

## INTERLIBRARY LOAN POLICIES

Interlibrary loan operations require basic policies which inevitably have to be expanded by more detailed policies. If it is difficult to reduce these policies to written statements, it is even more difficult to keep them current. But it is essential to try!

Interlibrary loan policies are best organized in two parts:

- A. INCOMING (lending) activities, involving requests from other libraries for access to material in your library
- B. OUTGOING (borrowing) activities, involving requests from your library's clientele for materials which are not owned by your library.

INCOMING (lending) policies can probably be summarized effectively on your library's "policy statement", which is usually represented on the semi-standardized form which libraries exchange with their interlibrary loan contacts. Two samples are attached -- the first is a typical one, the second, experimental. However, a library will need secondary lending policies which are not revealed by the standard policy form. Some lending decisions a library may need to make include the following:

1. WILL YOUR LIBRARY MAKE JUDGMENTS ABOUT THE ELIGIBILITY OF BORROWING LIBRARIES? Will you supply without question widely owned materials requested by distant libraries? If yours is an academic library, will you lend to a public library materials which you know to be available from other public libraries? What weight will you give to proximity and type of library in determining the appropriateness of requests? And how much effort are you willing to go to in order to evaluate such requests?
2. WILL YOUR LIBRARY MAKE JUDGMENTS ABOUT THE ELIGIBILITY OF THE BORROWING LIBRARY'S PATRON? For example, if the patron's status is "undergraduate", will your library refuse to supply the materials requested? Since the major effort in an interlibrary loan transaction is generally undertaken by the borrowing library, many lending libraries are willing to accept without question requests for patrons which have been found eligible by the borrowing library. Even that policy is not always desirable, though: for example, you might be willing to allow a family chronicle out of your library for a professor of history, but not for an amateur genealogist. Another consideration: if you are at an academic library which does not borrow for its undergraduates, how will you feel when such a student wants a book which you have made unavailable by lending it to another library for the use of an undergraduate there?
3. WILL YOUR LIBRARY MAKE JUDGMENTS ABOUT LENDING MATERIALS WHICH CIRCULATE IN YOUR LIBRARY BUT MAY SEEM INAPPROPRIATE FOR INTERLIBRARY LOAN? For example, it might cost your library more to lend a paperback novel than it would cost the borrowing library to purchase it -- would you lend it anyway? Will you spend time and energy scrutinizing incoming requests in order to identify such inappropriate requests? If your library is in a university, will you lend your dissertations? Will you enter into reciprocal dissertation lending agreements with other libraries? Will you lend audio-visual materials?
4. WILL YOU LEND MATERIALS ON INTERLIBRARY LOAN WHICH DO NOT CIRCULATE AT YOUR LIBRARY? For example, you might decide to lend to a distant library local history materials which do not usually circulate, since the material is unique to your library and therefore not otherwise accessible. Would you lend these to some libraries? any library?

5. HOW WILL YOUR LIBRARY REACT TO IMPROPERLY PRESENTED INCOMING REQUESTS? Will you attempt to unravel garbled requests, decipher abbreviated titles, search for unverified citations?

6. REGARDING COPYRIGHT, HOW WILL YOUR LIBRARY RESPOND TO REQUESTS WHICH YOU BELIEVE VIOLATE THE LAW? -- e.g., two requests from the same issue of a journal. WILL YOUR LIBRARY REQUIRE REPRESENTATION OF COPYRIGHT COMPLIANCE ON INCOMING REQUESTS FOR PHOTOCOPIES? The CONTU Guidelines, which stipulate that the lending library must require such representation (those little boxes on the ILL form), are not a part of the copyright law itself; therefore, their force is uncertain. If you decide you do want to act as an enforcer of the law, how will you deal with the request which has both boxes checked?

7. WILL YOU RECALL ONE OF YOUR LIBRARY'S BOOKS FROM A LOCAL PATRON IF IT HAS BEEN REQUESTED BY ANOTHER LIBRARY? Will you place a reservation on a book which has been requested by another library? If so, will you volunteer to do this, or only comply with such requests?

8. WILL YOUR LIBRARY LEND MATERIALS TO REPRINT PUBLISHERS? If so, under what conditions?

9. HOW WILL YOUR LIBRARY TRANSPORT THE MATERIALS IT LENDS? Post Office? UPS? What materials will you send where at what rates? Will you insure packages?

10. WILL YOUR LIBRARY CHARGE FOR LENDING TRANSACTIONS? PHOTOCOPYING? POSTAGE? How much, and to whom? Will you impose handling fees? Minimum charges? How will you bill/invoice for these charges? How will you handle the money you collect? Will you enter into reciprocal agreements with other libraries concerning charges?

OUTGOING (borrowing) policies: Libraries which handle a considerable number of outgoing transactions may find it advisable to create some sort of explanatory brochure to outline their policies. Among the decisions to be made are the following:

1. WILL YOU USE THE SAME FORM FOR ALL REQUESTS? Or will you use a different form for photocopy requests and loan requests? Will you require an interview with the requestor, or will you allow requests to be mailed or dropped in a box? Will you accept telephone requests? How will you receive an indication of copyright compliance?

2. FOR WHOM WILL YOU BORROW? At a public library, will you borrow for any patron? Students enrolled in college? Children? At an academic library, will you borrow for undergraduates? Will graduate students need to be currently enrolled? Will students need permission of faculty members to use the service? Will you borrow for staff? Will you regard teaching fellows and "post docs" as faculty?

3. WHAT WILL YOU BORROW, HOW MUCH, AND FOR WHOM? Will you attempt to borrow current fiction? genealogical materials? books in print? juvenile books? Will there be a limit on how many transactions you will undertake for one patron? How many attempts will you make to obtain a hard-to-borrow item?

4. REGARDING COPYRIGHT, HOW WILL YOUR LIBRARY INTERPRET THE CONTU GUIDELINES' POSSIBLE EFFECT ON BORROWING? How will you respond to patrons' questions about the copyright notice? What about patrons' apparently illegal requests and plans?

5. WHERE WILL YOU BORROW WHAT, AND FOR WHOM? Some libraries will not borrow out-of-state, or outside of some special network, for some types of materials and/or patrons. What rationales will you use in choosing the libraries from which to attempt to borrow?

6. WHAT INFORMATION WILL YOU REQUIRE YOUR PATRON TO SUPPLY? Some libraries require that items be verified (cited in a standard bibliography, like the National Union Catalog) by the patron. Others insist on at least some source of reference. Probably no interlibrary loan service consistently requires the verification it prefers.

7. WILL YOU CHARGE FOR THE SERVICE? A nominal fee might eliminate some frivolous requests. Will you attempt to recover such costs as postage, extraordinary postage, or OCLC charges? If the lending library charges for loans, will you pass that cost on to your patron? How about photocopy charges? Will you impose overdue fines on patrons who return materials after the due date? Will you inform your patrons in advance about possible charges? How?

8. WILL YOU COMPLY WITH PATRONS' REQUESTS TO ASK FOR RENEWALS? The national code says that renewals should be sought only in unusual cases; how will you determine which cases qualify?

9. HOW WILL YOU DEAL WITH THE "PROBLEM PATRON"? Will you be authorized to refuse to serve patrons who have behaved irresponsibly in the past?

10. WILL YOU IMPOSE RESTRICTIONS GREATER THAN THOSE REQUIRED BY THE LENDING LIBRARY? For example, you might deem it prudent to make some loans for "library use only" even when the supplying library has not so stipulated.

These are the kinds of questions that occur in implementing interlibrary loan activities. It is worth the time and trouble to think about them and devise your responses before the questions arise in everyday operations.

## PROBLEM TRANSACTIONS

### GENERAL

- The borrowing library is responsible for all costs charged by the lending library, including transportation and insurance. The lending library generally absorbs any nominal costs such as postage.
- THE BORROWING LIBRARY IS RESPONSIBLE FOR BORROWED MATERIALS FROM THE TIME THE ITEM LEAVES THE LENDING LIBRARY UNTIL IT IS SAFELY RETURNED TO THAT LIBRARY. THE BORROWING LIBRARY MUST PAY FOR THE REPLACEMENT OR REPAIR OF LOST OR DAMAGED ITEMS ACCORDING TO THE WISHES OF THE LENDING LIBRARY.
- The National Interlibrary Loan Code states (IV., I.): "The safety of borrowed material is the responsibility of the borrowing library from the time the material leaves the lending library until it is received by the lending library. The borrowing library is responsible for packaging the material so as to ensure its return in good condition. If damage or loss occurs, the borrowing library must meet all costs of repair or replacement, in accordance with the preference of the lending library." THIS IS TRUE EVEN IF THE MATERIAL IS NEVER RECEIVED, OR IS RECEIVED IN DAMAGED CONDITION, BY THE BORROWING LIBRARY.

### SWITCHED ITEMS

A mix-up can occur if labels are accidentally affixed to the wrong packages. If you receive a package intended for another library, look for a duplicate mailing label or the pink ILL form which should accompany the material. Send the material to the intended addressee, explaining the mix-up and requesting that they check to see if they received a package intended for you. Notify the lending library of the mistake as well, mentioning that perhaps your request was also mailed to an incorrect address. Mention the title (or other pertinent information) if you believe you know what it is. If you cannot identify the intended receiver, either contact the lending library to get the correct address, or return the item to them, explaining the mix-up.

### LOST ITEMS

1. After the initial request has been sent: If the requester does not receive a response from the lending library within 3-4 weeks, contact the lender asking the status of the request. This will determine if the original request was lost, if the item has not been sent, or if it has been sent but not received.
2. After the item has been sent by the lender: If the lender does not receive the material back within 1-2 weeks after the due date, the lender may wish to send an overdue notice. This will determine if the borrower never received the item, if the item has not been returned, or if it has been returned but not received.

The ILL form sent separately by first class mail will indicate when the package was mailed and can help determine if an item is lost. If, after the above communications have been made, it is determined that the item has been lost in the mail, a tracer should be placed on the item at the Post Office where the item was last mailed by the library which last mailed it. This can be done by telephone, or the tracer form can be filled out and taken to that Post Office. A report on the item should be received

from the Post Office within 2 weeks. A second tracer must be filed if you wish to have the item searched for again. The Post Office will keep lost items for 3-6 months; they are then auctioned off. If the item is indeed lost, the lending library should determine a charge for the item and bill the borrowing library.

Tracers should be filed on any identifiable item. The dead-letter office in Atlanta serves a 6-state region, and it receives many items, including numerous books and films. According to federal law, only Postal employees are allowed in the dead-letter office, so you cannot go check for lost items yourself. Therefore, be sure to provide as complete and accurate a description of the item as possible. Items mailed library rate go through the bulk rate office and receive rough handling; make sure that materials are properly packaged and that mailing labels are securely attached.

If the patron loses the material, notify the lending library immediately and ask what the charge is. Generally, the patron is expected to pay for lost materials, but the borrowing library is ultimately responsible for the debt.

## INTERLIBRARY LOAN RECORDS

From the time an interlibrary loan request reaches your library, there should be some sort of control over it. These records are important for two reasons: they allow you to manage the operation of interlibrary loan, and they are the basis for statistical analysis, whether simple or complex, of your activities. Your files can be maintained in a wide variety of ways; however, in all but the smallest operations, it will probably be best to maintain separate INCOMING (lending) and OUTGOING (borrowing) files. Both sets of files should provide for the various stages a request goes through, and, of course, the most appropriate access. Thoroughly organized files are easy to consult but expensive in terms of time and energy. You will need to decide whether to organize elaborate files which might never be examined, or to file more casually and run the risk of a very laborious searching effort when and if a given record needs to be retrieved.

INCOMING (lending) requests will either be supplied or not supplied. The lending library retains the top form ("A"). For those requests which are not supplied, the "A" form should be retained as a "negative", or unfilled request, for some period (probably not to exceed one year) since there may be inquiries about the request. There probably is no reason to place them in any particular order, since this is a file which will seldom be consulted. But it may be advisable to bundle these up periodically (at least annually) so the file does not become too large.

Of those requests which are supplied, at least two different types of records will need to be maintained. For those requests which involve materials to be returned, you will need an "outstanding" or "in use" (circulation) record. This file can be organized in whatever way you believe provides the easiest retrieval -- by borrowing library, main entry, title, or date, as you prefer. When loaned materials are returned, the items in this file of "A" forms will be transferred to a "completed" file. It is advisable to retain this record for some period of time, perhaps a year. Such records should probably be organized chronologically (monthly, quarterly, or yearly) and, if you wish, filed by some other factor (main entry, title, state, or institution).

For those materials which are not to be returned (e.g., photocopies), the transaction is finished when the material is supplied although, if there are charges, that step will remain. Once the billing is completed, the record can be "retired" to a "completed" file, to be handled like (or integrated with) the forms from transactions involving materials which were returned.

OUTGOING (borrowing) files probably need to be a little more complex. Request forms for which you have prepared an ILL form, OCLC workform, or TWX request will need to be filed in an "outstanding request" or "or order" file, which you may choose to organize by patron name, main entry, title, or OCLC ILL number. Some libraries back this file up with a separate file, organized on a different principle. For example, one library maintains a chronological "state" file, in which the gold slip ("D" form) from ILL forms or a copy of a TWX request is filed by the state of the library to which the request was made, and then by date. This allows another access to the main outstanding request file, which is arranged by patron name. This auxiliary file is helpful when a book arrives without a form. Since the OCLC records can be searched by transaction number, author, title, patron and institution, there is no need for an auxiliary file for those requests.

Once materials which have been requested are received, the record will be removed from your "outstanding requests" file and any auxiliary file, and placed in an "outstanding loans" file, which you will probably arrange in the same manner as the "outstanding requests" file. One library uses the "B" (report) form, which is sent separately by the lender to inform the borrowing library that the material is on its way, to create one file, and also maintains a separate file, using the original request card, organized by date due, in order to easily identify overdues.

When the material is returned, these records will be cleared, and you will be free to file either the original request form and/or portions of the ILL, TWX, or OCLC form, either together or separately, in a "completed" file, which you may want to organize chronologically (monthly, quarterly, or yearly) and, perhaps, by main entry, title, or patron within the time period.

How long you retain the completed files for both incoming and outgoing requests will depend on your clientele and your own wishes, though your copyright file, which is discussed in the copyright section of your packet, must be retained for three years. It is wise to set up "disposition standards" so that you will have a regular schedule for discarding retained files.

#### STATISTICS

Collection and analysis of data on interlibrary loan transactions varies greatly from library to library. Most libraries count at least the number of filled and unfilled requests (separately for incoming and outgoing requests), usually by format. Though many libraries recognize three formats -- books, photocopies, and microforms -- it is probably more practical to use only two -- returnable and nonreturnable -- as the categories. Information about costs, the libraries with which you deal, and their type and location may also be sufficiently useful to warrant the effort required. It will be necessary to decide at what point in a transaction counting is to be done; it is easiest to count when a transaction is completed, though other systems are used.



Many items used in interlibrary loan, such as the ALA request form, mailing labels, and the copyright notice stamp, can be purchased through library supply houses. Addresses and telephone numbers are listed below for four of these companies--simply ask for a current catalog.

1. Brodart, Inc.  
1609 Memorial Ave.  
Williamsport, PA 17705  
Toll-free (800) 233-8467

3. Gaylord Bros., Inc.  
Box 4901  
Syracuse, NY 13211  
Toll-free (800) 448-6160

2. Demco Educational Corp.  
Box 7488  
Madison, Wisconsin 53707  
(608) 241-1201

4. Larlin Corp.  
P.O. Box 1523  
Marietta, GA 30061  
(404) 424-6210

# Memorandum



**To:** Academic and Special Libraries

**From:** Lucia Patrick, Consultant  
Division of Public Library Services

**Subject:** Procedures for using GLIN, Revised November 1980

A. Submitting requests to GLIN.

1. Use GLIN for bibliographic verification and interlibrary loan locator service only.
2. Limit call to 5 requests or less in order not to tie up the line.
3. Give full bibliographic information for each request, including verification or source of citation. If unable to verify, give list of sources checked.
4. If there is no immediate deadline for borrowing materials, requests may be submitted by mail on letter-size paper. Lists should be typed triple-spaced, alphabetized, and with full verification or citation.
5. Do not ask for a particular GLIN staff member always to handle your requests. Ask for a specific person only when you have additional information or need to check on a prior request.

B. GLIN locator Service.

1. Union Catalog requires that all bibliographic details be verified before we call them.
2. When SOLINET and/or the Union Catalog is able to provide several locations, GLIN reports only Resource Centers. If neither is able to locate materials at a Resource Center, other Georgia Library locations will be provided if possible.
3. If neither is able to furnish any Georgia locations for requested materials, GLIN will attempt to find out-of-state locations through SOLINET, National Union Catalog, or other available union lists.

C. Interlibrary loans and transaction numbers.

1. When requested material is located at a Resource Center, GLIN will furnish a transaction number. This number should be placed on the interlibrary loan request form in the space at the top of the form above the name of the borrowing library.
2. No transaction number will be given, or is needed, when the location is not a GLIN Resource Center.

3. GLIN will lend materials available in the Readers Services collection. No transaction number will be needed for these interlibrary loans.
4. Transaction numbers should not be used when requesting photocopy for replacement pages of materials in your collection.
5. If one Resource Center is unable to fill your request, use the same transaction when submitting your request to another Resource Center. Do not submit duplicate requests simultaneously to two or more libraries.
6. If you need to request an item you have borrowed previously, please call and request a new transaction number. Do not use the same transaction number used before. Resource Centers are reimbursed for each transaction number they report to GLIN as a filled interlibrary loan request.
7. Resource Centers may impose fees for photocopying, handling of materials, or for interlibrary loan transactions. Such fees are not covered by the GLIN reimbursement program and are the responsibility of the borrowing library.
8. All GLIN members are expected to follow the Georgia Interlibrary Loan Code and the procedures outlined in Sarah K. Thomson's Interlibrary Loan Procedure Manual (ALA, 1970) when making interlibrary loan requests.

## PATRON INTERVIEW

### I. Things the librarian or ILL worker needs to know:

1. Is this person eligible for ILL according to the policies of my library?
2. Has the patron provided adequate bibliographic information?
  - author or editor?
  - title?
  - place and publisher?
  - date of publication?
  - author, title, volume, date, and pages of article?
  - correct title of periodical (especially if abbreviated)?
  - series note, if applicable?
  - source of citation?
3. Has my library's collection been checked? If the bibliographic information is different from that provided by the patron, has our collection been double-checked?
4. What is the latest date the material can be used by the patron?
5. What is the maximum amount the patron is willing to pay?
6. Do I have enough information to contact the patron when the material arrives?
7. Does this request fall within the copyright law or guidelines?
8. Who else on the staff might be able to help me identify this material?

### II. Things the patron needs to know:

1. How long will it take to obtain the material through ILL?
2. What costs, if any, will be involved?
3. How will I be notified when the material arrives?
4. When is the material due back in the library?
5. What are the restrictions, if any, on use of the material?

### III. The patron should also understand that:

1. He or she must give you as complete and accurate a citation as possible to ensure that the correct item is ordered;
2. That ILL is not a right, but a privilege, and there is no guarantee that, if you send a request, the material will actually be loaned.

### IV. Suggested readings on the patron interview (not just for ILL):

1. Bunge, Charles A. "Seekers vs. barriers; getting information to people: your role." WISCONSIN LIBRARY BULLETIN, March-April, 1974, vol. 70, pp. 76-78.
2. Corth, Annette. "Corth's commandments." SPECIAL LIBRARIES, Oct./Nov., 1974, vol. 65, pp. 473.
3. King, Geraldine B. "Reference interview." RQ, Winter 1972, vol. 12, pp. 157-60.
4. Pritchard, Hugh. "Sensitivity at the reference desk." RQ, Fall 1971, vol. 11, pp. 49-50.
5. Boucher, Virginia. "Nonverbal communication and the library reference interview." RQ, Fall 1976, vol. 16, pp. 27-32.

## ETHICS AND RECIPROCITY INVOLVED IN INTERLIBRARY LOAN

There are certain courtesies and responsibilities implied in using interlibrary loan which help both borrower and lender complete the transactions with greater efficiency. It should always be remembered that these transactions are costly for both libraries. In the early 1970's cost estimates per transaction averaged around \$4.00 for lending and \$6.00 for borrowing. The variation in estimated lending costs depends on how much of the work is done by professionals and whether any attempt at verification is made by the lender. These costs would work out much higher today due to rises in the cost of such things as wages and postage. This is illustrated by the charges that some libraries have had to place on lending. This is not mentioned to discourage the use of interlibrary loan (with rising costs interlibrary cooperation is vital) but rather to emphasize the need to weigh alternatives. The following things should be considered when interlibrary loan is being considered.

1/ Interlibrary loan should not be a substitute for collection development. Any material that must be requested on interlibrary loan should be considered for potential purchase instead. Books in Print should be consulted for availability and price. Try not to request in-print material that is available in paperback for less than the interlibrary loan cost to borrower and lender.

2/ It is most important that all your public service staff understands the availability of interlibrary loan and can explain the realities as far as what can and can't be borrowed and the time frame, costs and restrictions involved. They must have the skills to determine whether the patron really needs the specific title requested or whether it is simply information that is needed. If information is what is needed, it may well be available from other sources in your own library to which your skills can provide access. Also consider local non-library resources as possibilities for obtaining information before deciding on interlibrary loan. Limit the number of things borrowed for one reader to what he can realistically complete in two weeks.

3/ Recognize that interlibrary loan is dependent on the cooperation of the lending library. In Georgia, libraries are extremely generous about lending. However it must be remembered that each library has a primary responsibility to the clientele it was created to serve and that the budget crunch is hitting large libraries as well as small ones. Therefore do not automatically borrow from the largest library when you have several choices of location. Use local libraries whenever possible. Never request something from one of the large Georgia libraries that you do not know it owns. It costs the lender to even determine that they do not own something and it is

simply not fair in a state that has a Union Catalog including the complete holdings of these libraries and a service such as GLIN for libraries that cannot afford direct service from the Union Catalog.

EVERY LIBRARY SHOULD FEEL A RESPONSIBILITY TO:

1/ Participate in interlibrary loan as a lender as well as a borrower, and to lend as generously as possible.

2/ Have personnel who know how to correctly process both borrowing and lending requests.

a/ When borrowing: 1) Provide complete bibliographic citations in Library of Congress form which have been verified (by you or by GLIN). 2) Do not abbreviate in bibliographic citations. 3) Carefully proofread all copy before sending. 4) Use standard interlibrary loan form and fill it out completely. 5) Verify ownership of item. 6) Know the lending policies of libraries you deal with and work within them. 7) Follow instructions of lender in all aspects of transaction (use of material - i.e. "library only", special handling, packaging, insurance, etc.)

b/ When lending: 1) publicize your policies for lending and photocopying (if you don't have policies written down, you should). 2) Process requests promptly. 3) If you can't lend something, explain why. 4) Provide photocopy service and try to charge as little as possible (perhaps you can agree with local libraries not to charge to avoid the cost of billing). 5) Search your card catalog carefully. 6) Search for missing items you are supposed to own. 7) Send alternative editions when "only this edition" is not marked on form. 8) In general, be as helpful as possible.

3/ Make their resources known to neighboring libraries.

Libraries which do these things can establish reciprocity of a kind with the larger libraries which may not need to borrow from them but would certainly appreciate a leveling of the lending load. Several local consortia have developed in Georgia and all libraries should join the one in their area if they don't already belong. The CGAL/SGAL Union List of Serials covers nearly fifty libraries outside of the Atlanta area and is relatively inexpensive. BE SURE TO HAVE THIS LIST AND USE IT! Remember it also benefits the borrower to borrow locally since the time factor is shortened.

APPENDIX B

RML Network Document Delivery Plan

A. Goal

To provide health professionals with timely access to and delivery of information through the effective utilization of the nation's health science library collections.

B. Objectives

- Develop an efficient and cost effective process for requesting, referring, and delivering items.
- Develop and distribute locator tools, beginning with tools to locate serials, through which potential lending institutions can be identified for specific items.
- Provide standardized policies and procedures to assure appropriate regional consistency within the national network.
- Investigate and test methods of document delivery.
- Develop interfaces with other document delivery networks.

C. The Network

1. Libraries in the United States with collections in the health sciences may be included in the RML Network. As participating institutions, libraries accept the goal and objectives of the RML Network Document Delivery Plan.

2. Network institutions are divided into four categories based on ability and willingness to assume responsibility for document delivery.

a. National Library of Medicine

NLM's responsibilities include national coordination and interfaces with other national document delivery networks, provision of document delivery services (for print or non-print material) to augment regional resources; the collection and distribution of management data to monitor network performance; and the development and support of an automated document delivery routing, referral, and data management system utilizing initially the National Biomedical Serials Holdings Data Base.

b. Regional Medical Libraries (RMLs)

Each RML will be responsible for developing and implementing a regional document delivery plan, including the selection of resource libraries, consistent with the national network plan; coordinating the collection and maintenance of regional locator data; managing the reproduction and distribution of regional and sub-regional locator tools; and serving as a backup for requested items not available elsewhere in its region. RMLs also assist in the interpretation of data and the fostering of cooperation in activities relating to collection development and collection maintenance; interfacing with other document delivery networks; and participating in exploring improved methods of delivering documents.

c. Resource Libraries

In this category are libraries with sufficient collections and current acquisitions selected by the RML to provide document delivery service including referrals, in accordance with network policies and procedures, primarily to a specific subregional area or to a larger geographic area as a specialized resource. Resource libraries must contribute and maintain holdings data in national locator tools and participate in other regional programs.

d. Basic Health Science Libraries (BHSL) /

This category, which includes hospital libraries, academic health science libraries and other network participants which do not serve as resource libraries, normally represents the health professional's first point of access into the Network. BHSLs should contribute and maintain holdings data into the national locator tool, whenever possible. These libraries are encouraged to develop adequate resources to respond to their users' needs and to cooperate with other local libraries to share resources before forwarding non-available requests to appropriate resource libraries.

D. Interlibrary Loan Service

1. Health professionals are expected to access the network through the nearest network library with which they are affiliated. Libraries are expected to process requests from other institutions to the extent they are able. The network libraries shall make optimum use of local resources before forwarding non-available requests to appropriate resource libraries.

2. Network libraries are expected to use available regional locator tools to determine the nearest library which holds the item desired and to send requests to that library. Initially, most regions will have serial locator tools only; later developments will include monographs and audiovisuals. The RML regional document delivery plan will provide for processing and delivery of items which are not listed in available tools, for which no regional locator tools exist, or for libraries which do not use available locator tools.

3. Requesting Patterns

a. Item Held at Nearest Resource Library

*Amway*

A network library which determines that the desired item is available at its nearest resource library submits the request to this library. A filled loan is subject to a charge, which shall not exceed the national maximum.

b. Held in Region but not at Nearest Resource Library

A network library which determines that the desired item is not available at its nearest resource library but is held at another resource library or RML in its region can submit the request directly to the library holding the item. Such filled request is subject to a charge which shall not exceed the national maximum.

c. Not Held at Regional and Resource Libraries

A network library which determines that the desired item is not held at its regional library or any resource libraries in its region can submit the request directly to NLM or to an RML in another region which holds the item. These inter-regional requests are subject to a charge, which shall not exceed the national maximum.

d. Held at the Resource Library or RML but not Filled

Any RML or resource library which cannot fill a request shall refer it, based on locator tool information, to another resource library in the region, RML, or NLM. No referral charge shall be levied if the request was based on locator tool information. The library filling the request, including NLM, may charge for providing the loan. Unless it is indicated on the request form that a desired item is unavailable in the region, NLM will reject requests not referred by a resource library or RML.

4. Filled loans or notices of non-fulfillment are to be sent directly to the originating library. This library will ensure that the user receives the loan or is notified of the disposition of the request.

E. Charges

1. There shall be a standard maximum charge for requests filled for network libraries. This charge will be set by NLM using data supplied by RMLs, resource libraries and a sample of BHSLS based on direct costs for processing all requests. Biennial surveys shall determine the need for any change in the maximum charge. The established charge should enable the network libraries to recover direct costs incurred and provide the service at a minimum cost to the users. An institution which fills the request may choose not to pass on the entire charge to the user. No separate charge shall be made for processing referrals or other non-available items in those cases where a locator tool was used.

2. A network HSL which sends requests directly beyond its nearest resource library without an indication that a regional locator tool has been checked and the resource library fills the request, shall be charged at a level not to exceed the national maximum for any loans filled.

3. A network HSL which sends requests directly beyond its nearest resource library without an indication that a regional locator tool has been checked can be levied a surcharge for handling if the library processing the request must refer it forward. This surcharge shall be established as part of the RML's regional plan.

F. Performance Data

1. Rationale

The basic objective of the collection and submission of performance data is to provide NLM management and the RMLs with data needed to assist in developing and implementing programs and services in a cost effective manner. This data enables the evaluation of existing performance and determination of trends and future needs. The data should also assist RMLs in programs of collection development, maintenance, and preservation.

2. Fulfillment Standards

The measure of fulfillment (fill rate) is calculated by dividing the number of received requests into the number of filled requests. An acceptable minimum level of performance for an RML or resource library shall be a 75% fill rate.

3. Throughput Standard

The RML will take a sampling of one week out of each quarter to determine the number of calendar days it takes to complete processing of filled and unfilled requests. Random sample techniques designed to assure 95% accuracy will be used in determining throughput. Network standards require that processing of 85% of filled loans be completed in four calendar days and that 85% of non-available requests be processed in seven calendar days.

4. Notification of Non-Availability

The RML will indicate reasons for not filling document delivery requests by including this information as specifically as possible (e.g., issue not owned, missing, etc.) in the "Remarks" portion of the interlibrary loan request form. The Contractor shall request that the resource libraries also provide this information in the same manner.

DRAFT

GUIDELINES FOR INTERLIBRARY LENDING  
ATLANTA HEALTH SCIENCE LIBRARIES CONSORTIUM

1. All procedures will be governed by the latest National Interlibrary Loan Code.
- 2.A. Realizing that a consortium thrives on the concept of mutual contribution and benefit, smaller collections should be considered first in locating a lender and requests rotated among larger libraries. Borrowing libraries will make an effort to distribute their requests as fairly and evenly as possible, borrowing least from those to whom they lend least. Individual libraries may set policies for lending according to their special circumstances.
- B. Realizing that some consortium members have more extensive resources or specialty collections and that unequal distribution of requests and heavy use of these resources often results,
  1. libraries with smaller collections must make contributions to consortium activities in other areas. These contributions may be reported formally.
  2. the borrowing library should be prepared to assume any costs charged by the lending library.
  3. libraries with smaller collections must use Document Delivery services or make other arrangements to provide for requests beyond the limit considered reasonable by the lending library.
3. Members may make requests by telephone or using ALA approved forms. No more than three requests should be made by telephone at a time. Individual libraries may require ALA forms.
4. Mailing labels should be distributed by the borrowing library to all lenders or should accompany request.
5. Citations should be verified. Lending libraries are under no obligation to search out incorrect references. Notation of verification is not necessary. Individual libraries may honor unverified requests at the discretion of the librarian.
6. Lending libraries will not be expected to refer requests for item not owned.
7. Legitimacy of the patron will be defined by the borrowing library.
8. Lending libraries should strive to process requests in 24 hours following receipt.

*No. of pages (25 total)*  
*Specific no. of requests both phone + form.*  
*No. of requests/mo.*

ATLANTA HEALTH SCIENCE LIBRARIES CONSORTIUM

GUIDELINES FOR INTERLIBRARY LENDING

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4. Mailing labels should be distributed by the borrowing library to all lenders or should accompany request.
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September 1980

ATLANTA HEALTH SCIENCE LIBRARIES CONSORTIUM  
GUIDELINES FOR INTERLIBRARY LENDING

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6. Lending libraries will not be expected refer requests for items not owned.
7. Legitimacy of the patron will be defined by the borrowing library.
8. Lending libraries should strive to process requests within 24 hours following receipt.
9. Borrowing libraries should use GDHR and GM only when their holdings are unique.
10. The following information MUST appear on each interlibrary loan photocopy:  
NOTICE: THIS MATERIAL MAY BE PROTECTED BY COPYRIGHT LAW (TITLE 17 U.S. CODE).
11. The consortium logo sheet concerning reciprocal agreement <sup>should</sup> is to be attached to each photocopy.

**ATLANTA HEALTH SCIENCE LIBRARIES CONSORTIUM  
GUIDELINES FOR INTERLIBRARY LENDING  
PROPOSED REVISIONS 9/95**

**Objective:**

To promote reciprocal lending among member institutions and to encourage the courteous and efficient use of interlibrary loan protocols. All guidelines are based upon the latest National Interlibrary Loan Code and the Document Delivery Manual, 4th edition, 1995 produced by the NN/LM SE/A.

**Responsibilities of borrowers:**

1. Members may make ILL requests via DOCLINE, OCLC (GOLD), by telephone, FAX or ALA-approved forms. Telephone requests should be limited to no more than three per day. Any rush request should be telephoned to the lending library. The lending library may still require DOCLINE or ALA forms as a backup. **DO NOT RELY ON A DOCLINE REQUEST FOR A RUSH!** Many institutions only check DOCLINE once daily and may miss the borrower's time deadline.
2. Borrowers should verify all citations. Lending libraries are under no obligation to search out incorrect references. Notification of the source of verification is appreciated. Lenders may honor unverified requests at the discretion of the librarian.
3. The legitimacy of the patron will be defined by the borrowing library. The borrowing library will also define "emergency" requests. Borrowers should exercise discretion when asking for rush or special handling of loans. Do not routinely include messages requesting priority handling of DOCLINE requests.
4. All libraries that participate in DOCLINE should conform to DOCLINE policies and the DOCLINE Memorandum of Understanding. Routing tables should be devised on the principle of smallest libraries in the first cells. Reciprocal agreements with other consortia and individual lending agreements may also be reflected in the DOCLINE routing tables. Revisions to the routing tables should be made in a timely manner. Minor adjustments may be made to tables twice a year with a telephone call to the Regional Medical Library office. Major revisions may be done annually but require submission of complete routing table documentation.
5. Borrowing libraries should make an effort to distribute their requests as fairly and as evenly as possible, borrowing least from those to whom they lend the least. Borrowing patterns should follow a policy of initial reliance upon smaller collections. DOCLINE participants should devise their routing tables to reflect this borrowing principle. Careful attention should be given to borrow/lend ratios regularly. When problems occur, it is the responsibility of the borrower to conform to policy. Lenders may use their discretion when they feel overburdened. Lenders may have the option of routing on, refusing to fill, or charging for requests when they have been overburdened by particular borrowers. However, it is preferred that lenders and borrowers confer

when inequities arise. Often adjustments to routing tables and other exercises in good judgement can alleviate problems.

6. Borrowers should submit their updated holdings list to University of South Carolina on an annual basis as required in the DOCLINE memorandum of understanding. Failure to submit holdings updates may result in removal from the DOCLINE system.

7. Borrowers should distribute mailing labels to member libraries. Lenders may prefer to use DOCLINE requests as cover sheets folded to show through window envelopes.

#### Responsibilities of lenders:

1. Members will check for incoming requests on a daily basis. This includes checking DOCLINE, OCLC, FAX machines, telephone answering machines, voice mail, US mail, etc. Requests that cannot be filled on DOCLINE or OCLC should be referred as soon as possible so that they may route on to the next potential lender. Lenders are under no obligation to refer ALA-requests, yet prompt responses are appreciated.

2. Lending libraries should process loan requests within 24 hours of receipt.

3. The following information **MUST** appear on each interlibrary photocopy:  
NOTICE: THIS MATERIAL MAY BE PROTECTED BY COPYRIGHT LAW (TITLE 17 U.S.CODE). A copy of the loan request should be attached to each filled request.

4. Lenders should make every reasonable effort accommodate emergency requests for materials, particularly when a clinical emergency has been noted.

5. DOCLINE lenders understand that strict daily restrictions on the number of requests sent to their library can not be accommodated by the DOCLINE routing system. Once a request has been entered into the system, it may be routed one or many times before it reaches the final lender. This process can take hours or days depending upon the nature of the request. Only regular patterns of continued overburdensome borrowing will be defined as an inequity requiring attention or possible changes to a borrower's routing table.

**ATLANTA HEALTH SCIENCE LIBRARIES CONSORTIUM**  
**INTERLIBRARY LOAN STATISTICS**  
**GUIDELINES AND PROCEDURES**  
*(approved May 16, 1996)*

1. The purpose of collection of Interlibrary Loan statistics shall be to monitor the balance of Interlibrary lending and borrowing between AHSLC members, on the basis of an annual sampling; and to determine percentages of member loans which are paid vs. unpaid.
2. Interlibrary Loan statistics shall be sent to the AHSLC Statistician upon compilation or receipt by each member of the Consortium designated "Full" or "Limited", for the final three months of each calendar year (October, November and December), beginning 1996.
3. Information required includes:
  - Specific quarter and year covered by report
  - Name of Institution/Library submitting report
  - Number of ILL's Borrowed (filled only) from each AHSLC member
  - Number of ILL's Loaned (filled only) to each AHSLC member
  - Number of ILL's Borrowed and Loaned from and to members of the HSLCG (Health Science Libraries of Central Georgia) and other consortia
  - Number of ILL's Borrowed and Loaned from Others, in-state and out-of-state.
4. Acceptable formats for submission of statistics include any combination of the following:
  - DOCLINE monthly/quarterly reports
  - QuickDoc monthly or quarterly reports
  - Lotus or other spreadsheet monthly or quarterly reports
  - AHSLC Interlibrary Loan Activities forms by month or quarter
5. This year-end collection of statistical reports shall be routed to AHSLC members for review, upon request.
6. A cumulated report of periodic statistics shall be suspended at this time, pending further review.
7. The AHSLC Interlibrary Loan Cell Structure shall be reviewed and revised by the Collection Management Committee in the first quarter of each year, keeping in mind arrangements between individual libraries. The Cell Structure shall be based upon the total number of current journal subscriptions, the lending and borrowing balances reflected in the statistical survey, and a poll of each full and limited member.

**ATLANTA HEALTH SCIENCE LIBRARIES CONSORTIUM**  
**DOCLINE ROUTING TABLE-CELL STRUCTURE**  
**JANUARY 1996**

*The following is a revised routing table-cell structure for DOCLINE library users. The general numerical guidelines for placement are:*

<b>150 or less subscriptions</b>	-	<b>Cell 1</b>
<b>151-275</b>	-	<b>Cell 2</b>
<b>276+</b>	-	<b>Cell 3</b>
<b>HSLCG</b>	-	<b>Cell 4</b>

*There may be some exceptions to these guidelines, based upon library specialties, volume of borrowing vs. lending, or other factors; exceptions and changes are designated with an asterik\*. The goal is to maintain a balance of distribution between borrowing and lending that is comfortable for each library. Remember that smaller collections should be considered first in locating a lender, and borrow least from those to whom you lend least. A complete copy of the AHSLC Guidelines for Interlibrary Lending is attached. Note that AHSLC libraries should be assigned Cells 1, 2 or 3, and Health Science Libraries of Central Georgia (HSLCG) should be assigned Cell 4. Also note that non-AHSLC libraries with which you have special relationships may be added to Cells 1-4 as well.*

**CELL 1 LIBRARIES - 150 OR LESS CURRENT SUBSCRIPTIONS:**

<b><u>LIBID</u></b>	<b><u>INSTITUTION</u></b>	<b><u>CURRENT SUBSCRIPTIONS</u></b>
30604B	ATHENS REGIONAL MED. CTR. (new)	86*
30001A	COBB HOSPITAL & MED. CTR.	77
30322D	EGLESTON CHILDREN'S HOSP.	140
30312C	GA. BAPTIST COLL. OF NURSING (prev. Cell 3)	140*
30245B	GWINNETT HOSPITAL SYSTEM (new)	100
30281A	HENRY GENERAL HOSPITAL	85
30084A	NORTHLAKE REG. MED. CTR.	70
30342B	NORTHSIDE HOSPITAL (prefers to remain in Cell 1)	242*
30363A	SCOTTISH RITE CHILDREN'S MED. CTR.	140
30274A	SOUTHERN REGIONAL MED. CTR.	63
30327A	WEST PACES MED. CTR.	82

**CELL 2 LIBRARIES - 151-275 CURRENT SUBSCRIPTIONS:**

<b><u>LIBID</u></b>	<b><u>INSTITUTION</u></b>	<b><u>CURRENT SUBSCRIPTIONS</u></b>
30060A	KENNESTONE HOSPITAL	197
30312A	MERCER UNIVERSITY ATLANTA (prefers to remain in Cell 2)	300*
30342C	ST. JOSEPH'S HOSPITAL (previously Cell 3)	212*
30344A	SOUTH FULTON HOSPITAL	153

**CELL 3 LIBRARIES - 276+ CURRENT SUBSCRIPTIONS:**

<b><u>LIBID</u></b>	<b><u>INSTITUTION</u></b>	<b><u>CURRENT SUBSCRIPTIONS</u></b>
30308A	CRAWFORD LONG HOSPITAL (previously Cell 2)	338*
30033A	DEKALB MEDICAL CENTER (previously Cell 2)	315*
30307A	FERNBANK SCIENCE CENTER (new)	355*
30312B	GEORGIA BAPTIST HC SYSTEM	318
30306A	GEORGIA MENTAL HEALTH INST. (prefers to remain in Cell 3)	130*
30062A	LIFE CHIROPRACTIC COLLEGE	841
30309A	PIEDMONT HOSPITAL	315
30062B	SOLVAY PHARMACEUTICALS	300
30033B	VETERAN'S ADMIN. MED. CTR.	370

**CELL 4 LIBRARIES - HSLCG (excludes Mercer U. School of Medicine)**

*These libraries may be included or not as you wish. It includes those HSLCG members who have indicated willingness to reciprocate with consortia for no charge for mailed requests. It is our agreement that material will be sought from these libraries only when unavailable in our own consortium.*

<b><u>LIBID</u></b>	<b><u>INSTITUTION</u></b>
31021A	CARL VINSON VA MEDICAL CENTER
31062A	CENTRAL STATE HOSPITAL
31995B	HUGHSTON SPORTS MEDICINE FOUNDATION
31905A	MARTIN ARMY HOSPITAL
31902A	MEDICAL CENTER, COLUMBUS
31201B	MEDICAL CENTER OF CENTRAL GEORGIA
31830A	ROOSEVELT-WARM SPRINGS INSTITUTE
31098A	ROBINS AIR FORCE BASE HOSPITAL

**ATLANTA HEALTH SCIENCE LIBRARIES CONSORTIUM  
INTERLIBRARY LOAN STATISTICS  
GUIDELINES AND PROCEDURES  
May 2000**

The following is a revised routing table-cell structure for DOCLINE library users. The general numerical guidelines for placement are:

<b>150 or less subscriptions</b>	-	<b>Cell 1</b>
<b>151-275</b>	-	<b>Cell 2</b>
<b>276+</b>	-	<b>Cell 3</b>

There may be some exceptions to these guidelines, based upon library specialties, volume of borrowing vs. lending, or other factors. Remember this is the **lowest** cell that a library should be placed in.

The goal is to maintain a balance of distribution between borrowing and lending that is comfortable for each library. Remember that smaller collections should be considered first in locating a lender, and borrow least from those to whom you lend least. AHLSC libraries should be assigned Cell 1,2, or 3 (or higher).

Non-AHSLC libraries with which you have special agreements may be added to Cells 1-4 as well.

Changes to your routing table can now be made online and submitted. Please review your tables if you seem to be borrowing a large number of articles from the same institution. You should review your borrowing patterns at least once a year and more frequently if there is a problem. You should also check to make sure you have deleted libraries that have closed or are no longer participating.

<u>LIBID</u>	<u>INSTITUTION</u>	<u>CURRENT SUBSCRIPTIONS</u>
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**Cell 1 Libraries (150 or Less Current Subscriptions)**

30604A	Athens Regional Medical Center.....	88
30001A	Cobb Hospital – Wellstar.....	77
<del>30328B</del>	<del>Georgia School of Professional Psychology.....</del>	<del>85</del> <i>Call or Ocne</i>
30281A	Henry Medical Center.....	85
30084A	Northlake Regional Medical Center.....	70
30363A	Scottish Rite (Children's Healthcare).....	148
30309E	Shepherd Center.....	85
30274A	Southern Regional Medical Center.....	66

**Cell 2 Libraries (151-275 Current Subscriptions)**

30312C	Georgia Baptist College of Nursing.....	190
30245B	Gwinnett Health System.....	161
30060A	Kennestone Hospital – WellStar.....	179
30322D	Egleston (Children's Healthcare).....	176
30312A	Mercer University of Atlanta.....	189
30342B	Northside Hospital.....	181
30342C	St. Joseph's Hospital.....	232
30344A	South Fulton Hospital.....	153

**Cell 3 Libraries (276+ Current Subscriptions)**

30308A	Crawford Long Hospital.....	405
30033A	DeKalb Medical Center.....	232
30312B	Atlanta Medical Center.....	312
30062A	Life College.....	841
30309A	Piedmont Hospital.....	390
30062B	Solvay Pharmaceuticals.....	350
30033B	Department of Veterans Affairs Medical Center.....	370

\*30307A Fernbank Science Center

\* Not a Docline participant