

Supplement to Interlibrary Loan Guidelines for the Northern NY Library Network

March 2020

Introduction

This Supplement is intended to provide fuller explanation and specific examples for text that is intentionally general and prescriptive. Topical headings refer to the equivalent sections in the Guidelines. Libraries are expected to comply with the Guidelines, using this Supplement as a source for general direction.

Both documents are adaptations of the Code and Explanatory Supplement prepared by the ALA-affiliated Interlibrary Loan Committee of the Reference and User Services Association (RUSA), approved by the RUSA Board January 11, 2016.

1.0 Definitions

In this document, Interlibrary loan refers to transactions between libraries under different administrations, library systems or school districts. The terms "requesting library" and "supplying library" are used in preference to "borrowing" and "lending" to cover the exchange of copies as well as loans.

2.0 Purpose

Interlibrary loan (ILL) is intended to complement rather than to substitute for good library collections built and managed to meet the routine needs of local library users. ILL is based on a tradition of sharing resources between various types and sizes of libraries and the belief that no library, regardless of its size or budget, is completely self-sufficient. When policy and circumstances warrant, interlibrary loan may also be used to obtain materials that are owned by the local library but which are not available because they are damaged, missing, or checked out.

Northern NY libraries can take pride in the amount of sharing and cooperation occurring among all types of libraries across its seven-county area. The contributions of our academic institutions, which are net lenders within the Due North system, are recognized and supported by Coordinated Collection Development Aid (CCDA), a state program that provides some funding to schools that agree to extend the use of their materials to the patrons of members of the Northern NY Library Network.

3.0 Scope

This document pertains to exchanges among North Country transactions facilitated by the tools or structures provided by the Northern NY Library Network.

The interlibrary loan of special collections materials is outside the scope of this document, regulated instead by the [Guidelines For Interlibrary And Exhibition Loan Of Special Collections Materials](#) (2012) by the American Library Association and Association of College and Research Libraries, Rare Books and Manuscripts Section.

4.0 Responsibilities of the Requesting Library

4.1 Written Policies

A library's interlibrary borrowing policy should be available in a written format and readily accessible to all library users. Whenever possible the borrowing policy should be posted on the library's website.

4.2 Confidentiality

ILL staff should adhere to the American Library Association's [Code of Ethics](#) (2008), specifically principle III, that states: "We protect each library user's right to privacy and confidentiality with respect to information sought or received and resources consulted, borrowed, acquired or transmitted."

Interlibrary loan transactions, like circulation transactions, are confidential library records protected in NY state. Requesting libraries are discouraged from including a user's name on a request submitted to a supplier. If individually identifying information is needed on a request, appropriate steps, such as using identification numbers or codes rather than users' names, should be taken to maintain confidentiality.

Policies and procedures should be developed regarding the retention of ILL records and access to this information. ILL personnel should also be aware of privacy issues when posting requests for assistance or using ILL requests as procedural examples. See the following documents from the American Library Association's Office for Intellectual Freedom: [Policy concerning Confidentiality of Personally Identifiable Information about Library Users](#) (2004) and [Confidentiality and Coping with Law Enforcement Inquiries: Guidelines for the Library and its Staff](#) (n.d.).

4.3 Complete Bibliographic Citation

Take care to be sure that the item requested satisfies the request of the user. Complete and accurate ILS records are essential for Due North to function optimally. If unsure, the requesting library should add a note.

4.4 Special Requirements

Because returnable materials borrowed via interlibrary loan are traditionally intended for individual use of a defined duration, the requesting library should communicate with the supplying library in advance if the material is needed for other uses, such as course

reserves, classroom or other group viewing of audiovisual material, or for an extended loan period, especially of a textbook.

Other examples of special requirements that should be clearly indicated in original requests to potential suppliers include, but are not limited to, a particular format, edition, language, an alternate library shipping address or the address of the user's home, rush delivery, or scanning with wide margins for replacement pages, etc.

Note any special requirements regarding the format needed, specified shipping address, or use to be made of the material on the request sent to potential supplying libraries.

4.5 Identifying Appropriate Suppliers

Accurate records in a library's ILS creates efficiency within the ILL system and promotes good and timely service for the user. A library must make every effort to maintain an accurate representation of holdings available within their local ILL policy.

4.6 Copy Requests

The requesting library is responsible for complying with U.S. copyright law (Title 17, USC), in particular, the provisions of sections 107 (Fair use) and 108 (Reproduction by libraries and archives). In addition, there may be related regulations, guidelines, policies, and/or procedures to take into consideration such as the CONTU Guidelines (1979).

4.7 Responsibility for Materials

Although the number is small, some material is lost or damaged at some point along the route from the supplier and back again. This section clearly states that the requesting library is responsible for the material from the time it leaves the supplying library until its safe return to the supplying library. The requesting library's responsibility for this loss is based on the concept that if the request had not been made, the material would not have left the supplier's shelf, and thus would not have been put at risk.

If the requesting library asks for delivery at a location away from the library (such as to the user's home), the requesting library is likewise responsible for the material during this delivery and return process.

Borrowed items should be returned in the condition in which they were received at the requesting library. In particular, a requesting library should never affix adhesive labels or tape directly to any borrowed item. The requesting library should also return sufficient identifying information with the material to allow the supplying library to identify the request and process the return quickly.

4.8 Replacement and Damage Fees

It is the responsibility of the requesting library to pay invoices received or to notify the supplying library of any billing questions no later than six months from the billing date for the charges in question. The requesting library should also make every attempt to resolve

billing questions within six months of notifying the supplying library of an apparent billing error.

Requesting libraries will be responsible for the replacement costs of lost or damaged items, but not additional processing fees. Though we're clear that the requesting library is required to pay if billed for a lost or damaged item, the supplying library is not necessarily required to charge for a lost item. In the case of material lost in transit (missing after 30 days) or a situation that can not be resolved directly between the requesting and supplying libraries, the Northern NY Library Network will work with the libraries to achieve a solution that keep the system healthy. In any case, a final decision regarding replacement, repair, or compensation rests with the supplying library.

4.9 Due Date and Use Restrictions

A due date specified by the supplying library is the date by which the item is due to be checked in at the requesting library for return to the supplying library. When a due date is unspecified, the borrowing library can assign a due date 4 weeks from its arrival. Again, this due date represents the date an item is due back to the requesting library, to then be sent back to the supplying library. A typical

The requesting library is responsible for ensuring compliance with any use restrictions specified by the supplying library, such as "library use only" or "no photocopying," and for returning materials to the supplying library promptly following check in.

4.10 Renewals

When the supplying library denies a renewal request, the material should be returned by the original due date or as quickly as possible if the renewal is denied after the due date has passed.

4.11 Recalls

The response to a recall may be the immediate return of the material, or timely communication with the supplying library to negotiate a new due date.

When the material has been recalled, the requesting library is encouraged to return the material via an expedited delivery carrier such as UPS, FedEx, or USPS Priority Mail.

4.12 Shipping

It is the ultimate responsibility of the requesting library to return materials in the same condition in which they were received.

It is the responsibility of the requesting library to follow the shipping and packaging requirements, including insurance and preferred shipping method, as stipulated by the supplying library. Packaging is defined as the outer material, which may be a box, padded envelope, etc. Wrapping is defined as an inner covering for the item such as paper or bubble wrap.

If no shipping or packaging methods are specified, the requesting library's regular form of shipment should be used.

If packaging material has been used previously, remove or mark out old addresses, postal marks, etc. to avoid misdirection. Do not reuse old, frayed, ripped, or decaying packaging and wrapping materials. Clearly address all packages with both the destination and return addresses properly attached to the packaging material.

In accordance with United States Postal Service guidelines, tape is the preferred sealing method on all types of packages. Staples are strongly discouraged in order to prevent injury to staff and/or damage to materials.

Use wrapping and packaging material that is appropriate to the size and format of the material being shipped. Too small or too large packaging will not adequately protect materials during transportation. Remember to use appropriate wrapping to avoid shifting and damage.

For special collections materials, consult [Guidelines For Interlibrary And Exhibition Loan Of Special Collections Materials \(2012\)](#) by the American Library Association and Association of College and Research Libraries, Rare Books and Manuscripts Section.

4.13 Suspension of Service

Repeated or egregious breaches of these guidelines may result in the requesting library's inability to obtain material. Examples of actions that may result in suspension include repeated failure to return loans in a timely manner, multiple lost or damaged items, allowing "library use only" items to leave the library, or failing to pay the supplier's charges. A library should attempt to resolve the problem with the supplying library in order to maintain robust borrowing options for their users. A suspended library should be informed of and understand the reason for their suspension. They should assess whether a change in their local procedures or other related components is warranted to sustain or improve their users' access to other libraries' collections.

5.0 Responsibilities of the Supplying Library

5.1 Lending Policy

The lending policy should be clear, detailed, and readily available to requesting libraries. The policy should include among other things, how damage/replacement charges are assessed, non-circulating item types, loan periods and renewal policies, current shipping instructions, penalties for late payments, etc. The supplying library is strongly encouraged to fill requests for all types and classes of users, and all types of libraries, regardless of their size, library type, or geographic location. The supplying library is encouraged to establish as generous a loan period as its local environment allows.

The supplying library is encouraged to make its lending policy, contact information, and service schedule available on the library's web site, and linked from within the Due North directory

5.2 Confidentiality

The supplying library has a responsibility to safeguard the confidentiality of the individual requesting the material. The sharing of the user's name between requesting and supplying library is not, of itself, a violation of confidentiality. However, the supplying library should not require the user's name if the requesting library chooses not to provide it. If the name is provided, the supplying library needs to take care not to divulge the identity of the person requesting the material.

5.3 Replacement, and Damage Fees

Supplying libraries may not charge to fill regional requests.

A supplying library may charge for expedited delivery if that is requested. No service charges allowed in the event of delivering a document electronically.

If charging for services or for lost/damaged items, the supplying library should make every effort to allow for a variety of payment options (e.g. invoicing, credit cards, acceptance of replacement copies).

It is the responsibility of the supplying library to send final overdue notices no later than three months after the final due date, and final bills for replacement of lost material no later than six months after the final due date. The supplying library should resolve billing questions within six months of receiving notice of an apparent billing error, including any disallowed service or collections fees.

5.4 Material Format or Collection

Supplying libraries are encouraged to lend as liberally as possible regardless of the format of the material requested, while retaining the right to determine what material will be supplied. It is the obligation of the supplying library to consider the loan of material on a case by case basis. Supplying libraries are encouraged to lend audiovisual material, microformats, serials, and other categories of material that have traditionally been non-circulating.

For special collections materials, supplying libraries are encouraged to consult [Guidelines For Interlibrary And Exhibition Loan Of Special Collections Materials \(2012\)](#) by the American Library Association and Association of College and Research Libraries, Rare Books and Manuscripts Section.

If permitted by copyright law, the supplying library should consider providing a copy in lieu of a loan rather than giving a negative response.

Supplying libraries should be aware of the provisions of license agreements for electronic resources that may either permit or prohibit use of an electronic resource to fill

interlibrary copying requests. Interlibrary loan staff are encouraged to work with those negotiating licenses for electronic resources to include favorable terms for interlibrary loan.

If a supplying library prefers to provide a loan instead of a copy (e.g. article is too many pages to scan, citation is actually an entire journal issue, etc.), the supplying library should contact the requesting library to secure their permission first before sending the item. If a loan is accepted, the requesting library then assumes responsibility if the item is lost or damaged before its return to the supplying library.

5.5 Timely Processing

The supplying library has a responsibility to act promptly on all requests. The response should be sent via the same method the requesting library used to send the request. Prompt means within 3 business days.

Providing a reason for an unfilled request helps the requesting library determine what additional steps, if any, may be taken to obtain the requested item. For example, "non-circulating" indicates the item is likely available for on-site use while "in use" indicates that another request at a later date might be filled. Providing no reason or simply stating "policy problem" or "other" without providing further explanation deprives the requesting library of important information and can lead to time-consuming follow-up for both libraries.

If fulfillment is expected to involve delays, the supplying library should disclose the expected lag. Supplying library has a responsibility to ensure that material is delivered expeditiously.

5.6 Identifying the Request

The supplying library should send sufficient identifying information with the material to allow the requesting library to identify the request and process it quickly. Such information may include a copy of the request, the requester's transaction number, Failure to include identifying information with the material can unduly delay its processing and may risk the safety of the material.

5.7 Due Date, Use Restrictions, and Shipping Requirements

Although it is the responsibility of the requesting library to ensure the safe treatment and return of borrowed material, the supplying library should provide specific instructions with the item and in Due North when it is lending material that needs special handling. These instructions might include the requirement that material be used only in a monitored special collections area, no photocopying, library use only, specific return packaging/shipping instructions, etc. The supplying library should not send "library use only" material directly to a user.

The supplying library should clearly indicate the due date, which is defined as the date by which the material is due to be checked in at the requesting library for return to the

supplying library. Supplying libraries should implement a grace period before sending overdue notices to account for items in transit back from the requesting library.

5.8 Delivery and Packaging

The delivery location can be assumed to match the address within the Due North directory so that labels automatically generated are correct.

It is the responsibility of the supplying library to:

- judge whether an item is suitable for shipment and circulation. If a damaged item is sent, the supplying library should note all prior damage and not hold the requesting library responsible for this damage. Examples include loose pages/spine, liquid damage, or significant markings and defacement.
- take care that the material it sends out is adequately packaged to protect the item from damage or loss even though the requesting library will be held responsible for material damaged in shipment.
- specify the shipping method, as well as any insurance requirement, for returning materials and if any special wrapping or packaging is required. See section 4.15 above for definitions and other important information regarding wrapping and packaging.
- maintain an accurate return address within Due North including any information required by local couriers if that is the system used for transit. Many supplying libraries find it safer and more cost effective to ship all material via expedited carriers (UPS, FedEx, etc.).
- work with the requesting library when tracing a lost or damaged item, and to contact the Northern NY Library Network for reimbursement only after at least 30 days' effort to locate an item lost in transit.

5.9 Renewals

The supplying library should respond affirmatively or negatively to all renewal requests. The supplying library is encouraged to grant the renewal request if the material is not needed by a local user.

5.10 Recalls

The supplying library may recall material at its discretion at any time. However, it often is more effective to request the material on ILL for a local user rather than to recall material on loan to another library.

5.12 Suspension of Service

A supplying library may suspend service to a requesting library following repeated or egregious breaches of our guidelines. Examples of actions that may result in suspension include repeated failure to return loans in a timely manner, multiple lost or damaged items, allowing "library use only" items to leave the library, or failing to pay the supplier's charges. A supplying library should not suspend service without first attempting to address the problem(s) with the requesting library. When suspending a library, a supplying library should document the length of time or the conditions that would need to change whereupon they would revisit and reassess the suspension.