Manual of ILL Policies and Procedures

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Part A: Intercampus Interlibrary Loan Code

This code is an agreement adopted by the Library Council of the University of California on July 22, 1987 to govern interlibrary loan among the libraries of the University of California system. Originally, only those libraries sharing in the University of California's Intercampus Exchange Fund, as listed in Part A, Attachment 1, were covered by this agreement. However, Part A, Attachment 2 lists additional UC-affiliated libraries that adhere to the provisions of the UC Intercampus Loan Code voluntarily, but are not part of the general library system of the University and do not share in the Intercampus Exchange Fund.

Introduction

The intent of the Intercampus Interlibrary Loan Code is to facilitate the sharing of library resources among the libraries of the University of California, and to provide expeditious and priority access to these resources for University of California faculty, staff, and students. The resources thus made available are much greater and much richer than any single campus could provide. Since the introduction of MELVYL®, the University of California on-line union catalog, library users have come to rely more and more on interlibrary loan to obtain materials not available in their local collections. It has long been recognized that effective interlibrary loan service among the libraries of the University of California plays a vital role in making the concept of University wide access to library materials a reality. The Intercampus Code facilitates resource sharing by providing a framework for cooperation and promoting coordinated University wide efforts. The Code sets service standards to insure quick and reliable interlibrary access to materials not in the local library, yet leaves many procedural details open to local option as long as goals are met. Items are made available in a variety of ways: through loan of original material, provision of copies, or by direct supplying when appropriate. The system wide approach to interlibrary loan outlined in the Code insures that optimum library service is provided within the limits of available funding.

I. Definition

Interlibrary loan is the process by which a library requests material from, or supplies material to, another library. Direct requesting by library users and direct delivery are included in this definition.

II. Purpose

The purpose of this Code is to set standards for expeditious interlibrary loan among all campuses of the University of California and the two Regional Library Facilities, and to further the commitment to University-wide access to library materials.

III. Scope

A. Intercampus Lending Policies

A loan or a copy of any material may be requested from another library in accordance with the published Intercampus Lending Policy of that library and the specifications of this Code. Requests for exceptions to the Lending Policy should be accompanied by a statement of need; the supplying library will decide in each case whether a particular item can be provided. The UC supplying libraries will be as liberal as possible in granting exceptions for requests from other campuses.
B. Special Collections Materials

(See Section I, Part E for guidelines).

IV. Responsibilities of Requesting Libraries

A. Use of Local Campus Resources

Each library should provide the resources needed to meet the study, instructional, informational, and normal research needs of its primary clientele. After every effort has been made to exhaust local campus resources, any additional material required may be requested from another University of California library under this Code.

B. Consultation of ILL Documents and Aids

The interlibrary loan staff of each library should be familiar with, and use, relevant interlibrary loan documents and aids. These include this Code and appendices; the most recent edition of the Interlibrary Loan Practices Handbook published by the American Library Association; intercampus lending policies of each University of California interlibrary loan unit; CDL MELVYL®; and standard bibliographic tools and services.

C. Patron Education

Each library should inform its users of the purpose of interlibrary loan and of the library's interlibrary borrowing policy.

D. Verification of Patron Eligibility

Those eligible for intercampus borrowing privileges include faculty, students (undergraduate and graduate), and staff of the University of California. Each campus or UC affiliated hospital is responsible for verifying the status of its patrons, and listing the status on each interlibrary loan request. A list of libraries covered by this code is included in Part A, Attachment 1. A list of affiliated hospitals and guidelines for requests from UC affiliated hospitals is included in Part F, Attachment 1. UC Lending units do not copy or fax materials for non-UC users unless reimbursed, due to restrictions on state funds.

E. Copyright Compliance

The requesting library is responsible for compliance with (Title 17, U.S. Code) and its accompanying guidelines, and should inform users of the applicable portions of the law. An indication of compliance must be provided with all copy requests.

F. Verification of Citation and Holdings

Requested material must be described completely and accurately following accepted bibliographic practice as outlined in the current Interlibrary Loan Practices Handbook. If the item
cannot be verified, the statement "cannot verify" should be included along with complete information as to the original source of the citation. For periodical article requests, only the periodical title needs to be verified. The call number and branch location should also be included on the request if desired by the supplying library.

G. Proper Initiation of Rush Requests

Requests for priority service, as outlined in this agreement, should be routed through designated channels. At the present time, designated channels include OCLC, Docline, and the Consortial Borrowing System. The requesting library will also call and FAX the supplying library a copy of the Rush request. Special arrangements to send requests by alternate means may be made between any campuses as long as service standards are met. (See also Section I. Part G.)

H. Use of Standard Request Formats

Standard interlibrary loan formats should be used for all requests, regardless of the means of transmission.

I. Liability for Damage or Loss

The safety of borrowed material is the responsibility of the requesting library from the time the material leaves the supplying library until it is received by the supplying library. The requesting library is responsible for packaging the material to insure its return in good condition. If damage or loss occurs, the requesting library must meet all costs of repair or replacement in accordance with the preferences of the supplying library.

J. Compliance With Conditions of Loan

The requesting library and its users must comply with the conditions of loan established by the supplying library including the timely response to recalls. Unless specifically forbidden by the supplying library, copying by the requesting library is permitted provided that it is in accordance with the copyright law and no damage to the original volume will result.

K. Limitations on Group Use

Material borrowed on interlibrary loan cannot be placed on reserve, nor used by theatrical, musical, or study groups unless special arrangements have been made in advance with the lending library. An exception to this policy should be made when the material being requested is housed at a Regional Library Facility (NRLF or SRLF) and is needed for course reserves at any UC institution, according to the guidelines outlined below.

- All circulating material is eligible for loan to a reserves unit.
- The first option for RLF material needed for course reserves should be to scan or photocopy the material. The RLF will provide up to 50 pages of photocopying or scanning when requested by the borrowing campus. Only when the entire book is needed should the RLF loan material to the reserves unit.
- When it is determined that a copy of the material will not suffice, an inspection of the material's suitability (i.e., if it is in an advanced state of deterioration) for circulation may take
Part A: Intercampus ILL Code

place at either the RLF or the borrowing library's Reserve unit. If the RLF makes a
determination that the item is in too poor condition to circulate, the RLF may refer the item
directly to the owning campus for preservation scanning. If the RLF does not inspect the
material and the item is sent to the borrowing library's reserve unit, the Reserve unit may
make the determination that the item is in too poor condition to circulate and may return it to
the RLF indicating that the item is too fragile for use. The RLF will refer the item to the owning
campus for preservation scanning.

• If it is determined that the entire book must be scanned or copied because it is in poor
  condition, a collection-development referral must be made to the owning campus.
• Circulating material at the RLFs is lent on a "first come, first served" basis.
• Material loaned for course reserves is not normally recallable.
• Billing for RLF items on reserves should be done at the borrowing library's fine rate and the
  owning library's replacement rate.
• RLFs need to be informed that the request is a reserve item to insure that the loan period will
  be institutional length (1 year) to follow existing loan guidelines. Materials will be returned
  when the course is completed.

L. Prevention of Privilege Abuse

The requesting library should not permit any borrower to abuse interlibrary loan privileges to the
extent that requests for an individual become a burden to any ILL unit. The requesting library
should encourage users to travel to other libraries for on-site access to material when extensive
use of a collection is required or the nature of the material requires special handling. The
requesting library should assist the user in making the necessary arrangements.

V. Responsibilities of Supplying Libraries

A. Availability of Intercampus Lending Policy

Each lending or supplying unit should have a current statement of its intercampus interlibrary loan

B. Equality of Privileges

The supplying library should be as flexible as possible in extending University of California
interlibrary loan patrons the same privileges received by local campus patrons of similar patron
types.

C. Promptness of Response

The supplying library should process requests promptly, giving University of California requests
priority over all non-patient care requests. Material that is immediately available should be
dispatched within two working days from receipt of the request at the supplying library. Requests
for material not immediately available or not owned should be reported as soon as its status is
determined or within two working days. Requests marked as Rush should be processed and
dispatched on the day of receipt or within the timeframe specified on the request.
Part A: Intercampus ILL Code

D. Decision to Loan

The decision to loan or supply material in original format is at the discretion of the supplying library. Each library should be as liberal as possible in making materials available to other University of California patrons with due consideration to the interest of its own primary clientele. Conditions of the loan should be clearly stated and material should be carefully packaged. Tricor shipping guidelines Transport via the intercampus courier service is the preferred method.

E. Renewals

Renewal requests should be timely. The supplying unit should be as generous as possible in granting renewals.

F. Recalls

Material on loan is subject to immediate recall. Supplying libraries should transmit recall notices electronically in a format that calls attention to them. Borrowing units should respond promptly to recall notices and impose local blocks on their patrons who do not comply. Supplying units may impose local rules regarding non-returned recalled material.

G. Lost and Non-Returned Material

Supplying libraries should bill the requesting unit for the replacement of un-returned material and/or any processing fees. UC libraries will not charge other UC libraries late fines.

H. Provision of Copies

The supplying library should provide copies of periodical articles and book chapters in lieu of a loan when requested. Whenever possible, and at the discretion of the supplying library, electronic copies should be supplied. Copies may also be delivered via courier. Limits may be imposed by the supplying library. Copies delivered by FAX or electronic transmission may be limited to 50 pages or scans. This limit may be exceeded at the discretion of the supplying library.

VI. Duration of Loans

The requesting library is responsible for honoring the due date and enforcing any restrictions specified by the supplying library. The due date is the date that materials are due to be checked-in at the supplying library. Whenever possible, University of California patrons should be given the same loan periods they would receive if borrowing the item in person. However, generally items circulating for one month or more to local faculty and graduate students will be sent to the requesting library on a three-month loan. Items circulating less than one month locally, will be loaned for their actual loan period.
VII. Transportation of Material

A. Means

Tricor should be used to transport returnable interlibrary loan materials between campuses. Special Collections materials may require a different shipping method. When necessary returnables may also be sent via UPS or first class mail. Non returnable materials should be delivered using the most expeditious method for the patron weighing existing variables (length of article, tight binding, pictures, dense text, etc.) alongside the variety of delivery methods (e.g. ARIEL, fax, e-mail, Tricor, post to the web, US Mail). When specific delivery methods are requested, reasonable efforts will be made to deliver the materials in the requested format.

B. Frequency

ILL materials should be sent at least daily. All units are encouraged to check OCLC, DocLine or routing software daily. Attempts should be made to reduce turn-around-time whenever possible.
Attachment 1: List of Libraries Covered

Berkeley
Main Library and Others
- Main Library
- South/Southeast Asia Library (SSEA)
- NEWS/Micro
- Bancroft Library (Special collections guidelines apply)

Branch Libraries
- Anthropology
- Astronomy/Mathematics/Statistics
- Biosciences
- Business/Economics
- Center for Chinese Studies
- Chemistry
- Earth Sciences/MAPS
- East Asian
- Education/Psychology
- Engineering
- Environmental Design
- Forest Products (Richmond Field Station)
- Moffitt Undergraduate
- Music
- Optometry
- Physics
- Public Health
- Social Welfare

Affiliated Libraries
The UC Expediter located in the Main Library Interlibrary Loan Unit retrieves, lends and photocopies material from the following campus libraries under the provisions of the Intercampus Loan Code.
- Asian American Studies Library (photocopy only)
- Chicano Studies Library
- Giannini Foundation of Agricultural Economics Library (photocopy only)
- Institute of Governmental Studies Library
- Institute of Industrial Relations Library (photocopy only)
- Institute of International Studies Library (photocopy only)
- Institute of Transportation Studies Library
- Law Library
- Native American Studies Library (photocopy only)
- Water Resources Center Archives
Part A: Intercampus ILL Code

Davis

Shields Library

Branch Libraries
• Health Sciences
• Physical Sciences
• Medical Center (Sacramento)

Irvine

Main Library

Branch Libraries
• Medical Center
• Sciences

Los Angeles

Main University Research Library and Branch Libraries:
• Arts
• College
• East Asian
• English Reading Room (photo only)
• Management
• Maps and Government Information
• Microform and Media Service
• Music
• Special Collections
• Clark

Branch Libraries:
• Biomedical Library
• Law Library
• Science & Engineering Library
• Collections

Other Branch Libraries (non-circulating)
• University Elementary School

NRLF

Northern Regional Library Facility
Part A: Intercampus ILL Code

Riverside

Main Library

Branch Libraries
• Bio-Agriculture
• Physical Science

San Diego

Geisel Library (The University Library)

Branch Libraries
• Biomedical & Medical Center Libraries
• Center for Magnetic Recording Research
• International Relations/Pacific Studies Library
• Science & Engineering
• Scripps Institution of Oceanography

San Francisco

Main Library

Branch Libraries
• Mount Zion Medical Center/Fishbon Library

Santa Barbara

Main Library

Branch Libraries
• Arts

Santa Cruz

Main Library

Branch Libraries
• Science

SRLF
Southern Regional Library Facility
Attachment 2: List of Unaffiliated Libraries

The libraries listed below are not part of the general library system of the University and do not share in the Intercampus Exchange Fund. They voluntarily adhere to the provisions of the UC Intercampus Loan Code and accept loan requests from UC libraries.

Berkeley
- Earthquake Engineering Research Center Library (QCE on OCLC) (at Richmond Field Station)
- Lawrence Berkeley Laboratory Library (FAX: (510)486-6406)

Davis
- Bodega Bay Marine Laboratory (holdings not listed in MELVYL)
- Law

San Francisco
- Hastings College of Law Library

Attachment 3: ILL Loan Periods

UNIVERSITY OF CALIFORNIA, SANTA BARBARA
OFFICE OF THE LIBRARIAN

SANTA BARBARA, CALIFORNIA 93106-9010

14 October 1992

To: University Librarians

From: Joseph A. Boisse
Chair, Library Council

Re: ILL Loan Periods

Although the minutes of the recent meeting of Library Council will reflect the action taken vis-a-vis this topic, I am writing to formalize that action. The following loan policy was approved unanimously:

Items which have a one-month or longer loan period on the lending campus will be sent via ILL to faculty and graduate students at other UC campuses for a three-month loan period. Items which have a less than one-month loan period on the home campus will be sent via ILL to faculty and graduate students at other UC campuses for a two-week loan period. All items are subject to recall by the home campus.

Please inform the affected constituencies on your campus as appropriate.

I assume that we can all implement this policy immediately.
Part B: UC/Stanford Reciprocal Services Agreement

Introduction
As an adjunct to the Memorandum of Understanding [Note 1] which enables the Stanford University community to access MELVYL® MEDLINE®, we propose that University of California Libraries [Note 2] and Stanford University Libraries [Note 3] engage in the following pilot program of cooperative activities. The Stanford Coordinate Libraries are also important, but are not addressed in this agreement.

The pilot program will extend from January 1, 1992, through December 31, 1992, at which time it will be reviewed by both UC Heads of Public Services and by Stanford. The University of California and Stanford University Libraries will each designate a coordinator for this agreement. UC’s coordinator is Dennis Smith, Director of Library Affairs, UC Office of the President.

October 14, 1991
Revised November 27, 1991

I. Borrowing Privileges

A. Definition of Reciprocality
Stanford University Libraries will extend the same borrowing privileges to University of California faculty, academic staff, and currently registered graduate students, as are accorded Stanford faculty, academic staff, and currently registered graduate students.

All UC Libraries will extend the same privileges to Stanford faculty, academic staff, and currently registered graduate students.

For example, a UC San Francisco professor would have the same borrowing privileges in person at all Stanford University Libraries as would a Stanford professor, and vice versa.

B. Determination of Eligibility
Visiting graduate students, faculty, and academic staff will present a UC/Stanford Cooperative Program card issued by their respective institutions in order to be issued a borrower’s card, but should be able to borrow materials upon the initial visit. Cooperative Program cards will carry expiration dates.

The access and borrowing arrangements do not apply to proxies, nonacademic staff, alumni, retired faculty (except emeritus faculty), visiting scholars, faculty, staff or student family members, fee borrowers, friends group, etc.

C. Statistics
UC and Stanford libraries will keep and report statistics on Cooperative Program cards issued and, as possible, on borrowing transactions associated with the program.

D. Compliance With Regulations of Lending Institution
Part B: UC/Stanford Reciprocal Services Agreement

Faculty, currently registered graduate students, and academic staff from another institution must adhere to all loan regulations of the various University of California and Stanford University Libraries. Such adherence includes responsibility to return recalls promptly and to pay charges incurred because of late return or damage to materials. If charges for unreturned or damaged materials are uncollectible, the home library will pay for lost or damaged materials.

II. On-Site Access

A. Definition of Reciprocal/Determination of Eligibility

Stanford University Libraries will extend the same on-site access and assistance to University of California faculty, academic staff, and currently registered graduate students as they do to Stanford faculty, academic staff, and currently registered graduate students. When identification to gain access to a library or stack is required, a UC/Stanford Cooperative Program card will be honored in the same way Stanford ID is. Most UC libraries do not control access, but where access is controlled at UC, Stanford faculty, currently registered graduate students, and academic staff will be accorded the same access with a UC/Stanford Cooperative program card as are University of California students, faculty, and academic staff with UC ID.

The access and borrowing arrangements do not apply to proxies, nonacademic staff, alumni, retired faculty (except emeritus faculty), visiting scholars, faculty, staff or student family members, fee borrowers, friends group, etc.

B. Services Included

Reciprocal services include reference or guidance in using the collections and access to photocopy services. The agreement does not include mediated database search services. Special arrangements may be made for special needs if negotiated in advance—e.g., the use of restricted collections, accommodations for handicapped users, etc. It may be necessary to confirm hours of operation or services (e.g. reference) at the various libraries.

C. Participating Libraries

The UC and Stanford libraries covered by this agreement are attached to this agreement [Note 2, Note 3].

D. Statistics

As practicable, Stanford will keep statistics for on-site access by UC Cooperative Program card holders.

III. Interlibrary Loan

A. Adherence to the UC ILL Code

Stanford University libraries will provide priority access to their resources to University of California faculty, staff and students, by adhering to the University of California Intercampus Loan Code [Note 4], including the Special Collections Appendix. The Code includes standards for
response time in Article VI, Paragraph C, and specifies mode of delivery (e.g., UPS, 1st class mail) in Article VIII, Paragraph A.

Stanford and UC Libraries agree to provide free photocopies up to 50 pages (see Article VI, Paragraph F for provisions beyond 50 pages).

**B. Limitations to Adherence**

Stanford will not be able to process searches, holds, and recalls in response to UC ILL requests (Article VI, Paragraph E) until automated circulation is implemented. Special arrangements may have to be made between UC libraries and Stanford to transmit requests as Stanford does not participate in OCLC interlibrary loan (see Article V, Paragraph G). Stanford may be able to negotiate with OCLC a method by which Stanford can be identified easily to UC as a supplier.

UC libraries will provide reciprocal priority (Article VI, Paragraph E), except that Intercampus Exchange program funds (Article IX) will not be used to provide the Stanford copies.

**C. Other Limitations**

It should be noted that interlibrary loan is not part of on-site services. A UC/Stanford visitor should not present interlibrary loan forms and expect to carry out books. All interlibrary loan activity should be initiated at the home institution.

**D. Statistics**

All UC and Stanford interlibrary loan units will maintain lending and borrowing statistics specifically for UC-Stanford transactions. Stanford will participate in UC's Interlibrary Loan Turnaround Time Study (four sample periods per calendar year).

**IV. Liaison to HOPS**

In order to facilitate these cooperative activities and better communication and coordination among librarians, Stanford University Libraries will designate a liaison to the University of California Library Council's Heads of Public Services Committee (HOPS).

**Endnotes**


2. UC Libraries covered by this agreement are listed in Attachment 1 of the University of California Intercampus Loan Code.

3. As listed in Attachment 1.

4. University of California Libraries Intercampus Interlibrary Loan Manual and Directory [Section I, Part A, Articles I-VI], July 1991. UC Libraries have agreed to add provisions on fax [Article VI, Paragraph G] which will include no charging for fax up to 20 pages per request.
Part C: Guidelines for FAX

Introduction
These guidelines define how and when interlibrary loan units within the University of California campuses send, receive and respond to fax requests. The purpose of these guidelines is to standardize fax procedures among the UC campus ILL units.

Amended draft 23 July 1990, approved by HOPS

I. EQUIPMENT LIMITATIONS

- When available, electronic delivery is preferred over FAX delivery.
- Some interlibrary loan units do not have a FAX machine readily available, in which case special arrangements have to be made to FAX requests and materials to and from these units.
- Because of the time involved in faxing lengthy articles, requests for FAX transmission should be for articles of 20 pages (exposures) or less. Articles more than 20 pages will be supplied via electronic delivery or in hard copy.

II. GENERAL GUIDELINES FOR ROUTINE TRANSACTIONS

A. Borrowing Procedures
1. Format of the request
   a. Requests should be sent via OCLC or the usual method for sending ILL requests. In the Borrowing Notes field on OCLC, the request should include the statement "PLEASE FAX", or, if the request is not sent on OCLC, it should clearly state "PLEASE FAX", in a noticeable place on the form used.
   b. When requesting materials from UCLA via ALA form, two copies of the ALA form should be sent via fax.

2. Verification
   See UC ILL Code.

3. Special Instructions.
   Special instructions should be noted in upper case letters.

4. Response from Library Filling Request.
   Whenever possible, materials should be scanned directly by the fax machine for transmission. If a photocopy must be made before the material can be faxed, the photocopy will be discarded after one business day, unless it is requested by the borrowing institution because of poor fax.
III. GUIDELINES FOR RUSH REQUESTS

A. Definition and Limitations.

Rush is defined as any material that is needed within 24 hours or less. In the medical setting, requests that are clinical emergencies and are labeled as such, should be filled within 4 hours. Please refer to the guidelines and procedures listed in the UC ILL Manual, Section 1, Part G for procedures applying to rush transactions.
Part D: UC/Stanford ARIEL Guidelines and Procedures

Introduction

These guidelines define how and when interlibrary loan units within the University of California campuses and Stanford send, receive, and respond to ARIEL requests. The purpose of these guidelines is to standardize ARIEL procedures among the UC/Stanford campus ILL units and to provide equitable, predictable, reliable, fast and easy borrowing and lending between the campuses and to enhance the delivery of information among UC/Stanford patrons.

I. ARIEL DOCUMENT DELIVERY PROTOCOL REQUIREMENTS

To participate, an institution must:

• Fill interlibrary loan requests from other UC/Stanford libraries in accordance with the UC/Stanford ILL policy.
• Have on-site ARIEL equipment with most recent version of ARIEL software.

II. GUIDELINES FOR ROUTINE TRANSACTIONS

A. Lending libraries will:

• Fill requests via electronic delivery in accordance with the following guidelines and UC/Stanford ILL policy.
• Include the borrowing library’s ILL request form (or same information as provided on the form) in the electronic transmission.
• Agree to use FAX (see Part C) as an alternative during electronic delivery equipment failures.
• Agree to provide a turnaround time of two working days from receipt of request to shipment/rejection.
• Fill all documents via electronic delivery up to 50 pages, and longer documents at the lender’s discretion, with the goal of supplying articles directly to patrons electronically whenever possible.
• Use other expedited services (van service, UPS, 1st class mail, or Federal Express) for delivery of material deemed inappropriate for electronic delivery or FAX.

B. Borrowing libraries will:

• Initiate routine requests via OCLC, DOCLINE, or RLIN. Libraries should maintain their current practice for initiating and filling rush requests.
• Include their ARIEL address in the COMMENTS or BORROWING NOTES fields of their OCLC, DOCLINE, or RLIN requests or add it to the FAX field in the OCLC record.
• Add copyright disclaimer to all relevant materials which are received via ARIEL or fax.
• A request to resend pages will be transmitted ASAP, always within 48 hours, and should include a statement of what specifically needs to be resent and why.
• Leave ARIEL workstations on and open to receiving materials at all times.
III. GUIDELINES FOR RUSH TRANSACTIONS

Rush is defined as any material that is needed within 24 hours or less. In the medical setting, requests that are clinical emergencies and are labeled as such, should be filled within 4 hours.

Please refer to the procedures listed in Section 1, Part G.

IV. REIMBURSEMENT/FEE POLICY

No fees will be charged for routine or rush requests. Reimbursement for lending credit will be handled in accordance with UC/Stanford policy.
Part E: University of California Guidelines for Shared Access to Special Collections Materials

Introduction

The special collection departments at the University of California campuses in partnership with their interlibrary loan departments will continue to participate in the program to loan or provide best available copies of special collections materials whenever possible.

-- November 21, 2004, Joint UL SOPAG meeting

Effective: 2006

I. SUPPORTING STATEMENTS

a. Heads of Special Collections

Under the “one University one Library” policy, the University of California special collections departments participate in a program to lend special collections materials between the UC special collections departments. Requests are made via the interlibrary loan request system. Materials loaned (generally, non-manuscript material in the form of books, pamphlets, serials, and microform) are carefully considered through a curatorial review process by the head of special collections. Requests may be filled by the provision of facsimile copiers. Loaned materials are made available for use under the careful oversight of the special collections staff under regular special collections reading room rules at the request or borrowing library. Requests will be considered if they can be met without damaging and/or endangering rare and unique materials. Each request will be reviewed on a case-by-case basis to determine the rarity and condition of the item. Whenever possible, it is recommended that patrons check with their reference or interlibrary loan department staff for assistance in locating alternate editions or works that may be more readily accessible for loan and check out without the restrictions required for special collections material.

For further information regarding this program contact your local interlibrary loan or special collections department.

b. Resource Sharing Committee – Interlibrary loan Advisory Group

These guidelines build upon the (UC) Manual of ILL Policies and Procedures and specifically address concerns and issues related to the interlibrary loan of special collections materials. They also are consistent with:

- Manual of ILL Policies and Procedures
- Response to the UC Interlibrary Loan of Special Collections Materials Report, 7/28/05
- ACRL Guidelines for the Interlibrary Loan of Rare and Unique Materials.

II. Definition

Special Collections Materials are generally either rare or unique, often they are also fragile. Formats are variable: books, manuscripts, maps, pictures, photographs, master microforms, papyri, scrolls, etc. Special Collections Departments also house non-unique material, facsimile editions, duplicate microfilms for use, etc.
III. Guidelines

a. Responsibility

The safety of borrowed materials is the responsibility of the borrowing institution. The lending institution is responsible for packing the borrowed material so as to ensure its return in the condition in which it was sent. The borrowing institution is responsible for returning the material in the same condition as received, using the same, or equivalent, packing material and the same level of insurance as the lending institution.

If damage or loss occurs, the borrowing institution is responsible for the cost of repair, replacement or appropriate compensation, in accordance with the preference of the lending institution. The borrowing institution may specify that the material be delivered directly to its interlibrary loan department. The lending institution may specify that the material be returned to its special collections department and may also specify use of a preferred shipping service, insurance and/or special wrapping requirements. Verification of transfer and delivery should be made through the respective ILL staff, regardless of method of shipment.

b. Flexibility

Procedures may be modified due to unusual circumstances at one campus or another such as construction projects or temporary loss of staff. Campuses need to be flexible to accommodate such circumstances.

c. Processing of Requests for Special Collections Materials

Description of how Special Collections requests are currently processed in the Request system.

1. If only some owning locations of a requested item are special collections units, then those units are omitted from the lender list and the request is processed normally.

2. If all owning locations of a requested item are special collections, the following processing is applied:
   a) all locations that are identified as "will not lend" are dropped from the lender list.
   b) all locations that are identified as "might lend" are retained in the lender list
   c) the request is sent to the patron's home campus ILL unit through the VDX idle queue where ILL staff review the request before processing (unless the request is from a UCB patron and the item is at NRLF or the item is for pickup at UCD Law or Bodega Bay)

3. Requests may also be sent by other means, for example a Request may be facilitated by staff.

4. Whenever possible staff will attempt to obtain a circulating copy before requesting a copy from a special collections unit.

d. Communication Between Special Collections & Interlibrary Loan Staff

Interlibrary loan procedures for special collection materials vary from campus to campus and decisions to loan special collection materials are made on a case by case basis. ILL requests that arrive via automated systems need a prompt response. Materials may arrive in one department, but both departments need to know. Therefore, it is important that special collection and interlibrary loan staff communicate with each other in a timely manner.
IV. Guidelines for Lenders

a. Responding to Requests
1. Intercampus requests should be handled on a priority basis; i.e., evaluated promptly and a decision communicated to the requestor within one week.
2. Libraries may need to use the “conditional” messaging procedures and Interlibrary Loan units need to respond promptly to conditionals.

Special collections or interlibrary loan department staff may need extra time to conduct the research necessary to determine whether a requested item is readily available in general collections, to make a judicious decision regarding whether to loan an item or copy an item in lieu of loaning and to determine whether an item is too fragile to be shipped. In some instances an item must first be called back from a regional library facility for review. Most special collections are able to make a decision within the time, but when extra time is needed, ILL departments need to use conditional messaging that will “stop the clock”.

b. Lenders’ Prerogative
1. Special collection unit head (or designate) will determine if the request can be filled using their material. Each request will be evaluated on a case by case basis.
2. Copies may be provided in lieu of loan at the discretion of the head of special collections (or designate). Copies will be provided in various formats as appropriate:
   - PDF
   - microfilm
   - photocopy
   - photographic prints
   - color slides
   - etc.

c. Due Date

The lending institution should make the due date clear. The borrowing institution should indicate to the patron that the due date will be honored.

d. Sending
1. Staff responsible for packing and shipment of materials should be instructed in proper handling and packing of rare material.
2. The borrowing special collection contact name and information should be on the address of the package as well as inside.
3. Any special instructions should be included inside. Lenders may have specific instructions regarding:
   - due date.
   - use restrictions (e.g. no photocopy, etc.)
   - whom to ship to when returning.
   - shipping vendor.
   - insurance requirements
4. Lender should notify the borrowing campus by updating VDX that an item will be shipped, and by notifying staff at the borrowing campus with the shipment date so that they can anticipate arrival.

V. Guidelines for Borrowers

a. Receiving
1. HOSC recommends that the borrowing institution notify the lending institution of the safe receipt for the item.

b. Securing
1. Provide secure storage for borrowed items during the loan period.
2. Provide storage under environmental conditions that meet accepted standards for house special collections.

c. Using

Special collections items may not be used outside the special collections reading room without the express permission of the lending library, as determine through follow up contacts by phone or email from one head of special collections (or their designate) to another. Use by the patron of an ILL special collections item should be tracked in a manner similar to that used for regular special collections reading room materials, so that there is as good control of ILL materials in the reading room as the institution’s own special collections materials.

d. Renewing

Due to workload and the risk of shipping materials, an extension is preferable to a future request for a loan that could be denied. If the patron finishes earlier than the due date, the item should be returned promptly to the lending institution.

e. Returning
1. Packaging
Material will be carefully wrapped and shipped for use only in the borrower’s Special Collections Unit. The borrowing library will use equivalent wrapping and shipping to ensure safe return. If possible the same shipping material should be used to repackage borrowed items (unless deemed insufficient by the borrowing library). Using the lending library’s packing precludes any complaints about the packing material. However, space considerations or staffing at some campuses may make it difficult to save and track shipping materials. As long as equivalent or better packing occurs this should be acceptable.

2. Shipping
Determine if lending Special Collections unit has preferences or requires specific shipping vendors, insurance, or other handling.

3. Notifying
When the loan is completed the borrowing institution should notify the lending institution of the return shipment date of the item.
VI. Completing the Transaction

It is then the responsibility of the lending institution to notify if a package has not been received in return. Notification that a package has not been received should be done by the lending institution within a 10 working day period to facilitate timely tracking and recovery.

VII. HOSC Responsibilities

The RSC-IAG website has a list of special collections contact person for each campus. It is the responsibility of each HOSC member to maintain up-to-date contact information on this website. Additionally, backups or designates should be in place to assist with transactions in case the contact person listed is not available.
Part F: Guidelines for ILL Requests Submitted by UC Affiliated Hospitals

I. Purpose

To define the guidelines for handling ILL requests for UC faculty, staff, and students submitted by UC affiliated hospital library staff.

II. Background

UC faculty, staff, and students whose offices or rotating assignments are physically located at UC affiliated hospitals need a convenient and speedy method to submit ILL borrowing requests and receive materials from other UC campuses. Library staff in UC affiliated hospitals are willing to process the requests and receive the material directly.

III. Eligibility

- Hospitals determined to have a major affiliation with a UC medical school are the only ones covered by these guidelines. Attachment 1 includes a complete list of currently eligible institutions.
- UC faculty, staff, and students are the only individuals covered by these guidelines. The affiliated hospital staff are responsible for determining eligibility for this service. Requests for other affiliated hospital staff and students must be submitted according to standard ILL practices and will be subject to any ILL charges levied by the campuses.
- Requests for items owned by the libraries of the campus with which the hospital is affiliated are not covered by these guidelines.

IV. Procedures

A. Affiliated Hospitals

- Requests will be submitted using standard interlibrary loan mechanisms (e.g. UC-eLinks/Request, DOCLINE, OCLC, ALA forms). A notation indicating that the user is a “UC Affiliate” must be manually entered in the notes field only for each request.
- The affiliated hospital library staff will abide by the policies and procedures of the UC Intercampus Loan Code.
- A complete list of participating UC interlibrary loan centers can be found in the UC ILL Manual and Directory (Section I, Part A, Attachment 1).

B. UC ILL Centers

- Requests received from the affiliated hospitals listed in Attachment 1 for UC faculty, staff, or students will be processed in the same manner as requests received directly from UC ILL centers.
- The cost of providing materials will be covered by the Intercampus Exchange Program.
V. Date of Implementation

This policy is effective January 4, 1993 (updated May 4, 2010). The UC biomedical libraries are responsible for monitoring adherence to the policy by the Affiliated Hospitals and for training new Affiliated Hospital staff as necessary.

Attachment 1: Clinical Facilities Owned by or Having Major UC Affiliations*

ALPHABETICAL LIST
• Cedars Sinai Medical Center - Los Angeles
• Children's Hospital - San Diego
• Charles Drew University of Medical Sciences
• (King/Drew Medical Center) - Los Angeles
• Harbor/UCLA Medical Center - Los Angeles
• Kern Medical Center - Bakersfield
• Long Beach Memorial Medical Center - Long Beach
• Mercy Hospital - San Diego
• Naval Regional Medical Center - San Diego
• Olive View/UCLA Medical Center - Sylmar
• San Francisco General Hospital - San Francisco
• Santa Monica/UCLA Medical Center - Santa Monica
• UCSF/Mount Zion Hospital and Medical Center - San Francisco
• Veteran's Administration Medical Center - Fresno
• Veteran's Administration Medical Center - Long Beach
• Veteran's Administration Medical Center - La Jolla
• Veteran's Administration Medical Center - San Francisco
• Veteran's Administration Medical Center - West Los Angeles
AFFILIATION LIST

UC Irvine
• Long Beach Memorial Medical Center
• Long Beach Veteran's Administration Medical Center - Long Beach

UC Los Angeles
• Cedars Sinai Medical Center
• Charles Drew University of Medical Sciences (King/Drew Medical Center)
• Harbor/UCLA Medical Center
• Kern Medical Center - Bakersfield
• Olive View/UCLA Medical Center - Sylmar
• Santa Monica/UCLA Medical Center - Santa Monica
• Veteran's Administration Medical Center - West Los Angeles

UC San Diego
• Children's Hospital - San Diego
• Mercy Hospital - San Diego
• Naval Regional Medical Center - San Diego
• Veteran's Administration Medical Center - La Jolla

UC San Francisco
• San Francisco General Hospital - San Francisco
• UCSF/Mount Zion Hospital and Medical Center - San Francisco
• Veteran's Administration Medical Center - Fresno
• Veteran's Administration Medical Center - San Francisco

*According to the Association of American Medical Colleges a major affiliation is defined as a facility in which medical students serve a required clerkship in at least one of the major clinical departments. Based on this definition, four UC biomedical libraries (Irvine, Los Angeles, San Diego, San Francisco) have identified their own list of affiliated libraries for the purposes of this program. UC Davis has chosen not to participate in this program.

Revised: July 29, 2010
Part G: UC/Stanford Rush Guidelines and Procedures

Created by HOPS ILL 10/22/96, approved by HOPS 1/3/97

UC Policy for Rush Transactions
It is the responsibility of all UC Libraries to respond to RUSH requests, as defined below, from other UC libraries as a first priority, following the procedures below.

Definition of Rush
Rush is defined as any material that is needed within 24 hours or less. In the medical setting, requests that are clinical emergencies and are labeled as such, should be filled within 4 hours. In addition to the procedures listed in the UC ILL Manual under routine transactions the following procedures apply to rush transactions.

Procedures:

Responsibilities of the Borrowing Library:
- Initiate rush request via normal methods, at the discretion of the borrowing library (Email, FAX, ARIEL, DOCLINE, OCLC, RLIN, telephone, etc.), followed immediately by a phone call to the lending library to notify them of the rush request and any special instructions for delivery (FAX, ARIEL, FedEx, courier, etc.).
- Include "RUSH - ARIEL/FAX Immediately," and your ARIEL address or FAX number or other delivery information in the borrowing notes or comments fields of the request.

Responsibilities of the Lending Library:
- Respond to the rush request as a top priority.
- Agree to provide a turnaround time of four hours or less for clinical emergency requests and twenty-four hours or less for non-clinical emergency requests from receipt of request to shipment/rejection.
- Respond to rush requests that cannot be filled immediately by telephoning the borrowing library.

Fees for Rush Service:
No fees will be charged for routine or rush requests. Reimbursement for lending credit will be handled in accordance with UC policy.
Part H: Packing and Shipping Guidelines

IAG PACKING AND SHIPPING GUIDELINES FOR INTERLIBRARY LOANS
Shipping and Delivery will be made by Tricor, Inc. Courier Services

Shipping Guidelines for Campus ILL Units & Mail Rooms
(As modified at the October 2000, January 2001, and July 2010 RSC-IAG meetings)
1. Books from General Collections will be shipped in bins or pouches as appropriate for the size of the shipment.
2. Books in bins will be packed with appropriate padding such as bubble wrap or corrugated wrap to provide cushioning and to prevent them from shifting positions within the bin.
3. Books in pouches may be placed in envelopes/jiffy bags for additional protection.
4. Articles may be shipped in pouches and placed in hard covered folders (such as color life expanding wallets with grippers) for shipment within the pouches.
5. Pouches may be shipped in bins for greater protection.
6. Microforms and maps will be individually wrapped before shipping in bins. Microforms will not be shipped in pouches.
7. Audio tapes, CDs and sound recordings will be placed in a box for shipment within a pouch or bin. LPs will be sent in bins only.
8. Fragile/damaged items will be tagged prior to shipment and bins will be tagged with notice of containing fragile items to alert the receiving library as well as Tricor.
9. Items being sent to all campuses should be wrapped in plastic in addition to bubble wrap during the rainy season (i.e., October-April).
10. Empty bins and pouches will be returned, empty or not, to their owning library.

Tricor Delivery Guidelines
(As modified in the 2000 UC/Tricor MOU)
1. Pick ups and deliveries will be made in an appropriate delivery vehicle that ensures the safety of materials being shipped. Materials may not be exposed to climatic conditions that would compromise the items (including exposure to water, extreme heat or extreme cold.) Materials must be covered from the elements at all times including during transportation and when waiting for transfers.
2. Bins will be covered in plastic for protection, especially during rain. If items are noticeably wet, Tricor will notify the library immediately so that measures can be taken to prevent mold or mildew.
3. Deliveries must be left where they are protected from weather conditions.
4. Bins and pouches must not be thrown or handled in any manner that could damage the materials inside.
5. Bins must not be stacked over five bins high.
6. Tricor personnel will be uniformed and display identification badges.
7. Tricor vehicles will be appropriately marked and/or display window signage.
8. These guidelines apply to Tricor and its subcontractors.
Part I: Preservation Flags

To send with item to borrowing library:

This item is brittle, damaged or fragile

It has been shipped with a pre-existing condition.

This item has:
___ loose boards
___ torn binding
___ brittle pages
___ another condition

Please handle with care.

Wrap securely when returning to the lending library.

*Thank you for your cooperation.*

To send with item to patron:

Do Not Remove This Band

This item is brittle, damaged or fragile.

Please leave this item in the envelope provided.

Handle with care.

Please DO NOT place item in book drop or bin.

Return to the Interlibrary Loan Desk at the Library for check-in.

*Thank you for your cooperation.*
Part J: Guidelines for Recharging Campus Libraries

posted October 29, 2008

I. Purpose

To provide guidelines for UC campus libraries to follow when issuing recharges to other UC campus libraries for lost or missing items. These guidelines also recommend time frames for recharge actions.

II. Background

In fall 2007 a taskforce was formed comprised of: Laura Chipps (San Diego), Bob Freel (UCLA), Scott Hathaway (Santa Barbara), Pam La Zarr (Irvine), Jason Newborn (Davis).

The taskforce was asked to:
2. develop policies and procedures for UC campus libraries to follow when issuing recharges to other UC campus libraries for lost or missing items,
3. recommend time frames for recharge actions, and
4. identify VDX “Best Practices” to avoid billing/recharge situations.

The taskforce issued guidelines in November 1, 2007.

III. Campus Library Recharge Situations

a. Reported lost by the lending institution.

Recommendations:
• 60 Days after VDX due date.

A lending institution that wishes to recharge for the replacement cost and handling fees should consider waiting at least 60 days after the VDX due date. This applies to all materials including recalled items.

(Lending library should first perform several local searches to attempt to locate and clear/check-in missing items.)

• No maximum

There is no maximum waiting period. As long as a book is still checked out and there is no evidence that it has been returned, the lending institution can recharge at any time after the suggested 60 days. Because there are related costs to issuing recharges and credits, lending institutions may wish to consider waiting until it is certain that an item will not be returned before issuing a recharge.
Part J: Guidelines for Recharging Campus Libraries

• **2 Week prior notification to Unit Head.**

  A lending institution must contact the “Unit Head” from the borrowing institution via separate email at least two weeks prior to making recharge. Lending institutions should contact borrowing “Unit Head” that is listed in the Directory of UC/Stanford ILL Units.

• **Minimum information.**

  A lending institution that wishes to recharge for the replacement cost and handling fees must provide the Unit Head with the following information:
  - VDX transaction number (either the TGQ or ILL number)
  - Title.
  - Dollar amount to be charged.

  The borrowing institution Unit Head should respond to the lending institution within two weeks of being contacted. If necessary the Unit Head should supply the lending institution with a recharge number.

  Note: Campuses that plan on issuing recharge 60 days after the due date should contact the Unit Head 45 days after the due date.

• **Notification of credit.**

  Campuses will also notify Unit Head when a credit is being issued (after item has been returned).

b. **Reported lost by the borrowing institution.**

  Borrowing institutions may request that they be charged for lost materials. In some situations it is the requestor (borrowing patron) who reports that they have lost an item and want to pay for its replacement.

  Recommendations

  • **Minimum information from borrowing institution.**

    The borrowing institution should notify the lending institution of lost item by providing VDX transaction number and title.

  • **Lender to respond within 2 weeks.**

    The lending institution should respond within 2 weeks, sooner if possible, with the replacement cost and processing fees. Prompt response allows the borrowing library to settle fees with its user.
• **Submitting replacement volume in lieu of payment.**

Submitting a replacement volume in lieu of payment is up to the discretion of the lending library.
- The lending institution is not obligated to accept replacement copies.
- The lending institution may request to inspect the item that is being submitted for replacement prior to its acceptance. It is possible that the copy being submitted for replacement may be rejected.
- Processing fees plus the cost of binding if required may be charged in addition to the volume.

c. **Replacements for items in the RLF’s**

Because of the workflow involved with owning campus and the difficulty of finding a replacement item, campus libraries should encourage users to submit replacement copies when an item is housed in the Regional Library Facilities.

d. **Damaged materials**

Recommendations
- Immediate notification. When the lending library discovers material has been damaged, staff should immediately contact the Unit Head at the borrowing library.
- If the item is repairable, the lending library should inform the borrowing library Unit Head of repair costs. After which the lending library may process recharge.

e. **Acceptable fees that may be charged.**

Recommendations
- Lending institutions may charge replacement cost plus processing fee. Process fees will vary by campus.
- Lending institutions should not charge other institutions for overdue or recall fines.

f. **Once an item has been recharged.**

Recommendations
- The lending campus will record a note in the VDX record that the item has been recharged.
IV. VDX Best Practices

VDX provides powerful tools for communication between ILL units but has peculiar limitations. ILL units should follow these guidelines to avoid miscommunication.

1) Regular response to renewal requests is important even for units that frequently use a “no renewal” limit.
   a. When a lending unit answers “renew-answer-no” and the item is already past its due date, they should also action the item “overdue” so that the item receives a clearly marked and searchable status in VDX.

2) Lending libraries should action items “Overdue” once they become due or shortly after. An overdue status is strongly preferred over an automated circulation email.

3) When a lending library has an urgent request for return they should always perform a “recall” action in VDX. A recall action in VDX is very strongly preferred over an automated circulation email.

4) Borrowing libraries should track “overdue” statuses and pursue the return of the item through channels determined by campus policy. Initiating a recall or contacting the patron is appropriate.

5) Borrowing libraries should track “recall” statuses and vigorously pursue the return of the item through channels determined by campus policy. Initiating a recall or contacting the patron is appropriate.