

**ILLINET Interlibrary Loan Code**  
**Best Practices**  
September 2015

## **Introduction to Best Practices**

This description of ILLINET Interlibrary Loan (ILL) Code Best Practices was developed by the ILLINET ILL Code Revision Committee in 2014. The purpose of the document is to help ILLINET members ensure that appropriate and sufficient interlibrary loan practices are in place and that Illinois libraries are in compliance with the components of the ILLINET Interlibrary Loan Code effective March 20, 2015. This document complements rather than replaces the ILL Code. Please refer to the ILL Code for specific ILLINET interlibrary loan requirements.

## **Best Practices**

### **1. Be Aware of Supporting Educational Materials**

**The ILLINET Interlibrary Loan Code** governs interlibrary loan policy for all libraries belonging to an Illinois library system [[23 Ill. Adm. Code 3030.Appendix A](#)]. See also, *ILLINET Interlibrary Loan Code* (Revised 2015): [http://www.cyberdriveillinois.com/publications/pdf\\_publications/lda130.pdf](http://www.cyberdriveillinois.com/publications/pdf_publications/lda130.pdf).

- a) **The Interlibrary Loan Code of the United States**, adopted by the American Library Association, establishes the principles that facilitate 1) the requesting of materials by a library and 2) supplying loans and copies to other libraries. <http://www.ala.org/rusa/resources/guidelines/interlibrary>
- b) **The Explanatory Statement for the ILL Code for the United States** provides a detailed explanation and specific examples of principles found within the Interlibrary Loan Code of the United States. <http://www.ala.org/rusa/resources/guidelines/interlibrary>

### **2. Develop an institutional interlibrary loan (ILL) policy**

- a) Include the effective date of the policy
- b) Include the purpose of the policy
  - a. Ensure that it is user focused.
- c) Ensure that holdings are discoverable
  - a. To increase the visibility of the library's holdings:
    - i. Be a member of a consortium with a shared catalog or discovery system.
    - ii. Make holdings discoverable in OCLC WorldCat - [www.worldcat.org](http://www.worldcat.org) .
    - iii. Utilize an OpenURL to help users connect to resources (ex: SFX by Ex Libris, WebBridge by Innovative Interfaces Inc., Article Linker by Serials Solutions)
    - iv. Use plug-ins/widgets to identify and locate library materials (ex: the LibX Toolbar)
    - v. Provide links to digitized collections in the local integrated library system (ILS).
    - vi. Use a federated search tool for cross-collection searching.
    - vii. Update electronic collections holdings in the local catalog.
    - viii. Seek methods to share public domain content digitally.
- d) Outline borrowing guidelines
  - a. Describe who can use the ILL borrowing services at the library
  - b. Describe the limits on formats, number of requests, or fees if any
  - c. Designate user responsibilities for late, lost, or damaged materials
  - d. Describe to what extent an item will be pursued (i.e. in-state, out-of-state, international)
  - e. Describe how users will be notified when materials either arrive or are not available
- e) Outline lending guidelines
  - a. Describe what formats of requests will be accepted (For example: phone, email, ALA ILL Form, OCLC, Docline)
  - b. Describe what formats will be loaned
  - c. Designate what the loan period is and if it varies depending on the format
  - d. Describe whether renewals will be allowed and how many
  - e. Describe what fees will be charged for special services, if any. Such as:
    - i. Photocopies
    - ii. Shipping

- iii. Express/rush services (if provided)
  - f. Describe how libraries will be invoiced or billed. Such as:
    - i. Invoice with materials or separately
    - ii. Use OCLC IFM
    - iii. Accept credit cards
  - g. Describe the acceptable delivery methods. Such as:
    - i. ILDS, Library System Delivery, USPS, UPS, FedEx
    - ii. Photocopies: Fax, Ariel, Odyssey, Article Exchange
  - h. Outline the policy on lost items
- f) Include contact information
  - a. Include the library name, main ILL contact person, address, phone, fax and email
- g) Post on the library's website.
  - Post on Library Learning's (L2) ILLINET Resource Sharing Policy Directory, <http://www.librarylearning.info/rsdirectory/>
  - Post on OCLC ILL Policies Directory: <http://illpolicies.oclc.org>
  - Post on OCLC WorldCat Registry: <http://www.worldcat.org/registry/policy>, if applicable
- h) Review the ILL policy annually
  - Update the information in the policy directories
  - Keep the policy user focused
  - Keep the policy clear
  - Ensure that ILL policies encourage open resource-sharing

### 3. Best Practices of the Requesting Library

- a) Placing requests.
  - a. Process user requests to borrow materials as soon as possible.
  - b. Include complete citation, which at the minimum, includes:
    - i. For returnables like books, AV materials:
      - 1. Author(s), title, publisher, place of publication, and date.
    - ii. For non-returnables like journal articles and book chapters:
      - 1. Author(s), article or chapter title, title of periodical or book, volume, issue, date and page numbers.
    - iii. For all other resources, include as much information as possible.
  - c. Do not request items to use in displays without prior permission from the supplying library.
  - d. Spread requests around equitably.
  - e. Request only formats that the requesting library is willing to lend.
- b) Complying with copyright
  - a. The requesting library is responsible to comply with Copyright Law (17 U.S.C.) and its accompanying guidelines (ex: CONTU guidelines).
  - b. The requesting library is responsible to notify the supplying library of copyright compliance. The requesting library is responsible to inform its users of the applicable portions of copyright law. All libraries should post a copyright statement on all duplication equipment within the library, including public use photocopiers and scanners.
    - i. Sample statement: "Notice: Copyright law of the United States (Title 17 U.S. Code) governs the use and distribution of copyrighted material. The person using this equipment is liable for any infringement."
  - c. Do not request items through interlibrary loan to use on library reserves (course reserves).
    - i. Fair Use guidelines would dictate purchasing a copy for your own library rather than using interlibrary loan.
  - d. Copyright for requesting non-returnables:
    - i. Indicate copyright compliance on all requests for photocopies.
      - 1. Compliance means that the library does not subscribe to the journal.
      - 2. Compliance means that the publication date of the requested item is within the last five years.
      - 3. No limit on the number of copies requested.

4. The library is still subject to subsection 108(g)(2) of the copyright law that prohibits systematic photocopying of copyrighted materials in such aggregate quantities as to substitute for purchase of or subscription to the publication.
  5. Automated systems such as OCLC provide a checkbox to mark CCG or CCL compliance.
    - a. CCG (Copyright Clearinghouse Guidelines) is the requesting library's indication on a photocopy request that the request conforms to the CONTU "Guidelines for the Proviso of Subsection 108(g)(2)."
    - b. CCL (Copyright Clearinghouse Legislation) is the requesting library's indication on a photocopy request that the request conforms to the U.S. Copyright Law, Title 17 U.S.C.
- c) Copyright Links
- <http://copyright.lib.utexas.edu/l-108g.html>
  - <http://fairuse.stanford.edu/>
- d) Communicating with users and supplying libraries
- a. Include current shipping and contact information with the request.
  - b. Inform the user when ILL material is ready for pick up.
  - c. Inform the user about restrictions or special handling of the item.
  - d. Inform the user when material cannot be obtained through ILL.
  - e. Inform the user of where to direct questions regarding the material.
  - f. Inform the user how and where to return ILL material.
  - g. Pass along overdue or recall notices to the user.
  - h. Help the supplying library recover overdue, lost materials or to receive compensation.
- e) Handling lost or damaged materials.
- a. The requesting library assumes responsibility for the material shipped
  - b. The requesting library is responsible to pay the supplying library for items lost or damaged within a reasonable period of time.
  - c. The requesting library should make note of damage so the user is not charged if an item is received in a damaged but **usable** condition.
  - d. The requesting library should contact the supplying library if an item is received in damaged and **unusable** condition.
  - e. For specific fees required, see ILLINET Code, Section VIII Fees
- f) Developing collections.
- a. Interlibrary loans should inform the library's collection development policy to identify gaps in the collection.
  - b. Consider purchasing materials that are repeatedly requested by users for the library's collection.

#### 4. Best Practices of the Supplying Library

- a) Filling requests.
  - a. Process requests daily
    - i. If an item cannot be found, pass the request to the next lending institution or contact the requesting library to discuss the situation. Don't hold the request up while searching for the item.
  - b. Look for any notes or messages from the requesting library.
  - c. Do not substitute items without permission from the requesting library.
  - d. If you discover a problem with the citation, contact the requesting library.
  - e. Contact the requesting library to inform them of any unusual lending "special instructions" prior to filling the request.
- b) Ensure all materials sent are clearly marked with the library's identifying ownership information including library name, institutional affiliation, and/or city.
  - a. Include request paperwork with material being sent that includes:
    - i. Routing slip or address label

- ii. Request number
  - iii. Citation Information
  - iv. User Information
  - v. Special Instructions (highlighted so they are easily seen by requestor)
  - vi. Supplying library contact information
  - vii. Due date
  - viii. Renewal information
  - ix. Copy requests should include either the copyright notice from the material or the following copyright notice: NOTICE: This material may be protected by Copyright Law (Title 17, U.S. Code)
- b. Include return shipping label with items to be returned.
  - c. Send copies electronically whenever possible.
  - d. If request comes from an automated system, update request to “Shipped” before sending item.
  - e. Use appropriate packaging materials for shipping.
- c) Handling lost or damaged materials.
- a. The requesting library is responsible for replacement, repair or compensation.
  - b. The supplying library is responsible to bill or not to bill the requesting library for replacement, repair, or compensation.
  - c. The supplying library is responsible to provide materials that are in good condition.
    - i. If a supplying library chooses to lend a damaged item, they should notify the requester of that damage.
- d) Lend formats as liberally as possible
- a. Lend audiovisual material, newspapers, and other categories of material that have traditionally been non-circulating.
  - b. Provide a copy in lieu of a loan, rather than refusing a request, if permitted by copyright law.
  - c. Be aware that license agreements for electronic resources may **permit or prohibit lending** of an electronic resource. Be proactive when purchasing electronic resources to obtain the right to supply materials through interlibrary loan.
  - d. Review and challenge the lending policies, with the goal of lending as liberally as possible.
- e) Complying with copyright.
- a. The supplying library confirms that the requesting library has indicated compliance with Title 17 U.S.Code.
  - b. The supplying library marks copy requests with either the copyright notice from the material or the following copyright notice: “NOTICE: This material may be protected by Copyright Law (Title 17, U.S. Code).”
- f) Communicating with users and requesting libraries.
- a. Inform the requesting library when their requested material is not available to lend through ILL.
  - b. Include either the copyright notice from the material or the following copyright notice:
    - i. “NOTICE: This material may be protected by Copyright Law (Title 17, U.S. Code).”
  - c. Respond to renewal requests within 3 working days.
    - i. If the supplying library does not respond, the requesting library will assume the renewal has been granted for the length of the initial loan period.
  - d. Inform the requesting library of due date and special handling needs.
  - e. Include appropriate return information, such as ILDS code or return address.
- g) Developing collections
- a. Provide statistics to the library’s collection development staff
  - b. Analyze ILL request data to identify popular ILL subjects in the collection
  - c. Consider ILL lending when weeding or deselecting items

## 5. Best Practices for Staff Training

- a) When to train staff.
- b) When newly hired staff
- c) When newly assigned to interlibrary loan duties
- d) When ILL cross-training is needed (recommended for all libraries).
- e) When there are changes to policies or procedures.
- f) When there are changes to the software platforms used for interlibrary loan.
- g) When performing a yearly review of policies and procedures.
- h) Who should train staff
- i) The current ILL staff at the library should be the primary trainers for new staff.
- j) If no in-house ILL training is available, the ILL staff member should seek outside assistance.
  - a. Depending on the integrated library system used, staff from the vendor, or staff from the library's consortium, may supply training support.
  - b. OCLC has extensive training available from live webinars, archived sessions, video tutorial, or paper documentation. To find information go to OCLC.org and click on *Support & Training*.
- k) Additional considerations when new staff is hired
- l) If the new ILL staff member is the primary contact or supervisor for the ILL department:
  - a. Update the library's website.
    - i. Notify the system/consortium with the staff member's new contact information.
    - ii. Update L2, OCLC ILL Policies Directory, OCLC WorldCat Registry, and others as needed with the staff member's new contact information.
    - iii. Notify CARLI of the staff member's new contact information if the library is an ILDS direct-stop, [support@carli.illinois.edu](mailto:support@carli.illinois.edu).
- m) Materials/information needed by ILL staff.
- n) A copy of the library's interlibrary loan policy.
- o) Understanding of the relationship between the library's various ILL programs and systems.
- p) Workflow procedures for doing ILL at the library, including:
  - a. Receiving and delivery of ILL materials between departments.
  - b. Processing materials for user use.
  - c. Labeling and placement of books for pick-up by library users.
  - d. Sending or returning materials to other libraries.
  - e. Special packaging requirements.
  - f. Location of supplies and knowledge of who orders supplies when needed.
- q) Access to online training or documentation from the consortium and/or vendor.
- r) Continuing education
  - a. Continue to seek professional development opportunities.
  - b. Subscribe to appropriate email lists such as
    - i. ALA Distance Learning Section (DLS): <http://lists.ala.org/sympa/info/dls-l>
    - ii. CARLI Resource Sharing Interest Group: <http://carli.illinois.edu/mailman/listinfo/resshare-ig>
    - iii. IHLS Announce: <http://www.illinoisheartland.org/?q=content/page/ihls-listservs>
    - iv. IHLS Exchange: <http://www.illinoisheartland.org/?q=content/page/ihls-listservs>
    - v. IHLS SHARE Announce: <http://www.illinoisheartland.org/?q=content/page/ihls-listservs>
    - vi. ILDS Announce: <http://carli.illinois.edu/mailman/listinfo/ilds>
    - vii. ILDS Interest Group: <http://carli.illinois.edu/mailman/listinfo/ilds-ig>
    - viii. ISLMANET-L: <http://www.islma.org/listserv.htm>
    - ix. OCLC ILL-L: <http://listserv.oclc.org/archives/ill-l.html>
    - x. OCLC Lists: <http://www.oclc.org/en-US/email/subscribe.html>
    - xi. RAILS listservs: RAILS provides networking opportunities through their RAILS Community Forums such as the Interlibrary Loan Forum. RAILS members must login to the RAILS website using their L2 email address and password, then click on Community> Community Forums> Subscriptions, to sign up for the forums.

## 6. Best Practices for User Confidentiality

- a) The Library Records Confidentiality Act (75 ILCS 70/) states that, "The registration and circulation records of a library are confidential information." Since interlibrary loan is often a documentation-intensive process, both the supplying and requesting library must work to protect user confidentiality.
- b) Consult "[Protecting Library User Confidentiality: Checklist of Best Practices](#)."
- c) Educate staff about user confidentiality.
- d) Do not retain circulation history once an item is returned.
- e) Do not include user names on interlibrary loan requests sent to other institutions or through commercial document suppliers if possible.
- f) If ILL paperwork will be stored long-term, remove user identifiable information from those records.
- g) Shred any paperwork that contains user identifiable information; recycling/trashing is not enough.

## 7. Best Practices for Statistics

- a) The ILLINET ILL Code requires libraries to fill out the ILLINET Interlibrary Loan and Reciprocal Borrowing Survey annually.
- b) The Illinois State Library informs Illinois libraries of availability of the ILLINET Interlibrary Loan and Reciprocal Borrowing Survey via a link on the Illinois State Library's website, [http://www.cyberdriveillinois.com/departments/library/libraries/ill\\_survey.html](http://www.cyberdriveillinois.com/departments/library/libraries/ill_survey.html), and via E-news from the ISL, an electronic newsletter.
- c) Libraries who are members of a system or an automated consortium, should contact the staff of the system/consortium for a list of the reports to use when completing this statistical report.
- d) Below is a list of reports to use if you are a CARLI I-Share member, use WorldShare ILL, or use ILLiad:
  - i. Consortium of Academic and Research Libraries in Illinois (CARLI) members should use the UB Stat 4 report, which gives the total lending and borrowing requests submitted and filled. See: <http://www.carli.illinois.edu/products-services/i-share/stats>.
  - ii. Libraries using WorldShare ILL should use the following OCLC statistical forms found at <http://www.stats.oclc.org>
    1. Borrower Activity Overview Report
    2. Lender Activity Overview Report
    3. Borrower Resource Sharing Stats Report
    4. Lender Resource Sharing Stats Report
  - iii. Libraries using ILLIAD should use the following statistics (found within ILLIAD Resource Sharing Management software statistical tools) :
    1. Borrowing Web Reports
    2. Lending Web Reports
- e) When filling out any annual statistical report:
  - a. Use the same statistical tools from year to year so that data is consistent
  - b. Look at the glossary to understand the terms used, especially "interlibrary loan" and "reciprocal borrowing".
  - c. Include interlibrary loans requested, or filled, via ALA form, email, mail, fax, or telephone.

## 8. Best Practices on the Responsibilities of the User

- a) The user is responsible to:
  - a. Contact his/her home library first if there are questions about requesting interlibrary loan material, the conditions of an interlibrary loan, the copyright policies affecting the item, or renewing a loan.
  - b. Understand the importance of stewardship of library materials.
  - c. Understand their responsibilities that if materials are lost, damaged, or returned late, a fine might be incurred or borrowing privileges could be curtailed.
  - d. Provide the most complete citation possible for the material they wish to obtain
  - e. Allow sufficient time for the identification, location, and delivery of desired interlibrary loan resources.

- f. Pick up requested materials from the library as soon as possible.
- g. Request a renewal of material before it is due.
- h. Understand that if an ILL material is lost or damaged, the supplying library will determine the appropriate fee.
- i. Follow any restrictions or special handling requirements of the supplying library.
- j. Understand that materials borrowed through interlibrary loan are subject to recall at any time. Recalled materials should be returned immediately.
- k. Return the materials to the appropriate library.
- l. Ensure that the library has their correct and accurate contact information. Understand that copies of copyrighted materials received through interlibrary loan become the property of the user. The user must not reproduce those items for further distribution, except under conditions of fair use.

### **Best Practices for Packaging and Delivery**

The ILLINET Interlibrary Loan Code Best Practices for Packaging and Delivery are in alignment with the [Delivery Best Practices](#).

#### **Responsibilities of both the supplying and requesting libraries**

##### **1. Ownership or property mark.**

- a. All materials (including items/pieces) must be identified with a current ownership mark that is easily visible and legible.
- b. The basic ownership mark must be the library's legal name. Provide additional detail (city or complete address) when necessary to identify the owning libraries, branches or buildings and to differentiate it from libraries with identical or similar names.

##### **2. Bundling**

- a. Bundling of non-fragile materials can provide protection in delivery.
- b. A bundle of materials should be ergonomically manageable by hand (no more than 3 or 4 inches high). As a general guideline, three items of approximately the same size and being routed to the same requesting or supplying ILLINET member comprise a manageable bundle.
- c. Bundled materials must be adequately secured, using rubber bands, straps or string, so that separation during delivery will not occur.
- d. As a general guideline, no more than three items going to the same location should be bundled together.

##### **3. Packaging**

- Materials should be packaged to prevent damage or loss in shipment.
- a. Using common sense and experience are the best practices for packing delivery containers.
  - b. The supplying library should notify the requesting library of any special packaging and shipping requirements before sending the material. The requesting library should comply with these requirements.
  - c. Items that are fragile or of historical value should be packaged for protection in delivery. Consider using both outer packaging containers and inner protective packaging supplies.
  - d. Sturdy, protective outer packaging containers should be used for all library deliveries.
  - e. Outer Packaging Container Types: Examples
    - i. Boxes
    - ii. Padded/Jiffy Bags
    - iii. ILDS bags
    - iv. Plastic tubs

- f. Re-use of outer packaging containers is acceptable and encouraged subject to the condition of that packaging. When in doubt, do not reuse.
- g. All previous labeling should be removed or crossed out in order to facilitate delivery efficiency and accuracy.
- h. Outer packaging containers should be sealed with tape NOT staples.
- i. Courier bags and totes with latches should be secured with zip ties.
- j. Protective packaging should be used inside an outer packaging container when warranted or requested by the supplying library.
  - i. Protective Packaging Types: Examples
  - ii. Bubble Wrap
  - iii. Packing peanuts
  - iv. Styrofoam
  - v. Newspaper
  - vi. Cardboard
  - vii. Padded sleeves or mailers
  - viii. Plastic or metal cases intended for AV materials
- k. Re-use of protective packaging supplies is acceptable and encouraged subject to the condition of that packaging. When in doubt, do not reuse.
- l. Protective packaging, when used, should be sealed with tape.
- m. Audiovisual type materials (CDs, records, audio books, DVD's, videos, microfilm)
- n. These types of materials (and their standard cases) are fragile and subject to damage in delivery; therefore, use of protective packaging is strongly recommended.
- o. Ship using non-breakable outer cases, if available. As an alternative, ship audiovisual type materials using an outer packaging container, other types of protection (such as bubble wrap), or both.
- p. Other fragile materials' types (magazines, thin books, pamphlets, microfiche)
- q. These types of materials are fragile and subject to damage in delivery; therefore, use of protective packaging is strongly recommended.
- r. Ship using an outer packaging container and, as necessary, inner protective packaging such as two pieces of cardboard. As an alternative, ship these types of fragile materials using an outer packaging container, other types of protection (such as bubble wrap), or both.
- s. Bundling and/or rubber banding of these materials' types is not recommended.
- t. Heavier materials should be placed in the bottom of delivery containers, and all fragile materials should be placed in the top portion of the delivery container.
- u. A separate (or smaller) delivery container, if available, should be used for the shipment of fragile materials.
- v. Delivery containers should not be over packed. The statewide weight standard for delivery containers should be a maximum of forty pounds. When in doubt, use an additional delivery container.

#### **4. Labeling**

- a. There is currently no single standard or procedure for labeling library materials for the shipment between libraries in Illinois. However, there are characteristics common to all interlibrary transactions that can guide the labeling of materials for resource sharing/interlibrary loan.
- b. Each item in a library's collection should have clear and obvious stamp of ownership that unambiguously differentiates it from every other library. This is the ultimate failsafe for an item that is lost, mishandled or otherwise separated from other paperwork.
- c. Each interlibrary lending/borrowing transaction should generate a record that is printed and accompanies the item through the delivery process. Examples include call/charge slips from a library's ILS or a shared ILS, OCLC or other interlibrary loan form.
- d. Each item transported in containers that include materials intended for more than one final destination should have a delivery label. This may be the transaction label described above (2), the statewide ILDS paper label



(<http://www.illinoisdelivers.net/sites/files/PaperILDSlabel.pdf>) or a label designated by RAILS or IHLS.

- e. Each container (ILDS bag, plastic tote, box, etc.) should have a label that identifies the destination of all of the materials in the container. NOTE: The container label may direct the container to a sorting facility, where additional processing takes place prior to delivery to a final destination.
- f. All delivery containers should be appropriately labeled in order to facilitate delivery accuracy.
- g. The statewide standardized or authorized delivery label should be securely affixed to each item in order to facilitate delivery efficiency and accuracy.
- h. A delivery label should be affixed to each item in a bundle as well as to the bundle. Only items being routed to the same requesting or supplying ILLINET member should be bundled together.
- i. A delivery label, for the intended destination ILLINET member, should be affixed to each item within the packaging container as well as to the exterior of the outer packaging container.
- j. The library's full (or abbreviated, if statewide standardized abbreviations are used) legal name (and city, as necessary) should be used in the delivery label's "ship to" data field instead of codes or other designations which can be misunderstood.
- k. Computer generated labels are preferred. If delivery label information is handwritten, then it should be legible.
- l. Best practice conservation techniques should be used when attaching labels to items (or including paperwork within items); specifically, place a delivery label over the item, a rubber band around the item, and affix tape to the rubber band and label. Removable tape may be used as an alternative; however, use best judgment in affixing removable tape directly to an item.
- m. Detailed instructions for labeling ILDS shipments can be found at <http://www.illinoisdelivers.net/ilds-faq>.

## **5. Shipping.**

- a. In Illinois, use System Delivery or ILDS if at all possible.
- b. For Out-of-State, use United States Postal Service Library Mail or other shipper (UPS, FedEx, etc.).