

Interlibrary Loan Policies and Procedures for Special Collections Materials: Full Document

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Adapted from the *ACRL/RBMS Guidelines for Interlibrary and Exhibition Loan of Special Collections Materials* (<http://www.ala.org/acrl/standards/specialcollections>)

PURPOSE & PRINCIPLES

The University of West Georgia Ingram Library's Special Collections (hereafter referred to as Special Collections) engages in interlibrary loan with other institutions to enhance access, support research, and promote awareness of our collections effective November 20, 2014.

Special Collections will serve as both a borrowing and a lending institution. As a borrowing institution, it holds responsibilities regarding the care, handling, and storage of loaned materials and the management of their use. As a lending institution, Special Collections has an ethical responsibility to safeguard its collections for future use, including any materials Special Collections may lend to other institutions.

Special Collections approaches loan requests in a spirit of collaboration with a willingness to provide access to primary resources for patrons through the most suitable means.

The guidelines below adhere to and complement the American Library Association (ALA) *Interlibrary Loan Code for the United States*, the Association of College and Research Libraries (ACRL)/Society of American Archivists (SAA) *Joint Statement on Access to Research Materials in Archives and Special Collections Libraries*, the *Code of Ethics of the American Library Association*, and the *ACRL Code of Ethics for Special Collections Librarians*.

GENERAL GUIDELINES

Staff from interlibrary loan, special collections, access services, administration, and other relevant library units are partners in developing policies and procedures for interlibrary loan, as well as in decision-making and implementation.

Decisions about lending will be based on factors such as material type, rarity, value, fragility, or nature of the collection. Some may require case-by-case decision-making at the item level, while others may allow more routine decision-making at the collection level. Archival and manuscript collections and other aggregate collections may be best served with different protocols than those applied to requests for individual published materials.

These guidelines primarily address situations in which researchers require use of original source materials managed by a special collections repository cannot travel to the repository to consult the collections onsite, or for whom alternative means of access, such as digital reproductions, photocopies, or microfilms, are not adequate to their needs or cannot be provided.

The guidelines also recognize that often there may be other more desirable and suitable alternatives to borrowing and lending original special collections materials. Although not addressed within the scope of these guidelines, services such as scan-on-demand and digitization programs are encouraged as alternative means of providing access, especially insofar as they may safeguard the original materials more effectively and be delivered more efficiently.

POLICIES

- Special Collections will only consider loan of published materials on a case-by-case basis. Suitability criteria are based on an item's 1) condition, 2) rarity, and 3) value as well as other potential factors.
- On-site demand for the requested materials will also determine its availability for ILL loans.
- At this time, Special Collections does not loan archival materials either at a collection, box, or folder level.
- Special Collections will not loan materials internationally, with the exceptions of Canada, Mexico, and United States Territories, due to risk of loss and damage
- Special Collections will assist ILL in handling and packing materials at any time to ensure the safe packaging and transport of materials
- ILL will send materials out for loan insured at a minimum of \$500 or a higher value depending upon the item. The value of the item is based not only its intellectual content, but its worth as an object, and its associational value through ownership, inscriptions, etc. The Head of Special Collections will provide justification statement as needed.
- ILL will only use boxes for send out; no "jiffy bags" (bubble soft mailing envelopes)
- ILL will send out items with the following circulation band which will be adhered to a clean manila envelope. This information will include the following information:
 - In-Library Use Only; Special Collections Reading Room Only
 - Length of loan period; non renewable
 - Reproduction options
 - Item title, author, date or other key identifying information
 - Condition statement
 - Comments
- Loan period will be stipulated by Special Collections; default loan period is 6 weeks with no renewals

- As a Lending Institution, UWG ILL will charge \$0 for consortial partners (USG, OCLC and state lending groups), \$25 for other institutions
- Special Collections will serve as a reading location for its borrowed that stipulate “In-Library Use Only”

PROCEDURES FOR UWG’S INGRAM LIBRARY AS A BORROWING INSTITUTION

A. Initiating a research loan request

1. Follow best practices for verification as outlined in the *ALA Interlibrary Loan Code for the United States*.
2. When possible, special collections, ILL, or other library staff will consult with the researcher to review the need to work with the original source material requested and to present alternatives, such as digital surrogates, other more readily accessible copies or editions, or other options.
 - a. If the request is mediated by staff at the borrowing institution, and the materials requested are considered special collections by the potential lending institution, the borrowing institution should verify with the researcher whether access to the original materials is required or whether an alternative form or means of access is acceptable.
 - b. In some situations, an interlibrary loan request may pass directly to a potential lending institution without an opportunity for the borrowing institution to review it (i.e., an unmediated borrowing request). In such cases, the interlibrary loan office at the lending institution may wish to respond conditionally and ask the borrowing institution to contact the researcher to determine whether the access to the specific copy in its original form is required. (In some cases, the researcher may not have been aware that the request was processed for an item held in special collections.)
 - c. In cases where the researcher directly contacts the special collections department, the department will advise the researcher to resubmit the request as an interlibrary loan request.
3. Encourage researchers who need to work with original source materials to travel to the repository holding the desired materials, unless distance or other factors present significant hardship.
 - a. Onsite research avoids the risks and costs associated with research loans and it ensures that the materials remain available for other researchers locally. It also

allows researchers to take more immediate advantage of the expertise of local staff and other related research materials.

5. If such research travel is not feasible, encourage researchers who wish to initiate a request to borrow special collections materials for consultation at their home institution to contact their institution's interlibrary loan office for advice and assistance rather than directly initiating a request with the special collections department at the owning repository.
 - a. If the interlibrary loan policies and practices of the borrowing and lending institutions will permit them to collaborate in the loan of special collections materials, it is generally more efficient and cost effective for both researcher and institutions involved.
 - b. In cases where the borrowing or lending institution does not have an interlibrary loan office, it will be necessary for the special collections department to assume responsibility for managing all of the aspects of a loan request that an interlibrary loan office might otherwise fulfill.

B. Preparing the loan request

1. Follow best practices for preparing interlibrary loan requests as outlined in the ILL Code.
2. Ascertain the lending institution's contact department or staff member for interlibrary lending of special collections materials, and follow the procedures for requesting materials specified in the lending institution's policy.
3. Verify that the borrowing institution's special collections staff are willing to accept the responsibility for holding and supervising the use of the borrowed materials during the period of the loan, in accordance with the general guidelines outlined above, the reading room conditions described in subsection C.6 below, and any additional handling guidelines required by the lending institution.

C. Handling the loaned materials

1. Abide by all loan conditions specified by the lending institution.
2. Ensure that special collections staff take responsibility for the loaned materials as soon as possible after the materials are received.
 - a. The loaned materials should not be left unsupervised in any unsecure area during receipt and while in transit to special collections.

- b. The borrowing institution may specify that the material be delivered directly to its special collections department.
3. Verify that the loaned materials did not suffer any damage in transit (with reference to a condition report, if supplied).
 - a. Special collections staff receiving the materials may need to consult with a conservator or other appropriately trained personnel to verify the condition of the materials.
 - b. If any damage is suspected, staff must follow protocols outlined in the loan agreement to immediately notify their own interlibrary loan staff and the lending institution.
4. Store the loaned materials in a secure, environmentally controlled special collections storage area.
5. Ensure that the materials remain in the secure storage area except for the sole purpose of providing research access for the designated researcher.
6. Provide the researcher who requested the materials access to them in a contained, secure, supervised reading room equipped for the use of special collections materials.
 - a. The reading room follows policies and procedures recommended in the *ACRL/RBMS Guidelines Regarding Security and Theft in Special Collections*.
 - b. The researcher must agree to and abide by the conditions of use prescribed by the reading room's policies and procedures and must also abide by any additional requirements specified by the lending institution, as stated in the applicable loan agreement or policy.
 - c. Access to the loaned materials must not be provided to anyone other than the designated researcher without the prior written permission of the lending institution.
 - d. Materials loaned for research use must not be publicly displayed or exhibited.
7. Follow the lending institution's instructions regarding reproduction of the loaned materials.
 - a. If reproduction is permitted, it should be performed by or under the supervision of special collections staff at the borrowing institution in compliance with United States or other applicable copyright law and any other specifications stated in the lending institution's loan policy or loan agreement.

- i. The borrowing institution may, however, decline to make reproductions and may instead refer the researcher to the lending institution to negotiate arrangements for reproduction following the return of the loaned materials.
- ii. The borrowing institution (UWG) may permit the researcher to photograph loaned materials for research purposes using a personal digital camera only when the lending institution explicitly specifies that such use is permissible. The default is no reproduction. ILL will contact lending institution if questions arise.

D. Returning the loaned materials

- 1. Adhere to loan periods and renewal request processes as outlined in the ILL Code.
- 2. Promptly return the loaned materials in accordance with the borrowing institution's local policies and procedures and any other specifications stated in the loan request or agreement.

PROCEDURES FOR UWG'S INGRAM LIBRARY AS A LENDING INSTITUTION

A. Responding to research loan requests

- 1. Respond to all requests as quickly as possible while allowing time for those charged with direct curatorial responsibility for the requested materials to adequately review the request.
 - a. In evaluating whether to lend the requested materials, consider whether the researcher requires access to the original materials or whether an alternative means of access may be suitable, in which case the lending institution may wish to send the borrowing institution a conditional response asking for further information or suggesting alternative means of access (see Guidelines for Borrowing Institutions, section A.2 above).
- 2. When possible, lend rare and unique materials at a cost equal or comparable to the standard interlibrary loan fee charged for the loan of materials from the institution's circulating collections.
 - a. If the costs of shipping, insurance, conservation treatment, or loan requirements exceed the normal interlibrary loan fee, the lending institution may require additional payment. If the amount to be charged exceeds the maximum cost specified by the borrowing institution, the lending institution should notify the borrowing institution of any additional costs and secure agreement to pay applicable fees prior to shipping the requested materials.

- b. When it is determined that a request can best be fulfilled with a reproduction, the lending institution should provide reproductions at a cost equal or comparable to the institution's standard rate, when possible.
 - i. Lending institutions may develop a fee schedule with rates for specialized reproduction and handling of special collections materials (e.g., for special formats and fragile materials). It is advisable to make the fee schedule public.
 - ii. If requested, a cost estimate should be provided to the borrowing institution before reproductions are made.
 - iii. The lending institution may require prepayment before processing the reproduction order. In such cases, it may be more practical to handle the request as a routine reproduction order between the researcher and the lending institution's special collections unit and to cancel the initial interlibrary loan request.
 - iv. Unless reproductions are specifically delivered as loans, neither the borrowing institution nor the researcher should be placed under an obligation to return the reproductions to the lending institution.
- 3. Indicate any special conditions governing the use of loaned materials, clearly stating in the written loan agreement any restrictions or limitations on research use, citation, reproduction, publication, or other forms of dissemination.
 - a. Lending institutions may limit the volume of loaned materials and the duration of the loan period.
 - b. Lending institutions are encouraged to set due dates that allow for at least 30 days' use at the borrowing institution, excluding transit time.
 - c. Loan requests that are fulfilled through interlibrary loan request systems should specify that the loaned materials are for "reading room use only" or an equivalent designation to ensure their appropriate and proper handling.
 - d. Lending institutions may require that a reproduction be made for local use while the original materials are on loan. The lending institution may choose to charge the borrowing institution for the creation of the local use copy.

B. Preparing and delivering materials

- 1. Check out materials as appropriate in the Integrated Library System (ILS).

2. Determine the means that are required to safely pack, ship, and unpack the materials.
 - a. If special means of transport, such as a fine arts handler or courier service, are required, or if special precautions must be observed in packing or handling the materials, the lending institution should specify those terms in the written loan agreement and ensure that the borrowing institution is willing and able to comply with all such special arrangements and instructions.
 - b. The lending institution may specify that the material be returned directly to its special collections department.
 - c. The lending institution may require the borrowing institution to pay for special insurance or provide a certificate of insurance coverage.
3. Prepare and pack the materials appropriately, and require that all the materials be repacked in the same or equivalent manner as when they were sent to the borrowing institution.
4. Document the condition of the materials before shipment and advise the borrowing institution in writing of any defects for which it should not be held responsible upon return.

Workflow – Lending out

REVIEW

- Request via ILL system
- ILL verifies that material is held in Ingram Library's Special Collections
- ILL contacts Ingram Library's Special Collections by email with requestor institution name, basic bibliographic information (title, author, date), and a link to the local catalog record

DECIDE

- Special Collections reviews item based on suitability criteria
- Special Collections completes *Loan of Original Materials Suitability Form* and takes images of item
- Special Collections confirms that item is not otherwise available electronically (a surrogate) or through an institution closer to Requestor
- Special Collections responds by email to ILL with a confirmation of ability to loan or a no

LEND

- ILL verifies borrowing institution's capabilities for serving materials in a secure and supervised area and get agreement to conditions/restrictions
- ILL will contact Special Collections re. borrowing institution agreement
- Special Collections will complete ILL circulation band and bring a printed out copy up to ILL along with item (in person hand-off)
- ILL will check out materials in Voyager ILS
- ILL will secure item in a locked cabinet in the ILL office until the item is sent out
- ILL oversees loan transactions
- ILL packages materials for send out – can ask Special Collections for consultation or assistance at any time in packaging to ensure safety of item. For example – dust jacketed items will need wrapping and sometimes stiff board supports will aid in protection

RETURN

- ILL will accept the returned item and keep it in a locked location until returned to Special Collections
- ILL will return item to Special Collections

Workflow – Borrowing

REVIEW

- Special Collections or other librarians may assist patrons in the identification and location of special collections materials at other institutions that are relevant to patron's research (reference interview)

DECIDE

- ILL places request for special collections materials at other institution

BORROW

- Once other institution confirms loan, ILL notifies Ingram Library's Special Collections
- ILL accepts borrowed material and stored it in a secure location
- ILL brings item down to Special Collections (in person hand-off)
- ILL notifies patron of items arrival and use conditions
- Special Collections reviews reproduction stipulations for item
- Special Collections stores item in our temperature and humidity controlled, secure storage room
- When patron arrives, Special Collections serves item in Research Room and notifies patron of the specific reproduction or other restrictions

RETURN

- Special Collections notifies by email ILL that patron is done with item
- Special Collections takes item up to ILL (in person hand-off)
- ILL packs up item
- ILL completes transaction paperwork
- ILL sends out item by delivery service