

# lindsayandhowes

Technical Services Prospectus

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## Introduction

- **Process**

We work closely with each library to ensure smooth implementation of ordering, cataloguing, and/or physical processing. Depending on the mix of services required, appropriate procedures include in-depth consultation via phone, fax and email. The end result is a formal specification detailing the services to be provided and the responsibilities of each partner.

Partnership is the key to the immediate and long-term success of a technical service relationship. Where there is ongoing consultation and a mutual commitment to working together, issues and concerns can be easily addressed as they arise.

- **Scope**

Libraries can contract with Lindsay and Howes for a wide variety of services for acquisitions, bibliographic and/or cataloguing records, and physical processing. You can opt for the full range of services or contract for only a subset (for instance, the application of ownership stamps and the supply and insertion of security devices).

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## Physical processing and collection development/acquisitions

- **Firm orders and notification slip orders**

Firm orders and orders placed in response to new title notifications are excellent candidates for physical processing, as returns are not a significant issue on such orders, and physical processing renders materials non-returnable.

- **Blanket orders/automatic 'approval' shipments**

Books handled on approval are profiled using the parameters applied in the development of library-specific approval plans: publisher lists, the Library of Congress (LC), Dewey Decimal Classification (DDC) and National Library of Medicine (NLM) classification schedules, narrative instructions and an extensive array of non-subject parameters.

Our bibliographers make a book-in-hand match between each library profile and the description of every approval title, resulting in the automatic shipment of a copy of the book or the generation of a notification slip. The choice between shipping a book or a notification slip is based on instructions in the library's profile.

Books sent on approval can be returned if a library decides not to add them to its collection. However, once physical processing is applied to an account, returns can no longer be accepted except in the case of publisher defect or shipping error.

Before developing physical processing support for approval materials, our bibliographers and library collection development personnel review the returns rate on each account. Therefore, for new plans, it's advisable to allow a settling-in period of several months before scheduling processing. Established plans with very high return rates may first need to be re-profiled.

- **Maintaining profile performance**

To retain the integrity of the approval profile, information about items that would have been returned had they not been processed needs to be collected and evaluated to check whether it's necessary to modify the profile. Appropriate monitoring and evaluation standards and procedures vary from library to library and account to account.

The multi-part bibliographic slips supplied with books shipped automatically on approval provide a convenient method for reporting 'would have returned' items. Each slip contains the bibliographic and subject information used to allocate the book, and local information including account number and the price paid. The back of the second copy of the bibliographic slip has a checklist to record the reason(s) why the item would have been returned.

Most libraries opt to receive bibliographic slips with their automatic approval shipments, and it is our standard practice to insert them. Selectors or collection managers annotate the return slips for items they 'would have returned' had the account not received processing for later review with their account representative.

- **Continuations and standing orders**

In **bibliographic** applications—in GOBI, order confirmations, bibliographic and notification slips, invoices, and the supply of machine-readable shipping records—individual continuations and monographs in series are treated as monographs. In **cataloguing** applications, records are available only for items not catalogued as serials.

- **Duplicate control**

Physical processing renders materials non-returnable. For libraries with both approval plans and firm orders, coordination is essential to prevent unintended duplication and the consequent receipt of unwanted—but processed and, therefore, non-returnable—duplicates.

Duplication control is based on ISBNs and database relationships that link related editions (paper and cloth bindings, US and UK editions, co-published titles, etc). We maintain records for all current and forthcoming titles that are handled on approval. Incoming firm orders and standing orders are matched against approval records to prevent duplication.

When a potential duplicate is identified, the action taken depends

upon library instructions on our files. If a firm order is placed for a title not yet received but scheduled to be handled on approval, the approval copy will not be sent. If the title has already been shipped on approval, the order is returned (or, in the case of electronic orders, a status report is generated) with a note of the date on which the approval copy was shipped).

## Ordering support and e-order confirmations

Lindsay and Howes offers tools to support a variety of acquisitions workflows because we recognise that libraries have differing needs, preferences, and ordering procedures. Libraries can manage duplication control against the local system database or against Lindsay and Howes records of past purchases and current orders and allocations. They can:

- generate orders on GOBI or the local library system;
  - download GobiSelect records to provide bibliographic information for local order generation or, for orders placed on GOBI, download Electronic Order Confirmation Records (EOCRs);
  - submit non-GOBI orders in electronic or print format;
- and
- access and maintain acquisitions data on GOBI or the local system. Whatever the local situation, system support is available.

- **Order support components**

### GobiSmart

Using GobiSmart, the GOBI ordering screen can be customized to reflect local usage conventions. For ordering and selection applications, local data fields can be renamed, tagged as mandatory or optional, and structured to provide data formatting support and validation.

### GobiSelect/GobiExport records

GobiSelect records allow orders to be created in local systems without the local keying of bibliographic data. The creation and export of GobiSelect/GobiExport records is library-mediated. Records are output in MARC format and include selected transaction, bibliographic and local data.

The data is drawn from the GOBI database and library-specific information entered at the time records are selected for export. Files are available for pick-up from the YBP/Lindsay and Howes ftp site as soon as the library issues an export command. GobiSelect functionality is provided on a subscription basis.

### Electronic order processing

Many libraries generate orders on local automated systems that also have the ability to transmit the orders electronically. We can readily process orders submitted in a variety of standard and proprietary

electronic ordering formats including BISAC, Edifact, X12, ASCII-delimited files, and other library system-specific formats. Orders transmitted as formatted email messages can also be processed automatically.

An institution-specific filter is created for each electronic ordering account. Please allow two weeks for testing and implementation.

Printed and faxed orders are keyed into our order processing system.

#### Electronic order acknowledgements

Although all orders are accessible through the reporting facilities of GOBI, libraries submitting orders electronically require more direct confirmation of order receipt. We always confirm receipt of all e-orders by email (typically within five minutes of receipt). Separate e-order acknowledgements are generated for each batch of electronic orders.

The subject line of the order acknowledgement email contains the library's account number and the phrase 'YBP/Lindsay and Howes Order Acknowledgement'. If errors have been detected, '(errors)' is added as the last word in the subject line. The message includes a count of the number of order lines received and, if errors are detected, a count of the number of invalid line items. Diagnostics are provided for any errors.

#### Electronic order confirmation records for GOBI orders

Libraries ordering on GOBI can contract for the supply of Electronic Order Confirmation Records (EOCRs) in either MARC or ASCII format. When loaded to an automated library system or general applications software, EOCRs provide a record of orders placed without requiring local input of bibliographic or order data.

The bibliographic data in EOCRs is drawn from the GOBI database. The data elements available for output in EOCRs are essentially the same fields as are output in GobiSelect/GobiExport records, with the addition of the Lindsay and Howes order key that uniquely identifies the order created on GOBI.

Libraries choose which of the available data elements to output in MARC formatted EOCRs and mappings can be customized to meet local system requirements. In ASCII outputs, all elements are supplied in a fixed sequence.

#### GobiLink for Innovative Interfaces system users

The Innovative Interfaces Inc. (III) automated library system bases record matching and update on purchase order numbers that cannot be assigned outside the local III system. This could pose a problem for libraries wishing to place orders on GOBI, download EOCRs to the local system, and subsequently overlay these records with cataloguing and/or process electronic invoices.

With GobiLink, libraries place orders on GOBI and load MARC-formatted EOCRs to the local III system. In the local system, the EOCRs are processed to generate order records and associated purchase order numbers. The library extracts a file containing Lindsay and Howes order keys, which identify the orders in our system and the related III purchase order number. The file is placed on the YBP/Lindsay and Howes ftp site and processed to match each III order record number to the open order in the Lindsay and Howes system. The III order record number is then available for output in the cataloguing or shipping records, which are subsequently loaded to the III system.

(Systems from other library automation vendors support record matching and overlay on bibliographic data elements such as ISBN or LCCN and author or title, or allow external assignment of purchase order numbers. Libraries using such systems can obtain the full benefit of EOCR usage without using GobiLink.)

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## Shipping records

Shipping records are brief MARC formatted bibliographic records generated at the time materials are shipped. The records can be enhanced with invoice information and other local data. Shipping records load to automated library systems to support receipt processing and, on certain systems, electronic invoicing. Shipping records are available for accounts that do not receive cataloguing support.

- **GobiShip records**

GobiShip records are free and created from data in the GOBI database. All data is in upper case. GobiShip records are available for firm orders and approval shipments from Lindsay and Howes.

- **Library-specific local data**

A variety of library-specific information can be added to shipping records. The data can be mapped and formatted as required to meet the needs of specific automated library systems. (The same local data is also available for output in cataloguing).

### Invoicing and pricing data

Standard output includes invoice number and date, number of copies on the invoice line, list price, net price, tax, and currency code.

### Fund and location data

Fund codes can be returned for all orders and for fund-coded approval shipments. Location data submitted in electronic orders is also available for output. If required, constant fund and location data can be supplied for specific subaccounts.

## Other order data

Purchase order numbers can be returned in shipping records. And, for libraries ordering on GOBI, any and all additional local order data can be returned in shipping records, if required.

## Data manipulation

Limited data manipulation is available for shipping record data if required.

- **Shipping record format**

Shipping records contain a leader, a directory, 001, 003, 008, 245, and 260 fields. Fields 020, 100, 250, and 490 are included when appropriate. Local data is supplied in the fields and subfields specified in individual library profiles. Field indicators are blank.

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## **Cataloguing support**

For materials purchased from Lindsay and Howes, cataloguing support is provided through PromptCat. The local data available for output in shipping records can also be supplied in PromptCat records. Physical processing services may be combined with the PromptCat service if desired.

- **PromptCat service**

### PromptCat processing elements

We use a flexible interface, which supports the definition of PromptCat treatment profiles on variables including subaccount, fund code, location code, and OCLC 4-character holding library code. The interface accommodates the use of default codes, codes recorded by the library when placing orders, and/or those assigned by us during approval profiling.

To ensure that a PromptCat profile takes full advantage of our capabilities, libraries are encouraged to discuss their needs with a Lindsay and Howes Technical Services Specialist as soon as a decision is made to consider PromptCat service options.

### Service specifics

OCLC provides a detailed description of PromptCat at <http://www.oclc.org/oclc/man/10265pcat>. Options include choice of record level, record source, and record type, and the generation of spine label print files in the LC, Dewey, or NLM classifications. Dewey libraries have a choice of four Cutting approaches.

All the local library-specific data that can be added to shipping records is available for pass-through to PromptCat records. PromptCat supports the copying of call number data to local fields and spine label qualification based on the characteristic(s) used as processing

elements in a library's PromptCat profile. Height-based spine label qualifiers are not supported, nor is item-specific piece information available for output on spine labels.

#### Hit rates

We experience high hit rates for PromptCat submissions—more than 90 per cent. The actual percentage of records delivered varies with the record source and level decisions embodied in each library's PromptCat profile. The availability of cataloguing data in a specific classification varies with record source selections.

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## **Electronic invoicing**

Lindsay and Howes supports the electronic invoicing formats of individual library system vendors. E-invoices are provided free of charge.

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## **Physical processing**

As with cataloguing and bibliographic record services, each library selects the package of processing services that best meets its needs. Physical processing services can be supplied alone, or in combination with PromptCat support. The percentage of titles for which spine labels can be generated depends on the library's PromptCat profile and the availability of records on OCLC.

- **Introduction**

Before implementing physical processing, a technical service specialist works with the library to define service requirements and identify exception situations and procedures. Written specifications are prepared and submitted for confirmation or modification.

Physical processing is performed in a production line environment. All materials in a shipment for a single subaccount are processed at the same time. Manifest submission to PromptCat and physical processing are handled in different departments. Processed materials ship within one week of the date on which they would have been dispatched without processing.

These parameters and the need to ensure consistently reliable, high-quality service impact on shelf-ready service options. For example, stamping and bar code application and placement can be varied by subaccount or by type of binding—paper or cloth—but not by fund or location code, as these characteristics are not visible to service technicians on the processing production line. Fund and location codes are accessible in the records from which spine label print files are generated.

Physical processing is available for print materials only. Because of the wide variation in library preferences for the processing of non-print materials, there is insufficient commonality on which to develop an

outsourcing service template.

Libraries ordering significant quantities of non-print materials are encouraged to order these on subaccounts not scheduled for physical processing. For books with non-print attachments or accompanying pieces, most profiles call for the parent piece to be flagged to alert library personnel to the presence of material requiring library review and protection.

- **Quality assurance**

Quality control is essential to successful physical processing, both for libraries and for Lindsay and Howes. For approval accounts, quality control in allocation is key as processing renders items non-returnable.

For all accounts, detailed specification is the first step in quality assurance. This is supported by a planned series of controls at every step of processing. All materials submitted for processing receive additional physical quality checks prior to processing.

On completion of processing, each shipment is reviewed by a quality partner prior to dispatch. Each member of the production team handling an account is aware of the processing specifications for the account, and is encouraged to question apparent anomalies or quality issues. The processing units are proud of the work they do, and place a premium on meeting library expectations.

Feedback is an essential aspect of quality control, as is a commitment to finding approaches that meet a library's requirements within the realities of the production operation. Once a service package has been defined and agreed, library administrators and Lindsay and Howes personnel continue to fine-tune requirements and capabilities as required.

- **Processing supplies**

We provide all processing supplies except bar codes and any ownership stamps that contain graphics, unique typefaces, or unusual layouts. Regular service entails use of standard supplies from established library vendors. Standardisation simplifies warehousing and reduces the incidence of errors in materials selection. Sources, catalogue numbers, and samples of specific processing materials are available on request. Name brand security devices are used in all physical processing.

We work with libraries to accommodate the use of customised printed supplies such as imprinted Checkpoint security devices, date due slips, book pockets, book-plates, etc. No water or glue is used in processing lines, so any custom items must use pressure-sensitive adhesive.

- **Specific services**

Below are some of the physical processing services most frequently requested by libraries:

## Paperback protection options

Although we do not currently provide a bindery service for materials shipped by us, we do offer alternatives to conventional binding.

Lindsay and Howes offers three paperback protection options which are more cost effective than conventional binding and can be delivered without delaying the routine processing services. They are:

- Easy Cover®  
Two-piece polyester cover for paperbacks. Rigid, self-adhering 15-mil front and back with 2-mil spine covering. Easy Cover® and any associated processing services add no more than one week to delivery date.
- Cover-Ups®  
Rigid, 10-mil polyester covers for paperbacks. The rigid, self-adhering material is scored at the centre of the cover to give a snug fit on spines of varying widths. Cover-Up® application and any associated processing services add no more than one week to delivery date.
- Lyfguard®  
Rigid, 12-mil PVC covers for paperbacks. Self-adhering. The centre of the cover is made of 4-mil flexible polyester. Lyfguard® application and any associated processing services add no more than one week to delivery date.

## Hinge reinforcement

Hinge reinforcement is available for paperbacks which receive cover protection.

## Jacketing

For books with separate dust jackets. The loose jacket is encased in a sleeve of clear 1.5-mil polyester film and white backing paper. The ends of the cover are folded in place and the jacket is secured with acid-free adhesive tape. The treatment attaches the jacket to the volume, protects and highlights text and artwork, and adds body to the jacket. Mylar jackets are available in either matt or glossy finish. Jacketing and any associated processing services add no more than one week to the receipt of materials.

## Treatment of jackets

As described above, jackets can be encased in mylar; or they can be discarded, sent creased **in** books, shipped separately **with** books, or retained **on** books.

## Theft detection devices

Supply and insertion of theft detection devices from 3M, or Checkpoint.

## Ownership stamps

Application of stamps cut from library-supplied copy. Stamping

follows library specifications for the number and placement of impressions, and for ink colour. Where an item is too narrow for edge stamping; has coloured edges or pages; or unique illustrations, text, or attachments in the preferred stamping location, special treatments can be agreed.

#### Bar code application and scanning

Application of library-supplied bar codes per library specifications. Different types of bar codes or placement can be defined for paper and cloth bindings—piggyback bar codes for paperbacks, for example. Libraries receiving cataloguing support usually opt to have bar code numbers scanned for output in PromptCat records.

#### Spine and book labels

Spine and book labels can be generated for subaccounts receiving PromptCat support. Spine label availability varies with the encoding level and cataloguing source choices established in each library's PromptCat profile, and the availability of the preferred classification in PromptCat records. Fund and location-based call number qualification is supported. Item-specific piece information is available only when recorded in the OCLC source record. Libraries using the Dewey Decimal Classification choose from several predefined Cuttering options.

Book labels are available for titles for which spine labels are generated. They are output in the same type and font size as spine labels on adhesive or foil-backed stock. Book labels contain call number, author and title data.

#### Label printing

We offer plain adhesive-backed, foil-backed and Se-Lin® heat-applied label stock. Standard label stock is 9/10" wide. Adhesive labels are 1-6/10" long. There is no limit to the length of Se-Lin labels. The default typeface is Century Gothic in 12 or 10 point.

#### Label application

We can apply spine and book labels following agreed specifications. Exception positioning is offered when routine placement is inappropriate, such as when a spine is too narrow to accommodate the label or there is unique text or graphics in the location specified for book label application. Label protectors are routinely applied to protect adhesive and foil-backed spine labels. Se-Lin labels are self-protecting.

#### Date due slips

We offer several generic date due slip options using pressure sensitive adhesive: temporary or permanent top or edge adhesion and, for application over radio frequency theft detection devices, full-back adhesive labels. The service can also accommodate library-supplied custom slips with pressure sensitive adhesive.

## Book pockets/cards

The standard service uses generic pockets with pressure-sensitive adhesive. Several styles are available.

## Shelf list cards and catalogue card sets

Libraries obtain catalogue cards direct from OCLC as part of the PromptCat service.

## Other products and services

From time to time, libraries request other services such as embossed ownership markings, the application of call numbers to the back of title pages, or the use of colour-coded spine label protectors. Such procedures can often be incorporated into an outsourcing service package.

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### Implementation

Technical services support is based on a written specification detailing the library's service parameters. The document is prepared following detailed discussions with library personnel via phone, fax and email. For libraries seeking cataloguing, specification support includes discussion and clarification of PromptCat service parameters and assistance with completion of the PromptCat order form service. Once established, specifications can readily be modified to meet changing library needs.

- **Turnaround**

Physical processing adds no more than one week to the time between allocating a book to a library and shipping date. The supply of PromptCat records rarely adds a discernible delay to the shipment of books.

- **Our expectations**

Lindsay and Howes is committed to ensuring the success of every contract for technical services. We are proud of our reputation and make every effort to sustain it. However, we recognise that our efforts will fail unless we work closely with each technical services customer to establish an effective partnership.

In entering into a partnership for technical services support, we ask that a library:

- nominate a single contact person to serve as the liaison with Lindsay and Howes
- allow up to six weeks from finalisation of detailed specifications and OCLC's completion of the PromptCat profile to dispatch of the first shipment of processed materials
- establish and implement procedures for regular evaluation of the work performed
- provide timely feedback
- commit to working with us to identify and resolve any challenges

- that develop in the course of the technical services relationship
- understand that, except in cases of publisher defect or an error by Lindsay and Howes, materials cannot be returned once they have received physical processing.

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## Terms and conditions

- **Pricing principle**

Pricing for records and processing services is quoted separately from collection management services and book purchases. This maximises the discount for books and clearly identifies the cost of processing, making it possible for a library to easily compare the cost of our technical service support with library costs and other processing alternatives.

- **Non-returnable policy**

Processed books are non-returnable, except in cases of publisher defects or Lindsay and Howes error.

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## Pricing

The Lindsay and Howes Technical Services Price List sets out individual charges for each procedure. However, pricing is presented in proposals and specifications as a combined fee for the package of services defined for a particular subaccount and billed at a specific per volume charge. The charge applies to all materials shipped on the subaccount. Strengthening and jacketing treatments are excluded from package pricing and, instead, are billed at list price as used.

- **Acquisitions and collection development aids**

Access to standard GOBI, customised bibliographic support and standard management reports is provided free of charge. Substantial retrospective projects involving data storage, duplication controls and holdings manipulation may incur fees.

- **Access to OCLC services**

We charge a fee for each invoice line passed to OCLC's PromptCat service. Administrative fees may accrue for coordinating services with OCLC's TechPro facility or any other third party cataloguing or processing service.

- **GobiSelect/GobiExport and Electronic Order Confirmation Records (EOCRs)**

These acquisitions support services attract an annual subscription fee.

- **GobiShip records**

GobiShip records are supplied gratis, unless separate electronic invoices are also generated for the subaccount.

- **Electronic invoicing**

No fees are charged for the supply of electronic invoices. Paper invoices are generated for all shipments.

- **Additions to shipping and PromptCat records**

Invoicing and pricing data

Invoicing and pricing data is made available for inclusion in shipping and PromptCat records, free of charge.

Bar code data

Scanning of bar code data and positioning that data in the specified field and subfield of shipping or cataloguing records is priced as a physical processing operation.

Pass-through of local data submitted electronically

There is no charge for the direct pass-through of data included in orders submitted electronically. Such pass-through does not entail data selection, manipulation or processing. Information in a defined input field is retained and output in a specified field and subfield in shipping or cataloguing records.

Keying local data

For orders that cannot be processed electronically, the standard fulfilment service includes transcription of a purchase order number and a fund code, if required. In some instances location data can also be transcribed.

There is no charge for the output of this data to a specified field and subfield in shipping or PromptCat records.

Custom data manipulation and/or processing

Standard services include some data manipulation (the capture or generation and re-arrangement of purchase order numbers, fund and location codes etc) for output in shipping records and PromptCat manifests. Additional data manipulation or processing may attract programming fees. Library requirements and cost implications are considered case by case.

- **Pricing processing services**

While the Lindsay and Howes Technical Services Price List shows individual charges for each procedure/operation, physical processing services are billed at a single per volume charge, which covers all services other than jacketing and strengthening treatments. The per-volume charge applies to all volumes on subaccount(s) receiving processing support.

- **Jacketing and covering treatments**

Jacketing and covering treatments are billed at list price as used.