or French, the library must include a **translation sheet** so that the cataloguers have the minimum required information to generate a Bibliographic Record.

Special Projects and Re-Con

There may be special circumstances that arise that fall outside the normal cataloguing procedures. These can include, but are not limited to, re-con (retrospective conversion), which occurs when a library first joins the system and all of their collections and materials must be entered into the database, and special collection projects (such as when a large or unusual selection of materials is donated to the library).

These are considered special projects, and as such are not covered by the standard cataloguing policies and procedures. In these situations, Northern Lights Library System will work with the library to determine whether or not the project can be undertaken by the headquarters' staff, and if so what the terms of the project will be.

As a rule, special projects are handled outside of the normal cataloguing work of the department, so as to avoid unduly interfering with the regular flow of materials out to the libraries, and may incur additional costs or other terms, to be determined as part of any agreement with Northern Lights Library System to undertake the project.

The main focus of the Bibliographic Services department is to provide regular acquisitions, cataloguing and processing services to all of the partner libraries within Northern Lights, and it will not always be possible for the department to take on special projects, as staff time and resources are limited.

Shipping / Interlibrary Loans

The Bibliographic department facilitates the physical transport of material from one library to another via the van run, Canada Post, and government courier.
Member libraries are provided with bins and blue canvas bags; all materials are to be packed in accordance with TRAC Operational Guidelines for Materials. They can then be placed in bins for transport with fragile material placed on the top. Each library is assigned a pick-up/drop-off day on the Van Run Schedule, which can be accessed on Northern Lights Library System website.

The Public Services Department facilitates interlibrary loan brokering through interlibrary loan software. This allows members of our own library system to access materials not available within TRAC, as well as offers libraries outside of TRAC the opportunity to borrow books from our system that they might not otherwise have access to.

GLOSSARY

Authorities

Approved versions of names, subject term, and series titles that are used to create a standard format to differentiate similar names and entries from one another and to ensure that all works on a certain subject, in a specific series or associated with a specific person are linked together. TRAC takes the majority of their authorities from the Library of Congress and from the Canadiana Authorities site maintained by Library and Archives Canada

Bibliographic Record

An entry into the library catalog that describes the content and nature of a resource, as well as supporting information, for the purpose of identification and retrieval—contains information such as title, publication information, subject matter, authors and other individuals or groups responsible for the resource's creation
Created or imported by the headquarters' staff

Book Allotment

designed to supply library materials to member libraries; library resources purchased is any material regardless of format, that is held in a library's collection resources purchased through book allotment need to be eligible for resource sharing

Cataloguing Profile

Document of the library's material organization process – collections, shelf location, how specific collections are labeled.
The library manager signs off the profile; is used to generate Item Templates which are then used to generate item records through acquisitions, cataloguing or when the library add items to existing bibliographic records

Cataloguing Sheet

A form used for submitting material to Northern Lights Library System for cataloguing that identifies the owning branch, the items being sent in, the number of items being sent in and how they are to be catalogued according to the library's cataloguing profile

Full Level Cataloguing

records contain title and publication information as well as identifying series, subject information, and authorized access points for individuals and organizations responsible for the resource being described (authors, illustrators, actors, etc.) as determined through the use of Library of Congress Authorities and Canadiana Authorities

ISBN (International Standard Book Number)

A unique number used to identify a specific version of a given work; the standard 13 digit starts with 978

Every publication has its own ISBN assigned to it; allowing this number to be used to match an exact match between version of work and the correct Bibliographic record describing it

Item Record

a record created in the catalogue that identifies a specific copy of a given title, including the library to which it belongs, where it is currently located, its availability and other information used to locate and identify the copy

multiple item records will be attached to a single Bibliographic Record and can be added by staff at the library

RDA – Resource Description and Access

Rules used for cataloguing , TRAC adopted the use of RDA cataloguing rules for creating [Bibliographic Records](#) as of 2013

Resource Sharing

Libraries Regulations definitions - making available to other libraries the library resources owned by a board; the local public library has primary responsibility for developing and providing a local library resource collection to meet community needs

Resource sharing, including interlibrary loan service, is supplementary and is not meant to substitute for the local collection.

TRAC Standards for Acceptable Bibliographic Records

Created through the cooperation of the four TRAC regional library systems (Northern Lights, Yellowhead, Marigold and Peace Library Systems); The TRAC Standards are intended to address questions and procedures specific to TRAC to cover situations not covered by the standard cataloguing rules, and to help cataloguers in the four regions to coordinate ensuring that records created in each of the regions are done to the same quality and in the same way

UPC

The Universal Product Code is the 12 numerical barcode found on products

Resources available on website

Acquisitions Template – An Excel document available to be filled out and submitted to NLLS acquisitions when placing an order. Libraries are responsible for making sure their order template is filled out completely and accurately so that materials can be ordered and catalogued in accordance with the libraries' cataloguing profile.

Acquisition Guide and Manuals – assistance with using the CCD Tool, Facts about Funds, how to print invoices and the ULS Order Manual.

Cataloguing Sheet – The current version of the cataloguing sheet is kept on the website. Libraries are responsible for downloading the correct, up-to-date version of this document when submitting materials for cataloguing.

General Weeding Philosophy, Methods & Weeding Guidelines – A detailed description and guidelines from the Public Services Department on what the standards for weeding (and thus for cataloguing) materials should be.

Contact

1-800-561-0387 / 1-780-724-2596

Bibliographic Manager .... ext. 2105

Acquisitions .... ext. 2148

Receiving .... ext. 2141

Cataloguing .... ext. 2142

Processing .... ext. 2145

Shipping .... ext. 2149

HelpDesk .... www.nlls.ab.ca/Helpdesk