The GOLD Manual

Resource Sharing, Compliance and Membership

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Introduction

Interlibrary loan has long been a top priority for Georgia librarians. Since the formation of the Georgia Library Information Network (GLIN) in 1969, public, academic, and special libraries have worked together in sharing their resources. GLIN, located at the Georgia Public Library Service (GPLS), coordinated the interlibrary loans between these different types of libraries. Librarians called in their requests on toll-free WATS (Wide Area Telephone Service) lines. GPLS librarians matched up the librarians' requests with libraries that owned the items.

With the advent of advanced microcomputer products, it became possible to take advantage of this technology to provide interlibrary lending online. Plans for the formation of the Georgia OnLine Database (GOLD) were begun in December of 1987, when the Online Computer Library Center (OCLC) proposed the formation of a Georgia database using the records that Georgia members of the Southeastern Library Network (SOLINET) had already input into the system. In November of 1988, GOLD went online with a database of over six million Georgia holdings, and, in 1989, GOLD members voted to include a union list of serials as part of GOLD. By January of 1995, the union list had over eight million records. Over 190,000 serial holding statements were entered by member libraries as a part of the GOLD Serials Union List.

GOLD was developed to make the interlibrary loan process easier and faster and to spread the lending burden more equitably among member libraries. Under the old GLIN system, only governing (or full) OCLC members were called upon to loan their materials since they were the only libraries that had their holdings listed in an accessible database. This meant that a handful of libraries were performing 97 percent of the interlibrary lending in the state.

By batchloading the holdings of affiliate (or selective) users, interlibrary lending was more evenly distributed. GOLD member libraries could borrow materials from other libraries, which may be located in their own communities or other parts of the state. GOLD made it possible for libraries to have access to millions more holdings and resources than any one library could own. GOLD gave even the most remote communities access to the same materials as those in metropolitan areas. The development of GOLD dovetailed with other technology efforts occurring in Georgia. GALILEO (Georgia Libraries Learning Online) provides a common core of databases to the public and to students in the state. The GOLD Union List of Serials was one of the GALILEO databases, and, on July 1, 1997, the GOLD Users Group also became the GALILEO Users Group. GOLD has provided a solid framework for the future development of resource sharing and technology in Georgia.

After 2005, OCLC began changing the products and services offered to member libraries in ways that impacted GOLD. Union databases within WorldCat are no longer supported. Serials union listing offline products (SULOP) ceased in 2005, eventually replaced by the Local Holdings Offline Product (LHOP). Affiliations with regional service providers such as SOLINET were severed. OCLC Membership criteria changed and categories such as affiliate or selective users were no longer used. These and other changes in OCLC products and services necessitated GOLD make changes to membership criteria and compliance.

What is GOLD?

GOLD is resource sharing consortium made up of all library types in Georgia. Its membership is diverse and includes public, academic, technical college, K-12, medical, legal and other special

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libraries. It is also a group access capability (GAC) through OCLC. A GAC was a subset of the OCLC database in which both governing and affiliate users can participate. OCLC now considers a GAC to be an ad hoc resource sharing group united by some commonality such as subject matter or geography.

In 2015 GOLD membership requirements were broadened to include nonOCLC libraries. Resource sharing with those libraries is made possible with online access to catalogs and electronic requests for materials, such as e-mail or a library's web ILL request form.

Presently, over 200 GOLD-member libraries transact their interlibrary loans electronically over the OCLC system. These libraries search the OCLC database to find the locations of libraries owning the needed items. An electronic work form is then completed and sent to potential lenders.

What is OCLC?

The Online Computer Library Center, Inc. (OCLC) is a membership cooperative that provides services, programs, and research for libraries. It began in 1967 as the Ohio College Library Center whose goal was to computerize and network Ohio university libraries. In 1971, Ohio university libraries were the first known libraries to catalog online. The first non-Ohio libraries joined the network in 1978. Within the United States, regional service providers provided support and training to member libraries. In 2008-2009, OCLC severed ties with its regional service providers and began directly providing services to member libraries.

OCLC's WorldCat is a union bibliographic catalog consisting of MARC records representing titles in all formats owned by member libraries. The bibliographic records are created by member libraries.

WorldShare InterLibrary Loan (ILL) is a resource sharing network that utilizes the WorldCat bibliographic database. Libraries around the world use the platform to share book, documents, and other resources.

With the exception of public libraries, individual GOLD libraries are responsible for their own subscriptions to OCLC's cataloging and interlibrary loan services. OCLC can be contacted directly via their website for these services. Information about OCLC's WorldShare ILL can be found at http://www.oclc.org/en-US/worldshare-ill.html. Information about an OCLC cataloging subscription can be found at: http://www.oclc.org/en-US/cataloging-subscription.html.

OCLC can be contacted for any of their services at:
> **Phone:** 1-800-848-5800
> **E-mail:** libservices@oclc.org

Part I GOLD Membership requirements and responsibilities

Membership Participation Agreement

Members must sign the Membership Participation Agreement (MPA) (see appendix A) and comply with membership requirements as summarized in the agreement and delineated here. The MPA will be kept on file at the offices of the Georgia Public Library Service.

Library

To be a member, the organization must have an established library collection that can be shared. The library can be restricted to a single format but must be able to share through loan or copy. Copy sharing can be a physical object or digital.

> **Multi-branch libraries :** Where multi-branches of a GOLD library exist, ILL processing should be done by trained library staff to ensure that both delivery of material and updating of requests are handled efficiently. Internal procedures may allow for the provisioning of ILL by individual branches or as the sole responsibility of the headquarters unit. In the case of public libraries, all branch libraries must submit interlibrary lending forms through their headquarters unit.

Librarian

The organization must have a person designated as a librarian. This person does not have to be a full- time employee or have a library degree unless the organization is required by certification requirements to have a qualified librarian. The librarian is responsible for the maintenance and development of the library collection and should be available as a contact for information about the library and resource sharing.

Availability of collections

1. OCLC members must establish and maintain holdings for both monographs and serials in the OCLC WorldCat database.
2. All GOLD member libraries must offer online, searchable, and publicly accessible holdings.
3. Holdings should be updated at least annually.

Reciprocal lending and supplying.

The library agrees to reciprocal lending. Every effort should be made to consistently supply circulating materials when requested by a GOLD member or to supply paper or electronic copies of resources.

1. OCLC member libraries will use current OCLC functionality for lending and borrowing materials from other OCLC member libraries. They must keep their interlibrary loan and resource sharing policies and contact information up to date in the OCLC Policies Directory. Current resource sharing and library collection contact information must be present in the GOLD membership directory maintained by the Georgia Public Library Service.
2. Requests from and to nonOCLC member libraries should be electronic in nature. Emails or web based forms should be used to request materials. NonOCLC members must have their policies and procedures for interlibrary loan and resource sharing easily accessible on their website. These policies should be clear and unambiguous. Current resource sharing and library collection contact information must be present in the GOLD membership directory maintained by the Georgia Public Library Service. Materials should be tracked in the library's internal library management system.
3. For OCLC member library to nonOCLC member libraries lending: OCLC member libraries will accept

borrowing requests from nonOCLC member libraries according to GOLD guidelines.

Charges

GOLD libraries cannot charge other GOLD member libraries for performing interlibrary lending and resource sharing.

Compliance with ILL Codes and GOLD Guidelines

GOLD member libraries agree to abide by these GOLD guidelines, the latest editions of the *Interlibrary Loan Code for Georgia Libraries* (See Appendix B), the Interlibrary Loan Code for the United States (See Appendix C), and *Interlibrary Loan Code for the United States Explanatory Supplement* (See Appendix D). It is important that persons who work with interlibrary loan become familiar with standard interlibrary loan policies and procedures and keep this knowledge up to date.

Training

All GOLD member libraries should have staff trained in GOLD policies and procedures as well as ILL codes. Training should also include internal procedures for resource sharing and local holdings maintenance.

GOLD member libraries that are also OCLC members are required to have staff fully trained in OCLC functionality and procedures for resource sharing and holdings maintenance. The guidelines in this manual are not intended as a replacement or "how-to" manual for OCLC WorldShare Interlibrary Loan practices. Training is available online for OCLC services or by special arrangement.

Part II Compliance policy and procedures

The success of GOLD rests with its member libraries. Interlibrary loan is considered a standard part of library service. The interlibrary loan process is not viable unless all members are both lending and borrowing materials. In order to participate in GOLD a library must offer online, searchable, and publicly accessible holdings. GOLD member libraries that are OCLC participants must maintain their holdings in WorldCat.

As a member of GOLD, a library is expected to meet and maintain the following requirements.

1. The organization must maintain an established library collection housed in an area designated as the library.

2. The organization must continue to have a person designated as a librarian.

3. A library must participate in reciprocal lending with other GOLD members free of charge.

4. A library which becomes a GOLD member shall begin entering holdings for monographs and serials in OCLC's WorldCat or have an online catalog with current holdings within one year of joining. Within two years of membership, the library should be able to demonstrate a good faith effort that it is making holdings available to GOLD members.

5. All GOLD members that are an OCLC participating library must update holdings at least once a year to reflect materials acquired or deleted during that year. Additionally, Local Holdings Records, (LHRs), must be updated at least once a year to indicate new subscriptions or issues, and cancelled subscriptions or deleted issues and gaps in holdings. See *Part IV. Cataloging Materials and Holdings Maintenance* for a more comprehensive discussion.

6. All GOLD member libraries shall keep their online catalog updated to reflect materials acquired or deleted during that year. See *Part IV. Cataloging Materials and Holdings Maintenance* for a more comprehensive discussion.

7. Libraries cannot charge other GOLD member libraries for performing interlibrary lending, this includes staff time, postage, photocopies, or any other charges incurred in transmitting materials, returnable or not.

8. Member libraries agree to abide by the latest editions of the *Interlibrary Loan Code for Georgia Libraries* and the *National Interlibrary Loan Code for the United States*. Copies of these documents may be found in Appendix B and C in this manual.

9. All GOLD member libraries should maintain staff training in GOLD policies and procedures, ILL codes, and internal procedures for resource sharing and local holdings maintenance. GOLD member libraries that are also OCLC members should maintain staff appropriately trained in OCLC functionality and procedures for resource sharing and holdings maintenance.

10. Interlibrary loan requests are to be correctly and completely filled out including verification of information. In the case of public libraries, all branch libraries must submit interlibrary lending forms through their headquarters unit.

11. The borrowing library is responsible for the return of items within time periods specified by the lending library. Once an item is mailed from the lending library, it is the responsibility of the borrowing library. If the item is lost in transit, either to or from the borrowing library, it is the responsibility of the borrowing library to reimburse the lending library for the item.

Procedure for Monitoring Compliance

In the annual *Statement of Compliance* (SOC) (see Appendix J GOLD Compliance Form), GOLD members attest that they are participating in reciprocal lending and keeping their holdings updated in OCLC's WorldCat and/or their local online catalogs. Members may file complaints against another library for non-compliance. All complaints will be investigated by the GOLD Advisory Committee and the filing library will be informed of the outcome.

Statement of Compliance Procedures and Review

1. Annually by October 1, the Georgia Public Library Service (GPLS) shall correspond with all GOLD member libraries, reminding them of annual database updating requirements and informing them of the upcoming compliance requirements.

2. In January of the next year, GPLS will send to all GOLD member libraries the *Statement of Compliance with GOLD Database Updating and Reciprocal Lending Requirements*. The deadline for completing the compliance form and submitting it to GPLS will be January 31. The compliance statement will cover an annual reporting period of January 1 through December 31 of the previous calendar year.

3. Libraries must complete and submit all sections of the *Statement of Compliance* annually. Failure to do so for the given calendar year will be understood as non-compliance.

4. Libraries which have not complied with annual updating requirements during the given calendar year must complete the Explanation of Non-Compliance area within each relevant section of the *Statement of Compliance*, specifically documenting good faith efforts, and/or extenuating circumstances.

5. By March 1, GPLS will notify libraries that did not submit a complete *Statement of Compliance* that they will be removed from GOLD membership by March 15 unless a completed form is submitted. By April 1, GPLS will inform GOLD members in good standing of those libraries which have been removed and are no longer eligible for GOLD benefits, including access to free borrowing.

6. By April 1, GPLS will forward to the GOLD Advisory Committee a list of members requesting probationary status for review. By April 30, the Advisory Committee will respond to the request for probation. Libraries which are granted probationary status will be asked to provide a plan for remediation and offered assistance as appropriate. Assistance could include help in obtaining additional training or support. Libraries which are refused probationary status will be removed from membership.

7. GPLS will update the membership directory posted on the GOLD website by May 31 and inform the GOLD membership when it is completed. GPLS will also request that OCLC update the GOLD affiliations in the OCLC policy directory.

Member Based Complaints of Non-Compliance

In cases where a GOLD member library believes another GOLD library is not in compliance with membership responsibilities and requirements that cannot be resolved between the two libraries, a complaint may be filed with GPLS. The complaint should include documentation of the problem and previous attempts to resolve it.

If the compliant is found to be valid, GPLS will attempt to resolve the problem. If no resolution is found, the complaint will be referred to the Advisory Committee. The Committee will then attempt to find a resolution. The library could be placed on probation to be given time to resolve the complaint. If the

library does not or cannot adhere to the responsibilities and requirements of GOLD membership, the Advisory Committee will revoke their membership.

Procedures for Probationary Status and Reinstatement of Revoked Membership

[Under development]

Part III Interlibrary Loan and Resource Sharing Guidelines for Requests

General Information

The borrowing library is responsible for the return of items within time periods specified by the lending library. Once an item is mailed from the lending library, it is the responsibility of the borrowing library. If the item is lost in the mail, either to or from the borrowing library, it is the responsibility of the borrowing library to reimburse the lending library for the item.

Resources

The most recent editions of the following resources are recommended for use in preparing and processing interlibrary loan requests:

National Commission on New Technological Uses of Copyrighted Works. *Final Report of the National Commission on New Technological Uses of Copyrighted Works, July 31, 1978.* Accessed June 24, 2015. http://digital-law-online.info/CONTU/PDF/index.html

Interlibrary Loan Code for Georgia Libraries, see Appendix B, this document.

Interlibrary Loan Committee, Reference and User Services Association. *Interlibrary Loan Code for the United States*. Accessed June 24, 2015. http://www.ala.org/rusa/resources/guidelines/interlibrary.

Interlibrary Loan Committee, Reference and User Services Association. Interlibrary Loan Code for the United States. *Interlibrary Loan Code for the United States Explanatory Supplement* Accessed June 24, 2015. http://www.ala.org/rusa/resources/guidelines/interlibraryloancode.

OCLC. *OCLC WorldShare Interlibrary Loan documentation.* Accessed June 24, 2015. https://www.oclc.org/support/services/worldshare-ill/documentation.en.html.

OCLC. *OCLC WorldShare Interlibrary Loan* ttps://www.oclc.org/support/training/portfolios/resource-sharing/worldshare-ill.en.html.

OCLC. *OCLC Policies Directory*. Accessed June 24, 2015. https://illpolicies.oclc.org.

OCLC. *OCLC Policies Directory Quick Reference*. Accessed June 24, 2015. https://www.oclc.org/content/dam/support/worldshare-ill/documentation/policies_ref_card.pdf.

Weible, Cherié L., and Janke, Karen L., eds. 2011. *Interlibrary Loan Practices Handbook*. 3rd ed. Chicago, IL, USA: ALA Editions.

Procedures and Considerations

Regardless of whether you use OCLC WorldShare Interlibrary Loan directly, email, locally produced Web forms, or use an ILL management system such as ILLiad, prepare interlibrary loan requests correctly and completely. Follow OCLC ILL procedures as outlined in the *OCLC WorldShare Interlibrary Loan documentation* (https://www.oclc.org/support/services/worldshare-ill/documentation.en.html). Please check to see which transmission methods are used to accept incoming requests. For example, some libraries do not accept emailed or faxed requests, but rather want you to use their web form. Lending libraries may be unable to fill improperly prepared requests. Failure to follow the proper procedures hinders service to patrons and is a disservice to potential lenders. Procedures are in place to ensure the correct materials are requested and sent and that the response time is minimized, ensuring that users/patrons receive their requests in a timely manner.

Carefully consider all interlibrary loan requests from patrons before actually initiating a request. Consult the OCLC Policies Directory entry (https://illpolicies.oclc.org) to determine if the item is something that a library may not lend. Non-circulating items might include the following:

auto repair manuals	microforms
textbooks	periodicals
genealogy materials	study guides
rare books	new fiction
e-resources	reference
computer software	A/V materials

For some items, it might be better to request photocopies or scans rather than a loan, provided the request complies with the copyright act.

Preparing Requests

Verifying Information

Before creating the ILL request, try to obtain sufficient information to identify the item being requested by the patron. Determine where the patron got the information. If necessary, ask for a photocopy of the citation source (e.g., a bibliography from a book, a report, or a journal article). This source may contain vital information that the patron may not recognize. Explain to the patron that incomplete or incorrect information may result in delayed service or in non-receipt of the desired item.

Books

- For OCLC requests
  The OCLC control number serves as verification for book titles identified in the OCLC database. Search the OCLC database thoroughly. Complete a request item with the best possible match to the patron request.

- For other requests
  Non OCLC members can search OCLC WorldCat through GALILEO (http://www.galileo.usg.edu) and then make request of the owning library using title, author, publisher and date as well as the OCLC title control number. Or search individual library's online catalogs to locate requested materials.

  OCLC member libraries making requests of nonOCLC members will need to verify holdings in the lending library's online catalog. Requests should include title, author, publisher, and publication date along with any standard or local number available in the bibliographic record.

Journals/Continuing resource articles

Journal and continuing resource citations should be verified before submitting OCLC or nonOCLC requests. Use indexes (e.g., *Readers' Guide to Periodical Literature*) and online databases (GALILEO and others) to verify journal articles. Remember to put the verification source in the verification field on the OCLC WorldShare ILL request form. If the patron provides the verification information, recheck that information, if possible, for accuracy and completeness. Do not assume the patron has copied the information correctly. If the citation cannot be verified, indicate "unable to verify" on the work form in the verification field.

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Journal titles frequently change during the time the journals are published. Remember to search the OCLC database or local library catalog under the title used for the journal at the time the desired article was written. Also, make sure that the bibliographic record you choose for your request form has coverage dates for the date of the article needed.

Non OCLC GOLD members should verify the specific issue of the journal or continuing resource is held by the potential lending library in a lendable form.

All GOLD members should have the capability to accept electronic submission of articles and papers. This can include fax, email, or OCLC's Article Exchange.

<u>E-Resources</u>

Some electronic resources do allow for interlibrary lending under licensing and others do not. Requesting library should abide by licensing requirements of owning library.

Searching in OCLC WorldShare ILL

Searching tips for in OCLC WorldShare can be found in the online document and tutorials:

> *Getting Started with OCLC WorldShare Interlibrary Loan*
> https://www.oclc.org/content/dam/support/worldshare-ill/documentation/WorldShare-ILL-getting-started.pdf
> *Advanced Searching in WorldShare ILL*
> (https://www.oclc.org/support/training/portfolios/resource-sharing/worldshare-ill/tutorials/advanced-searching-in-wsill.en.html)

More comprehensive instructions on searching WorldCat indexes can be found at http://www.oclc.org/support/help/SearchingWorldCatIndexes/.

A numeric search is the most specific search you can do and is the most direct means of retrieving a record. Numeric searches include: Library of Congress Control Number (LCCN), International Standard Serial Number (ISSN), International Standard Book Number (ISBN), CODEN, Government Document Number, Music Publisher Number, and OCLC Control Number.

For all other searches, see the OCLC documentation and tutorials for further assistance.

Choosing records

Examine bibliographic records thoroughly. Make sure the record you choose is the correct Type (book, visual recording, sound recording, electronic resource. See OCLC *Bibliographic Formats and Standards* http://www.oclc.org/bibformats/en/fixedfield/type.html or Library of Congress *MARC 21 Format for Bibliographic Data* http://www.loc.gov/marc/bibliographic/bdleader.html).

Compare the 1XX (author), 245 (Title), and 260 (publication information) fields to the patron request.

If you have multiple matches, look for records cataloged by the Library of Congress (DLC). Most libraries attach their holdings symbol to the DLC record, since that record usually contains the best cataloging information. Also, notice how many holdings are attached to the record and choose the one with the most holdings.

Building a Lender String in OCLC WorldShare

When preparing a lender string for an interlibrary loan request, follow local cooperative agreements first.

Then request from GOLD libraries. To identify GOLD locations for a book or journal title, use the symbol gl$d when filtering locations in WorldShare ILL. Create lender strings based on similar library type and geographic proximity where possible. Generally, go outside of GOLD only if materials cannot be supplied by a GOLD institution.

OCLC Policies Directory

Borrowers are responsible for knowing the lending policies of potential lenders before initiating requests. The online OCLC Policies Directory (https://illpolicies.oclc.org) contains interlibrary loan policies, addresses, and additional information for libraries that use the OCLC database. When choosing possible lenders, borrowers can retrieve these records to determine such information as loan periods and whether or not audio-visual or genealogy materials circulate.

It is extremely important that all GOLD members add their interlibrary loan policies to this online directory and that they maintain and update this information as necessary. The *OCLC Policies Directory Quick Reference* (https://www.oclc.org/content/dam/support/worldshare-ill/documentation/policies_ref_card.pdf) provides detailed instructions for completing this process.

Preparing Interlibrary Loan Requests

This manual is not intended to be a how-to for preparing OCLC WorldShare ILL requests. Instructions here are only where the process impacts GOLD membership requirements and responsibilities. OCLC WorldShare ILL provides training materials and documentation online that offer clear and detailed instructions for completing interlibrary loan requests. See:

OCLC WorldShare Interlibrary Loan documentation https://www.oclc.org/support/services/worldshare-ill/documentation.en.html.

Online tutorials and instructor lead training sessions can be found at *OCLC WorldShare Interlibrary Loan* ttps://www.oclc.org/support/training/portfolios/resource-sharing/worldshare-ill.en.html

Tips for preparing requests

- Be as thorough as possible and provide all necessary information on the work form.
- Use Constant Data. Simplify your work by making use of constant data. Then, on individual requests, decide if any information that transfers from the constant data record needs to be changed for that particular request. For example, should the Maximum Cost amount be modified from the amount provided by the constant data record?
- Maximum Cost suggestions. While GOLD libraries do not charge for loans, entering the maximum cost will save time if you need to go outside GOLD to fill the request. Put the amount of money the patron or your institution is willing to pay. Enter "0.00" if the patron is unwilling to pay. Do not put "None" since this can be interpreted by the potential lender to mean there is no limit to what the patron will pay. Remember, if the Maximum Cost field is left blank, the borrowing library is responsible for paying whatever charges are assessed by the lending library.
- Indicate GOLD Membership. Be sure to indicate on your request that you are a member of GOLD (e.g., GOLD Member). This information should go in the Affiliation field and can be a part of your constant data record.
- Complete Periodical Requests Properly. Make sure you indicate the Type as a copy. Provide all needed information and put the information in the proper place. For example, make sure the author and title are under Article Author and Article Title.

- Proofread. Finally, proofread all requests before executing the command Send Request.

Maintaining Requests

WorldShare ILL should be checked often, preferably daily, and requests processed and updated promptly. GOLD does recognize that not all libraries are staffed daily. The default "days to respond" to lending requests is four system days (excluding weekends and OCLC-observed holidays). Days to respond is configurable in the Policies Directory so that you extend the time needed to respond to better accommodate your workflow.

Some borrowing requests may have conditionals that require a response from the borrower. See the tutorial Borrower: Responding to Conditionals in WorldShare ILL http://www.oclc.org/support/training/portfolios/resource-sharing/worldshare-ill/tutorials/borrower-responding-to-conditionals-in-wsill.en.html for information on responding to conditionals. A "yes" response sends the request back to the potential lender who sent you the conditional message and means that you will fulfil the condition. A "no" response will send the request on to the next potential lender or will result in an unfilled request for the borrower if no other symbols follow in the lender string.

NonOCLC libraries' InterLibrary Loan Requests

All GOLD members should have clear instructions and guidelines for requesting materials from them outside of OCLC easily accessible on their website or in their GOLD membership directory entry in order to facilitate borrowing and lending with GOLD members that are not OCLC participants. The non OCLC library should provide an electronic means for requests, either an online form or email address. Requests should be monitored often, preferably daily, and clear responses given in a timely manner. GOLD does recognize that not all libraries are staffed daily. OCLC participants may not use local lending procedures intended to provide ILL access to nonOCLC libraries to attempt to circumvent automatic deflection or collection lending guidelines.

Part IV Cataloging Materials and Holdings Maintenance

Properly and correctly cataloging library materials is integral to interlibrary loan. Cataloging staff trained in national and local standards can ensure that a library's collection is represented by bibliographic records that provide essential information for discovery within both the local catalog and OCLC's WorldCat. Maintaining holdings for all formats in OCLC and ensuring local catalogs properly represent a library's collection helps guarantee that the correct item is requested from the correct library. Keeping your local catalog current and maintaining holdings in all formats in OCLC assists interlibrary loan staff in accurate and timely fulfilment of a patron's request. Poorly maintained catalogs and inadequately cataloged materials places barriers to all users and prevents the correct material being placed in the hands of the patron.

Local Catalog: Maintaining Bibliographic records

GOLD members should, regardless of OCLC participation, maintain a local catalog that is accessible online. An Online Public Catalog (OPAC) that accurately reflects current library holdings is critical to the support of interlibrary loan between OCLC and non OCLC participants within GOLD. Bibliographic records should be minimal level or better and contain sufficient information or better to distinguish bibliographic entities to ensure the correct item is requested and supplied for an interlibrary loan. GOLD encourages cataloging at the national level that adheres to national and international cataloging standards.

GOLD prefers OPAC entries to display at least the following minimal elements:

- Author (personal, corporate, meeting) (1XX fields)
- Title (245 |a)
- Publisher (260 |b)
- Publication date (260 |c)
- Format of item (Leader/06=Type, elements of various 3XX fields, 245 |h for AACR2 and earlier records)
- Physical description (3XX fields)

Failure to maintain a searchable and accessible online catalog with minimal level records can result in non-compliance to GOLD membership requirements.

While GOLD understands that not all library management systems have provisions for MARC Format for Holdings Data for detailed serial holdings, all GOLD participants are encouraged to have their serial or periodical holdings presented online in a format that is searchable and gives at least basic enumeration and chronology. The library should keep the accessible list up to date for current holdings.

To be GOLD compliant for serial holdings, member libraries should update their serials list when:

- Serial or continuing resource subscriptions are added or canceled.
- Back issues are added or withdrawn.
- Title/entry changes of existing titles.
- New formats of existing titles are added.
- Any changes in retention policies for specific titles.
- Any changes in lending policies for specific titles.

OCLC: Maintaining Bibliographic Holdings and Local Holding Records

With the exception of public libraries, individual GOLD libraries are responsible for their own subscriptions to OCLC cataloging and interlibrary loan services. OCLC can be contacted directly via their website for these services. Information about OCLC's WorldShare ILL can be found at http://www.oclc.org/en-

US/worldshare-ill.html. Information about an OCLC cataloging subscription can be found at: http://www.oclc.org/en-US/cataloging-subscription.html.

OCLC can be contacted at for either service at:
Phone: 1-800-848-5800
E-mail: libservices@oclc.org

Once a subscription has been purchased an authorization number and password for login will be provided by OCLC.

Maintaining Holdings

In order to remain in compliance with GOLD membership requirements, OCLC participating institutions must keep their holdings current on at least an annual basis. New acquisitions should have holdings set or updated on matching records and items removed from a library's collection should have holdings deleted. Updating holdings in OCLC adds your library's unique OCLC symbol to the record in WorldCat. Deleting holdings removes your symbol from the record. With correctly set holdings on a WorldCat record, borrowers can construct accurate lender strings. Having incorrectly set or out dated holdings means that your ILL staff will receive requests for items no longer in your collection, negatively impacting both their time and the ability of the requesting library to fill a patron request in a timely manner.

Holdings can be set or deleted either interactively in the Connexion browser or client or through batchload. Instructions on setting and deleting holdings in OCLC can be found at:

OCLC. 2014. *Cataloging: Take Actions on Bibliographic Records*. OCLC Connexion Client Guides http://www.oclc.org/content/dam/support/connexion/documentation/client/cataloging/bibactions/bibactions.pdf.

OCLC. 2012. *Take Actions on Bibliographic Records.* OCLC Connexion Browser Guides. http://www.oclc.org/content/dam/support/connexion/documentation/browser/cataloging/actions_bib_records/actions_bib_records_pdf.pdf.

For more information on OCLC batchloading, see Batchload support at
http://www.oclc.org/support/services/batchload.en.html.

Local Holdings Records: Creation and Maintenance in OCLC

A local holdings record (LHR) is the OCLC WorldCat representation of MARC21 holdings records. As with other MARC standards, holdings records present information in a machine readable format, allowing for cross application use of coded values. In a broader context, MARC holdings records allow for automated processing of serials. LHRs facilitate sharing detailed holdings information for single-part and multipart titles and serials with users. While the bibliographic record tells users what title your library owns, LHRs communicate to users which issues and volumes your library owns or the number of copies owned and where they are located. You can also use local holdings to indicate basic lending and retention policies.

Holdings records were designed for three types of bibliographic records.

Single-part item (or title)	Complete in one physical entity. Can be a book, map, sound record, computer file, etc.
Multipart item (or title)	A finite entity with multiple physical parts. Can be a kit, a set of encyclopedias, manuscript collection, etc.
Serial:	Intended to be continued indefinitely, with a patterned issuance, issued in many parts. Can be a monthly magazine, loose-leaf continuing resource, scholarly journal, etc.

LHRs are dependent on a bibliographic record since they contain no elements that describe the title. There are four parts to MARC holdings records:

1. Location: the holding institution and the location where the title resides in that institution. This can include call numbers, shelving locations, and sub-locations such as branches.
2. Items held: For a single-part title, this can be the number of copies; for multiple part and serial titles, this can include number of copies and the volumes and issues retained by the institution.
3. Publication pattern: For serials, the record can be coded for the publication dates and issue numbering.
4. Notes: Information about holdings expressed in textual form. This can be broad retention policies, item condition, or distinctive characteristics.

For interlibrary loan, LHRs provide needed information for borrowing libraries to accurately request specific articles from holding libraries. They can also provide automatic deflection of a request in cases where you cannot lend or copy. LHRs enable more efficient and accurate processing of ILL requests, saving time of both patrons and staff. Properly coded LHRs prevent unnecessary requests to a library for articles not in their holdings. Properly coded and maintained LHRs allow ILL staff to target a library that will be likely to fulfil a request.

In December of 2005, OCLC migrated local data records (LDRs) from their Passport system to local holdings records in Connexion. LDRs were not MARC21 holding standard records, so the conversion process was not able to create all desired fields in the resultant LHRs. Manual editing of the LHRs is needed to create those fields. GOLD libraries are not required to edit the migrated records.

Full cataloging access in OCLC is required for Local Holdings Maintenance. LHRs are created in the Connexion browser. Useful self-paced tutorials, training videos, and documentation to assist you in maintaining local holdings records can be found on the OCLC website.

The creation of a Local Holdings Record causes the attachment of the institution's OCLC symbol to the master bibliographic record for resource sharing purposes.

OCLC Local Holdings Maintenance Resources

OCLC. 2015. *Create and Maintain Local Holdings Records.* http://www.oclc.org/support/services/local-holdings/documentation/create_maintain_lhrs.en.html

OCLC. 2015. *Create and Apply Local Holdings Constant Data*. http://www.oclc.org/support/services/local-holdings/documentation/localholdings_constantdata.en.html

OCLC. 2015. *Find Local Holdings*. http://www.oclc.org/support/services/local-holdings/documentation/find_localholdings.en.html

OCLC. 2008. *A Holdings Primer: Principles & Standards for Local Holdings Records*. 2nd ed. Dublin Ohio: OCLC. http://www.oclc.org/content/dam/support/local-holdings/documentation/primer/Holdings%20Primer%202008.pdf

OCLC. 2015. *Local Holdings Maintenance Quick Reference*. http://www.oclc.org/support/services/local-holdings/documentation/quickref.en.html

OCLC. 2015. *OCLC-MARC Local Holdings Format and Standards*. http://www.oclc.org/holdingsformat/en.html

OCLC. 2015*. OCLC-MARC Local Holdings Format Tag Chart.* http://www.oclc.org/content/dam/support/local-holdings/documentation/tagchart/holdings_tag_chart.pdf

OCLC. 2015. *OCLC Local Holdings Maintenance Tutorials.* http://www.oclc.org/support/services/local-holdings/training/tutorial.en.html

Additional resources for local holdings maintenance

CONSER, Serials Cataloging Cooperative Training Program. 2014. Training Materials for Basic Serials Cataloging Workshop. http://www.loc.gov/aba/pcc/conser/scctp/basicppt.html

Library of Congress. 2000. *MARC 21 Format for Holdings Data*. http://www.loc.gov/marc/holdings/

Library of Congress. Network Development and MARC Standards Office. 2011. *Understanding MARC Holdings Records*. http://www.loc.gov/marc/umh/

OCLC. [n.d.] *Connexion Browser Cataloging Quick Reference*.
https://www.oclc.org/content/dam/support/connexion/documentation/browser/cataloging/cnx_br_cat_quick_ref/cnx_br_ref_card_05.pdf.

OCLC. 2015. *Connexion browser documentation*.
http://www.oclc.org/support/services/connexion/documentation/browser.en.html.

OCLC. [n.d.] *Connexion: Searching WorldCat Quick Reference*
http://www.oclc.org/resources/support/worldcat/documentation/searching/refcard/searchworldcatquickreference.pdf.

National Information Standards Organization (U.S.). 2006. *Holdings statements for bibliographic items: an American national standard developed by the National Information Standards Organization*. Bethesda, Md.: NISO Press. http://www.niso.org/kst/reports/standards/kfile_download?id:ustring:iso-8859-1=Z39-71-2006.pdf&pt=RkGKiXzW643YeUaYUqZ1BFwDhIG4-24RJbcZBWg8uE4vWdpZsJDs4RjLz0t90_d5_ymGsj_IKVa86hjP37r_hKQ00ioOP35W_rT4qpWXqC2ZSR608PHS0jUtRNwU6ovt.

Rosenberg, F. 2003[?]. NASIGuide: Serial Holdings.
http://www.nasig.org/uploaded_files/92/files/Publications/NASIGuide%20Serial%20Holdings/NASIGuide_serialsholdings_structure.pdf

GOLD Requirements for Local Holdings Maintenance

Local Holdings Record maintenance is required of all libraries participating in GOLD and who are OCLC participants. Incorrectly reported information will slow down interlibrary loan. It is important that participating libraries be as accurate as possible when entering their holdings. Also, LHRs should be updated regularly to show changes in holdings due to cancellations, cessations, title/entry changes, and items lost and withdrawn.

This is an ongoing project. GOLD expects users to be able to access accurate, reliable information when creating ILL requests. Libraries that do not maintain their holdings will not be in compliance and may be denied membership in GOLD. (Please see: PART II Compliance Policy and Part I GOLD Membership requirements and responsibilities.)

To be GOLD compliant for serial holdings, member libraries must update their institutional local holdings records when:

- Serial or continuing resource subscriptions are added or canceled.
- Back issues are added or withdrawn.
- Title/entry changes of existing titles.
- New formats of existing titles are added.
- Any changes in retention policies for specific titles.
- Any changes in lending policies for specific titles.

GOLD libraries are encouraged but not required to edit LHRs migrated from the old local data records standards. If you do edit the migrated records, they should contain the required fields and encoding level standard. Libraries are not required to create and maintain LHRs for single-part or multipart titles. They

are required to create and maintain LHRs for serial titles.

Required fields and elements for LHRs

Newly created or edited LHRs must have the following fields:

- Summary
    - Summarizes institution holdings: all copies held by the institution, all call numbers, shelving locations and/or sub-locations.
- Leader
    - All LHRs should be Encoding Level 3 or above. Level 3 includes Item Identification (004), Location (852), General Holdings Information (007 and 008), and Extent of holdings (853/863) using only the highest level of enumeration and chronology (volumes and years).
- 007   Physical description fixed field
- 008   Fixed length data elements
- 852   Location
- 853   Captions and Pattern–Basic Bibliographic Unit
- 863   Enumeration and Chronology–Basic Bibliographic Unit
  (853 and 863 are paired fields)
- 866   Textual Holdings Summary – optionally may be used in addition to, or instead of, the 853/863 pairs.

Punctuation for Holdings Statements

-	Hyphen	indicates an unbroken range of holdings, or a full range of holdings from a specified year or volume to date	(eg, v1- 1963-)
,	Comma	Used to show a gap or break in a range of holdings	(eg, v1-v3,v5-) (1963-1965,1972-)
;	Semicolon	Indicates a non-gap break when a numbering change occurs (may indicate a new series)	(eg, v1-v2; no15-)
:	Colon	Used to separate the first and second levels of enumeration	(eg, ser1:v1-)
/	Slash	A connector between notations that forms a single entity, as two years that form a single period of coverage or a double volume	(eg, v1/2 or 1965/1966)
?	Question mark	Shows an unknown quantity in a date Use mark only as the last digit May not be added to a date to qualify it	(eg, 198? not 1981?)

Notes

Notes (Summary, 852 or 863 ‡z public note) may be added to or substituted for enumeration and chronology data. Do not use local notes, such as "Library use only" or "Shelved in Reference section." Information already supplied in the bibliographic record (MARC tag 515) should not be entered in the notes field (e.g., volume numbering began with Vol. 3). All notes should be brief and clear.

Note that the terms "current" and "latest" have been linked by OCLC to the frequency of the publication. If the publication is published more frequently than annually, the term "current" shall be used (e.g., Retains current 6 months). If a title retained for a limited time is an annual or yearbook, the term "latest" is used (e.g., Retains latest edition).

Following is a list of authorized notes. Variations on these are acceptable to indicate specific formats

(microfilm versus microfiche) or chronology (annual versus quarterly, 2 versus 3).

- Retains current 6 months.
- Retains current year.
- Retains latest 3 years.
- Retains current 5 years.
- Retains latest edition.
- Retains latest edition received.
- Retains only current issue.
- Retains only current 3 months.
- Kept up-to-date by pocket parts.
- Kept up-to-date through [date].
- Retained in paper until microfilm (microfiche, etc.) received.

- Current issues retained until annual (quarterly, etc) cumulation received.
- Scattered holdings.

- Scattered holdings for volume 2.
- Holdings for volume 3 are incomplete.
- CD-ROM format.
- Text only CD-ROM.
- Online not available for ILL.
- Online coverage ends 5 years prior to the current year.
- Retains current 3 years until available online.

Enumeration Caption Abbreviations

When creating or editing an LHR, use the following abbreviations for the enumeration caption (853 field):

Term	Abbreviation
edition(s)	ed., eds.
new series	new ser.
number(s)	no.
part(s)	pt., pts.
Series	ser.
Supplement	suppl.
Tome	t.
Tomo	t.
volume(s)	v.

Make sure the enumeration caption you use in the 853 field matches that used in your Summary statement.

Offline Preparation

Compiling a comprehensive inventory of your library serial holdings prior to initially creating or editing local holdings records in OCLC will save you online time and ensure accuracy. This inventory should be very specific, including the years and volumes the library owns of each periodical title and noting any title changes. If multiple copies or formats of one title are owned, the specific holdings for each copy or format should be noted since separate records should be created for each format. The entries in the inventory list should match those needed for creating or editing an LHR enabling you to streamline the creation and editing process.

Selecting a Serial Record

The national standard for cataloging specifies that a separate record should be used for each version (electronic, microfilm, microfiche, CD-ROM, paper, etc.) of a title. For new cataloging, the preferred GOLD practice is to utilize a matching record for that format and the LHR should be only that format's holdings. Libraries are encouraged but not required to retrospectively adopt this standard, replacing the single record approach.

Instructions for searching WorldCat can be found at:

OCLC. 2015. *Connexion browser Module 2: Basic Searching in Connexion browser (Recording)*. http://www.oclc.org/support/training/portfolios/cataloging-and-metadata/connexion-browser/self-paced/connexion-browser-mod2-recording.en.html.

OCLC. [n.d.]. *Connexion: Searching WorldCat Quick Reference* http://www.oclc.org/resources/support/worldcat/documentation/searching/refcard/searchworldcatquickreference.pdf.

OCLC. [n.d.]. Searching WorldCat in Connexion Browser. http://www.oclc.org/support/training/portfolios/cataloging-and-metadata/connexion-browser/tutorials/searching-worldcat.en.html

OCLC. 2015. *Searching WorldCat Indexes* http://www.oclc.org/support/help/SearchingWorldCatIndexes/Default.htm

When you locate a record that appears to be a match to the serial in hand, use the following guidelines to determine the record that best matches the library's holdings:

Field	Notes
BLvl (Leader/07)	Bibliographic Level s: Serial i: Integrating resource
S/L (008/34; 006/17)	Entry Convention Use a record that is coded as 0 for successive entry, in which a new record is created each time there is a change in the serial's title.
ELvl	Encoding Level The encoding level indicates the level of detail used in the record. Prefer: Blank: Full level or K: Less-than-full input by OCLC participants.
Form	Form of Item. Choose the correctly coded record
Dates	Includes two fields: Date 1 and Date 2. A serial record should have a beginning date (Date 1) and an ending date (Date 2) of publication. A serial that is currently published has a Date 2 value of 9999.
022	ISSN (International Standard Serial Number) While ISSN is an effective way to match an OCLC record to your item, ISSN should not be the single tag considered.
245	Title The 245 field should match the serial in hand's title.
260	Publication Information The location and name of the publisher should match.
310	Current Publication Frequency Check how often the serial is currently issued.

338	Carrier Type
	The physical format of the resource. Carrier type appears on RDA (Resource Description & Access records. Carrier term and code should match the format of the serial in hand.
780 and 785	Preceding Entry and Succeeding Entry
	In a successive entry record, the 780 field contains the earlier entry under which the serial was published; the 245 field contains the title under which the serial, as described on the record, was published; the 785 field contains the entry under which subsequent volumes of this serial were published.
	The presence of 780 and/or 785 fields should alert the user to entry changes that may not be indicated in the library's own records. These two fields may also help in determining which records are needed to encompass the range of holdings for that set of titles

If you identify two or more records that appear to match your item, choose the record that:

- Has 040 cataloging source for a CONSER library.
  See *Appendix K : CONSER Libraries* for a list of CONSER libraries and their symbols.
- Has an 042 authentication field (the record has been reviewed and authenticated by a cataloging agency). Once a record has been authenticated, it is considered the final bibliographic authority for that serial title. Once a record has been authenticated, the symbol of the authenticating center is entered in the 042 field. Note that records with "XLC" in the 042 field have been rejected for use by the Library of Congress because they do not consider the title to be a serial at all.
    - lc: Library of Congress
    - nlc: National Library of Canada
    - nsdp: National Serials Data Program
    - isds/c: International Serials Data Systems
- Has the greater number of holdings.
- Is most complete. Check notes (5XX fields) and subject headings (6XX fields) for completeness.

Local Holdings Maintenance Tips

- OCLC Local Holdings Maintenance is done through the Connexion browser interface at http://connexion.oclc.org.
- Users must have a cataloging authorization to access Local Holdings Maintenance.
- All previous Union Listing authorizations were converted to cataloging authorizations.
- OCLC Local Holdings Maintenance is governed by both the ANSI/NISO Z39.71 standard and MARC-21 Format Holdings Data (MFHD).
- Old Local Data Records (LDRs) have been converted to the new format of MFHD.
- The default settings on Local Holdings workforms for serial material is set to 'will not loan'/'will copy' while the setting for non-serial material is set to 'unknown'/'unknown'.
- New LHR's are automatically assigned a Summary of "Local holdings available." If desired, specific Summary information will need to be added.
- Summary information shows when local holdings are displayed in WorldShare InterLibrary Loan.
- A default "My Status" for Constant Data records can be set in the Local Holdings Maintenance administrative page.
- Encoding level (Leader byte 17) indicates the level of specificity of the reported holdings statement – the lower the encoding level, the less specific the holdings statement.
- The 853 field contains caption information for enumeration and chronology (volume, number, tome, etc.).
- The 863 field contains the enumeration and chronology information (1-12, 1998-2005, etc.).
- The 853 and 863 fields are linked by subfield 8 using a field link and a sequence number (1.1, 1.2,

etc).

- Via the Action dropdown menu, always remember to "Add record" when editing is complete. If editing an existing record, always remember to "Replace record" when editing is complete.

Part V. The GOLD year: a timeline for compliance and member participation

[Under Development]

Appendix A: GOLD Membership Participation Agreement

Resource sharing and interlibrary loan have long been priorities for Georgia libraries. Since November of 1988, GOLD has provided a collaborative mechanism among its members to make sharing their collections straightforward and timely. From its inception, GOLD has facilitated the ability of member libraries to better serve their users by complementing their collections with those of other member libraries. Since users want access to information and are increasingly unconcerned where that information is located, users can rely on Georgia libraries to integrate research and discovery tools to meet information needs where the user resides.

By signing this participation agreement, GOLD member libraries commit to providing exceptional interlibrary loan and resource sharing service and cooperation to the standards outlined here and in the GOLD Interlibrary Loan Manual.

1. Library

The organization has an established library collection that can be shared.

2. Librarian

The organization has a person designated as a librarian. This person does not have to be a full-time employee or have a library degree unless the organization is required by certification requirements to have a qualified librarian. The librarian is responsible for the maintenance and development of the library collection.

3. Availablilty of collections

A) OCLC members must establish and maintain holdings in the OCLC WorldCat database.

B) NonOCLC members must have an online, accessible catalog that is maintained with current holdings.

4. Reciprocal lending and supplying.

The library agrees to reciprocal lending.

A) OCLC member libraries will use WorldShare ILL or current OCLC functionality for lending and borrowing materials from other OCLC member libraries.

B) For OCLC member library to nonOCLC member libraries lending: OCLC member libraries will accept borrowing requests from nonOCLC member libraries according to GOLD guidelines as spelled out in the GOLD Interlibrary Loan Manual.

C) NonOCLC member libraries shall provide an online requesting method for lending and borrowing materials from another member library according to GOLD guidelines as spelled out in the GOLD Interlibrary Loan Manual.

5. Charges

GOLD libraries cannot charge other GOLD member libraries for performing interlibrary lending and resource sharing.

6. Compliance with ILL Codes

Member libraries agree to abide by the latest editions of the "Interlibrary Loan Code for Georgia Libraries" and the "Interlibrary Loan Code for the United States."

The borrowing library is responsible for the return of items within time periods specified by the lending library. Once an item is mailed from the lending library, it is the responsibility of the borrowing library. If the item is lost in the mail, either to or from the borrowing library, it is the responsibility of the borrowing library to reimburse the lending library for the item.

7. Compliance with GOLD Guidelines

GOLD member libraries agree to abide by the latest GOLD guidelines for resource sharing and holdings maintenance.

8. Training

All GOLD member libraries should have staff trained in GOLD policies and procedures as well as ILL codes. Training should also include internal procedures for resource sharing and local holdings maintenance.

GOLD member libraries that are also OCLC members are required to have staff fully trained in OCLC functionality and procedures for resource sharing and holdings maintenance. Training is available online for OCLC services or by special arrangement.

9. Special instructions for multibranch libraries

Where multibranches of a GOLD library exist, ILL processing should be done by trained library staff to ensure that both delivery of material and updating of requests are handled efficiently. Internal procedures may allow for the provisioning of ILL by individual branches or as the sole responsibility of the headquarters unit.

10. Civil Rights Compliance

Because some federal funding is involved, organizations seeking membership must comply with the Civil Rights Act of 1964. This statement should be on file in the organization's personnel office. If this statement is on file, the organization only has to sign a statement to this effect on a form letter available from the Georgia Public Library Service.

If the statement is not on file, the Georgia Public Library Service will provide the organization with a compliance statement for its signature to be filed with the Georgia Public Library Service.

Institution:	
Address:	
OCLC Symbol (if OCLC member):	
Webpage for online catalog:	
ILL contact	
Name:	
Title:	
Email address:	
Phone number:	
Compliance Contact	
Name:	
Title:	
Email address:	
Phone number:	

Signature _____   Date _____

I verify that I am authorized to enter into this agreement on behalf of my institution.

Print name	
Title	
Email address:	
Phone number:	

Appendix B: Interlibrary Loan Code for Georgia Libraries

This code is a voluntary agreement adopted by the Georgia Library Association, October 2002, to govern interlibrary borrowing and lending among libraries in Georgia. It is a revision of the 1993 code, adopted fall

1996.

Introduction

Interlibrary loan service is essential to the vitality of libraries of all types and sizes as a means of greatly expanding the range of materials available to users. Borrowing and lending among libraries is in the public interest and should be encouraged. This code is intended to make

interlibrary loan policies among those libraries adopting it as liberal and as easy to apply as possible. While interlibrary loan is a key element of each library's service program, it should serve as an adjunct to, not a substitute for, collection development. When resources within Georgia have been exhausted, loan requests to out-of-state libraries should then conform to the provisions of the current National Interlibrary Loan Code for the United States and/or other applicable interlibrary agreements. Loan requests to libraries outside the United States should conform to the International Federation of Library Associations and Institutions' International Lending: Principles and Guidelines for Procedure.

1. Definition

1.1   An interlibrary loan is a transaction in which library material, or a copy of the material, is supplied by one library to another upon request.

2. Purpose

2.1   The purpose of interlibrary loan as defined in this code is to obtain, upon request of a library user, material not available in the user's local library.

3. Scope

3.1   This code is intended to regulate interlibrary lending in Georgia.

Libraries that have special agreements with other libraries may lend and borrow with fewer restrictions than this code suggests.

3.2   The following types of material may, of necessity, be unavailable for interlibrary loan or copying: rare or valuable material including manuscripts; bulky or fragile items that are difficult or expensive to ship or copy; material in high demand at the lending library; material with local circulation restrictions; and unique material that would be difficult or impossible to replace.

4.   Responsibilities of Requesting Libraries

4.1   Each library should provide the resources necessary to meet the ongoing needs and interests of its primary clientele.

4.2   The interlibrary loan staff of each library should be familiar with, and use, relevant interlibrary loan documents and aids including this code, the current version of the National Interlibrary Loan Code for the United States, etc.

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

4.4   The requesting library is responsible for ensuring the confidentiality of the user.

4.5   If the requesting library permits users to initiate online interlibrary loan requests that are sent directly to potential supplying libraries, the requesting library assumes full responsibility for such user- initiated transactions.

4.6   Standard bibliographic tools, such as union catalogs, online databases, and other listing services, should be used in

        determining correct bibliographic, citation, and location information.

4.7   The requesting library should check the policies of possible lenders for special instructions and information on charges prior to requesting and should authorize applicable charges on the request. If no maximum cost is indicated, the requesting library is responsible for any fees charged by the supplying library.

4.8   Requesting libraries should make every effort to exhaust their own and local resources before resorting to interlibrary loan. Requests should be sent to libraries in the closest geographical proximity to the requesting library. Whenever possible, libraries should request material from other libraries of their own type (i.e., public from public, academic from academic, special from special, etc.).

4.9   The requesting library should avoid sending the bulk of its requests only to a few libraries. Major resource libraries should be used

        after other sources have been exhausted.

4.10   The requesting library should transmit interlibrary loan requests electronically. If electronic transmittal is not possible, a standard American Library Association approved form should be used.

4.11   The requesting library must ensure compliance with U.S. copyright law (Title 17, U.S. Code) and its accompanying guidelines. Copyright compliance should be determined for each request

        before it is transmitted, and a copyright compliance statement must be included on each photocopy request. Copyright files should be maintained as directed in the CONTU Guidelines.

4.12   Requests for material that cannot be verified and/or located may be sent to libraries that might possibly own the requested item. Such requests should be accompanied by the statement "cannot verify" and/or "cannot locate."

4.13   The requesting library is responsible for the safety of borrowed items from the time they leave the supplying library until they have been returned to and received by the supplying library. If damage or loss occurs, the requesting library is responsible for the cost of repair or replacement, in accordance with the preference of the supplying library.

4.14   The requesting library is responsible for honoring due dates and ensuring compliance with any use restrictions specified by the supplying library. The due date is defined as the date the material is due to be checked back in at the supplying library. The requesting library should return borrowed items before the due date and respond immediately if a supplying library has recalled an item.

4.15   The requesting library should request renewals, if necessary,

        before items are due. If the supplying library does not respond, the requesting library may assume that the renewal has been granted for the length of the original loan period.

4.16   The requesting library should package materials to prevent damage in shipping and comply

with any special shipping instructions specified by the supplying library.

5. Responsibilities of the Supplying Library

5.1   The supplying library should establish an interlibrary loan policy, make it available in paper and/or electronic format, and provide it upon request.

5.2   The supplying library will determine in each case whether, and in what format, a particular item can be provided.

5.3   The supplying library is responsible for ensuring the confidentiality of the user.

5.4   The supplying library should process requests within the time frame established by the electronic network or transmission system being used.

5.5   The supplying library should include a copy of the original request or provide sufficient information to identify the request with each loan or copy supplied.

5.6   The supplying library should indicate clearly the due date or duration of a loan on the request form or on the material. The due date is defined as the date on which the material is due to be checked back in at the supplying library.

5.7   The supplying library should state clearly any conditions and/or restrictions on the use of material and specify any special return packaging or shipping requirements.

5.8   The supplying library should package materials sufficiently to prevent loss or damage in shipping and should ship material in a timely and efficient fashion. If possible, copies should be delivered electronically.

5.9   The supplying library should respond promptly to requests received and provide a reason for no for a negative response.

5.10   The supplying library should respond promptly to requests for renewals. If the lending library does not respond, the borrowing library may assume that the renewal has been granted for the length of the original loan period.

5.11   The supplying library may recall materials at any time.

6. Violation of Code

6.1   Each library is responsible for adhering to the provision of this code in good faith. Continued disregard of any provision of this code is sufficient reason for suspension of interlibrary loan services after prior warning.

Appendix C: Interlibrary Loan Code for the United States

Prepared by the Interlibrary Loan Committee, Reference and User Services Association (RUSA), 1994, revised 2001. Revised 2008, by the Sharing and Transforming Access to Resources Section (STARS).

For more detailed information about the provisions of this code, please see the accompanying explanatory supplement http://www.ala.org/rusa/resources/guidelines/interlibraryloancode and Appendix D, this document.

Introduction

The Reference and User Services Association, acting for the American Library Association in its adoption of this code, recognizes that the sharing of material between libraries is an integral element in the provision of library service and believes it to be in the public interest to encourage such an exchange.

In the interest of providing quality service, libraries have an obligation to obtain material to meet the informational needs of users when local resources do not meet those needs. Interlibrary loan (ILL), a mechanism for obtaining material, is essential to the vitality of all libraries.

The effectiveness of the national interlibrary loan system depends upon participation of libraries of all types and sizes.

This code establishes principles that facilitate the requesting of material by a library and the provision of loans or copies in response to those requests. In this code, "material" includes books, audiovisual materials, and other returnable items as well as copies of journal articles, book chapters, excerpts, and other non-returnable items.

1.0 Definition

1.1 Interlibrary loan is the process by which a library requests material from, or supplies material to, another library.

2.0 Purpose

2.1 The purpose of interlibrary loan as defined by this code is to obtain, upon request of a library user, material not available in the user's local library.

3.0 Scope

3.1 This code regulates the exchange of material between libraries in the United States.

3.2 Interlibrary loan transactions with libraries outside of the United States are governed by the International Federation of Library Associations and Institutions' International Lending: Principles and Guidelines for Procedure.

4.0 Responsibilities of the Requesting Library

4.1 Establish, promptly update, and make available an interlibrary borrowing policy.

4.2 Ensure the confidentiality of the user.

4.3 Describe completely and accurately the requested material following accepted bibliographic practice.

4.4 Identify libraries that own the requested material and check and adhere to the policies of potential supplying libraries.

4.5 When no libraries can be identified as owning the needed material, requests may be sent to libraries believed likely to own the material, accompanied by an indication that ownership is not confirmed.

4.6 Transmit interlibrary loan requests electronically whenever possible.

4.7 For copy requests, comply with the U.S. copyright law (Title 17, U.S. Code) and its accompanying guidelines.

4.8 Assume responsibility for borrowed material from the time it leaves the supplying library until it has been returned to and received by the supplying library. This includes all material shipped directly to and/or returned by the user. If damage or loss occurs, provide compensation or replacement, in accordance with the preference of the supplying library.

4.9 Assume full responsibility for user-initiated transactions.

4.10 Honor the due date and enforce any use restrictions specified by the supplying library. The due date is defined as the date the material is due to be checked-in at the supplying library.

4.11 Request a renewal before the item is due. If the supplying library does not respond, the requesting library may assume that a renewal has been granted extending the due date by the same length of time as the original loan.

4.12 All borrowed material is subject to recall. Respond immediately if the supplying library recalls an item.

4.13 Package material to prevent damage in shipping and comply with any special instructions stated by the supplying library.

4.14 Failure to comply with the provisions of this code may be reason for suspension of service by a supplying library.

5.0 Responsibilities of the Supplying Library

5.1 Establish, promptly update, and make available an interlibrary lending policy.

5.2 Consider filling all requests for material regardless of format.

5.3 Ensure the confidentiality of the user.

5.4 Process requests in a timely manner that recognizes the needs of the requesting library and/or the requirements of the electronic network or transmission system being used. If unable to fill a request, respond promptly and state the reason the request cannot be filled.

5.5 When filling requests, send sufficient information with each item to identify the request.

5.6 Indicate the due date and any restrictions on the use of the material and any special return packaging or shipping requirements. The due date is defined as the date the material is due to be checked-in at the supplying library.

5.7 Ship material in a timely and efficient manner to the location specified by the requesting library. Package loaned material to prevent loss or damage in shipping. Deliver copies electronically whenever possible.

5.8 Respond promptly to requests for renewals. If no response is sent, the requesting library may assume that a renewal has been granted extending the due date by the same length of time as the original loan.

5.9 Loaned material is subject to recall at any time.

5.10 Failure to comply with the provisions of this code may lead to suspension of service to the requesting library.

Supplemental Documentation

For more detailed information, please see the accompanying explanatory supplement *http://www.ala.org/rusa/resources/guidelines/interlibraryloancode*.

Appendix D: Interlibrary Loan Code for the United States Explanatory Supplement

For Use with the Interlibrary Loan Code for the United States (May 2008)

This Explanatory Supplement is intended to amplify specific sections of the Interlibrary Loan Code for the United States, providing fuller explanation and specific examples for text that is intentionally general and prescriptive. Topical headings refer to the equivalent sections in the Code. Libraries are expected to comply with the Code, using this Supplement as a source for general direction. (Boucher 1997)

Introduction

The U.S. Interlibrary Loan Code, first published in 1917 and adopted by The American Library Association in 1919, is designed to provide a code of behavior for requesting and supplying material within the United States. This code does not override individual or consortial agreements or regional or state codes which may be more liberal or more prescriptive. This national code is intended to provide guidelines for exchanges between libraries where no other agreement applies. The code is intended to be adopted voluntarily by U.S. libraries and is not enforced by an oversight body. However, as indicated below, supplying libraries may suspend service to borrowing libraries that fail to comply with the provisions of this code.

This interlibrary loan code describes the responsibilities of libraries to each other when requesting material for users. Increasingly libraries are allowing users to request material directly from suppliers. This code makes provision for direct patron requesting and at the same time affirms the responsibility of the patron's library for the safety and return of the borrowed material, or for paying the cost of a non-returnable item sent directly to the patron.

Technology has expanded access options beyond traditional library-to-library transactions. Unmediated requests, direct-to-user delivery, purchase-on-demand options, and increasing full-text availability are exciting developments in resource sharing. At present, the Interlibrary Loan Code reflects established practices. However, libraries and other information centers are encouraged to explore and use non-traditional means where available to ensure maximum accessibility and convenience for users. More information for libraries interested in new ideas for resource sharing can be found at: http://www.ala.org/ala/rusa/rusaourassoc/rusasections/stars/starssection....

1. Definition

The Interlibrary Code for the United States covers transactions between two libraries. Transactions between libraries and commercial document suppliers or library fee-based services are contractual arrangements beyond the scope of these guidelines.

The terms "requesting library" and "supplying library" are used in preference to "borrowing" and "lending" to cover the exchange of copies as well as loans.

2. Purpose

Interlibrary loan (ILL) is intended to complement local collections and is not a substitute for good library collections intended to meet the routine needs of users. ILL is based on a tradition of sharing resources between various types and sizes of libraries and rests on the belief that no library, no matter how large or well supported, is self-sufficient in today's world. It is also evident that some libraries are net borrowers (borrow more than they lend) and others are net lenders (lend more than they borrow), but the system of interlibrary loan still rests on the belief that all libraries should be willing to lend if they are willing to borrow.

3. Scope

The conduct of international interlibrary loan is regulated by the rules set forth in the IFLA document International Lending: Principles and Guidelines for Procedure. (International Federation of Library Associations and Institutions 2012)

Although the U.S. shares a common border with Canada and Mexico, it is important to remember that these countries have their own library infrastructures and ILL codes. The IFLA Principles and Guidelines regulate the exchange of material between institutions across these borders. Further, U.S. librarians would be wise to inform themselves of customs requirements that take precedence over library agreements when material is shipped across these national borders, e.g., as described in the Association of Research Libraries' Transborder Interlibrary Loan: Shipping Interlibrary Loan Materials from the U.S. to Canada. (Transborder Interlibrary Loan: Shipping Interlibrary Loan Materials from the U.S. to Canada 1999)

4. Responsibilities of the Requesting Library

4.1 Written Policies

A library's interlibrary loan borrowing policy should be available in a written format that is readily accessible to all library users. Whenever possible the borrowing policy should be posted on the library's Web site as well as be available in paper copy at public service desks or wherever other library user handouts are provided.

4.2 Confidentiality

Interlibrary loan transactions, like circulation transactions, are confidential library records. Interlibrary loan personnel are encouraged to be aware of local/state confidentiality rules and laws as they relate to interlibrary loan transactions. Appropriate steps, such as using identification numbers or codes rather than users' names, should be taken to maintain confidentiality. However, it is not a violation of this code to include a user's name on a request submitted to a supplier. Policies and procedures should be developed regarding the retention of ILL records and access to this information. ILL personnel should also be aware of privacy issues when posting requests for assistance or using the text of ILL requests as procedural examples. ALA's Office for Intellectual Freedom has developed a number of policies regarding confidentiality of library records. (American Library Association. Office for Intellectual Freedom. 1986) (American Library Association. Office for Intellectual Freedom. 2004)

ILL staff should adhere to the American Library Association's (ALA) Code of Ethics (American Library Association. Committee on Professional Ethics. 1995), specifically principle III, that states: "We protect each library user's right to privacy and confidentiality with respect to information sought or received and resources consulted, borrowed, acquired or transmitted."

4.3 Complete Bibliographic Citation

A good bibliographic description is the best assurance that the user will receive the item requested. Rather than detail these descriptive elements, the code requires the requesting library to include whatever data provides the best indication of the desired material, whether an alphanumeric string or an extensive bibliographic citation. The important point is that this description be exact enough to avoid unnecessary work on the part of the supplier and frustration on the part of the user. For example, journal title verification rather than article level verification would be sufficient.

4.4 Identifying Appropriate Suppliers

Requesting libraries should use all resources at their disposal to determine ownership of a particular title before sending a request to a potential supplier. Many libraries contribute their holdings to major bibliographic utilities such as DOCLINE and/or OCLC and make their individual catalogs freely available via the Internet. The interlibrary loan listserv (*ill-l@webjunction.org*) or other ILL-related lists are also excellent sources for the requesting library to verify and/or locate particularly difficult items.

The requesting library is encouraged to use resources such as the OCLC Policies Directory to determine lending policies, including any applicable charges, before requesting material.

The requesting library should clearly state on the request an amount that meets or exceeds the charges of suppliers to which the request is sent. The requesting library is responsible for payment of any fees charged by the supplying library that are less than or equal to the amount stated on its request. Libraries are encouraged to use electronic invoicing capabilities such as OCLC's Interlibrary Loan Fee Management (IFM) system or the Electronic Fund Transfer System used by medical libraries.

4.5 Sending Unverified Requests

Despite the requirements in Sec. 4.4 and 4.5 that an item should be completely and accurately described and located, the code recognizes that it is not always possible to verify and/or locate a particular item. For example, a request may be sent to a potential supplier with strong holdings in a subject or to the institution at which the dissertation was written.

4.6 Transmitting the Request

The code recommends electronic communication. For many libraries, sending requests electronically means using the ILL messaging systems associated with DOCLINE, OCLC, other products that use the ISO ILL Protocol, or structured email requests.

Lacking the ability to transmit in this fashion, the requesting library should send a completed ALA interlibrary loan request form via fax, Internet transmission, or mail; use a potential supplier's web request form; or otherwise provide the necessary information via email message or conventional letter. Whatever communication method is used, the requesting library should identify and use the appropriate address or number for ILL requests.

The requesting library should include a street address, a postal box number, an IP address, a fax number, and an email address to give the supplying library delivery options. Any special needs, such as for a particular edition, language, or rush delivery, should be included on the request.

In addition, because the primary purpose of interlibrary loan is to provide material for relatively short term use by an individual, the requesting library should communicate with the supplying library in advance if the material is needed for other uses (such as course reserves, classroom or other group viewing of audio-visual material or for an extended loan period, especially of a textbook).

4.7 Copy Requests

The requesting library is responsible for complying with the provisions of Section 108(g)(2) Copyright Law (U.S. Copyright Office n.d.) and the Guidelines for the Proviso of Subsection 108(g)(2) prepared by the National Commission on New Technological Uses of Copyrighted Works (the CONTU Guidelines). (National Commission on New Technological Uses of Copyrighted Works 1979)

4.8 Responsibility of the Requester

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

If the requesting library asks for delivery at a location away from the library (such as to the user's home), the requesting library is likewise responsible for the material during this delivery and return process. In any case, a final decision regarding replacement, repair, or compensation rests with the supplying library.

Borrowed items should be returned in the condition in which they were received at the requesting library. In particular, adhesive labels or tape should not be affixed directly to any borrowed item.

It is the responsibility of the requesting library to pay invoices received or to notify the supplying library of any billing questions not later than six months from the billing date for the charges in question. The requesting library should also make every attempt to resolve billing questions within six months of notifying the supplying library of an apparent billing error.

Although the code stipulates that the requesting library is required to pay if billed for a lost or damaged item, the supplying library is not necessarily required to charge for a lost item. In the case of lost material, the requesting and supplying libraries may need to work together to resolve the matter. For instance, the library shipping the material may need to initiate a trace with the delivery firm.

4.9 Responsibility for Unmediated ILL Requests

Some requesting libraries permit users to initiate online ILL requests that are sent directly to potential supplying libraries. A requesting library that chooses to allow its users to order materials through interlibrary loan without mediation accepts responsibility for these requests as if they have been placed by library staff. The supplying library may assume that the user has been authenticated and authorized to place requests and that the requesting library assumes full responsibility for transaction charges, the safety and return of material, and the expense of replacement or repair.

4.10 Due Date and Use Restrictions

This code makes a departure from earlier codes that described due dates in terms of a "loan period" which was interpreted as the length of time a requesting library could retain the material before returning it. The primary object of this section is to provide a clear definition of due date as the date the material must be checked in at the supplying library. This definition brings ILL practice into alignment with automated circulation procedures and is intended to facilitate interoperability of ILL and circulation applications.

The requesting library should develop a method for monitoring due dates so that material can be returned to and checked in at the supplying library by the due date assigned by the supplying library.

The requesting library is responsible for ensuring compliance with any use restrictions specified by the supplying library such as "library use only" or "no photocopying."

4.11 Renewals

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

4.12 Recalls

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

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

4.13 Shipping

It is the ultimate responsibility of the requesting library to return materials in the same condition in which they were received as noted in section 4.8 of the *Interlibrary Loan Code for the United States.*

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

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

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

In accordance with United States Postal Service guidelines, tape is the preferred sealing methods on all types of packages. Remember that wrapping and packaging materials will most likely be reused. So, please use tape judiciously. If staples must be used, do not use industrial (e.g. copper) staples if at all possible. Copper staples make it very difficult to reuse wrapping and packaging materials and are not ergonomically sound.

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

For special formats, consult the appropriate ALA Guidelines:

American Library Association. Association for Library Collections and Technical Services. Guidelines for Packaging and Shipping Magnetic Tape Recording and Optical Discs (CD-ROM and CD-R) Carrying Audio, Video, and/or Data, n.d.

American Library Association. Association for Library Collections and Technical Services. Guidelines for Packaging and Shipping Microforms, 1989.

American Library Association. Association for Library Collections and Technical Services. Guidelines for Preservation Photocopying of Replacement Pages, 1990.

American Library Association. Video Round Table. Guidelines for the Interlibrary Loan of Audiovisual Formats, 1998.

American Library Association. Association of College and Research Libraries. Ad Hoc Committee on the Interlibrary Loan of Rate and Unique Materials. Guidelines for the Interlibrary Loan of Rare and Unique Materials, 2004.

4.14 Suspension of Service

Repeated or egregious breaches of this code may result in the requesting library's inability to obtain material. Examples of actions that may result in suspension include lost or damaged books, allowing "library use only" books to leave the library, or failing to pay the supplier's charges. A supplying library should not suspend service to a requesting library without first attempting to resolve the problem(s).

5. Responsibilities of the Supplying Library

5.1 Lending Policy

The lending policy should be clear, detailed, and readily available to requesting libraries. The policy should include among other things, schedule of fees and charges, overdue fines, non-circulating items/categories, current shipping instructions, calendar for service suspensions, penalties for late payments, etc. While a supplying library may charge additional fees for the rapid delivery of requested material, it is recommended that no additional fees be charged for the routine supply of documents via electronic means.

The supplying library is encouraged to make its lending policy available in print, on the library's Web site, and in resources such as the OCLC Policies Directory. The supplying library should be willing to fill requests for all types and classes of users, and all types of libraries, regardless of their size or geographic

location.

5.2 Material Format

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

Supplying libraries are encouraged to follow ACRL's Guidelines for the Interlibrary Loan of Rare and Unique Materials (American Library Association. Association of College and Research Libraries. Ad Hoc Committee on the Interlibrary Loan of Rate and Unique Materials. 2004) and the Guidelines for Interlibrary Loan of Audiovisual Formats. (American Library Association. Video Round Table. 1998)

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

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

5.3 Confidentiality

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

5.4 Timely Processing

The supplying library has a responsibility to act promptly on all requests. If a supplying library cannot fill a request within a reasonable time then it should respond promptly. The response should be sent via the same method the requesting library used to send the request, or by otherwise contacting the requesting library directly. Some ILL messaging systems such as OCLC and DOCLINE have built-in time periods after which requests will either expire or be sent to another institution. The supplying library should respond before this time expires rather than allow requests to time-out.

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

Timely processing of a loan or copy may involve other library departments, such as circulation, copy services, and the mailroom. The interlibrary loan department is responsible for ensuring that material is delivered expeditiously, irrespective of internal library organizational responsibilities.

The supplying library should, when charging for materials, make every effort to allow for a variety of payment options. Payment through electronic crediting and debiting services such as OCLC's ILL Fee Management (IFM) system or other non-invoicing payment forms such as IFLA vouchers should be encouraged. The supplying library that charges should make every effort to accept the use of vouchers, coupons, or credit cards.

It is the responsibility of the supplying library to send final bills for service not later than six months after the supply date, final overdue notices not later than six months after the final due date, and final bills for

replacement of lost material not later than one year after the final due date. The supplying library should resolve billing questions within six months of receiving notice of an apparent billing error.

5.5 Identifying the Request

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

Supplying libraries are encouraged to enclose an accurate and complete return mailing label.

5.6 Use Restrictions and Due Date

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

The supplying library should clearly indicate the date on which it expects the loan to be discharged in its circulation system. As explained in section 4.10 above, this code has moved away from the concept of a loan period, to a definite date that accommodates the sending and return of material as well as sufficient time for the use of the material. For example, a supplying library might establish a due date of six (6) weeks for the purpose of providing one (1) week for shipping, four (4) weeks for use, and one (1) week for the return trip and check-in.

5.7 Delivery and Packaging

The location specified by the requesting library may include the requesting library, a branch or departmental library, or the individual user.

It is the responsibility of the supplying library:

to judge whether an item is suitable for shipment and circulation. If a damaged item is sent, the supplying library should note all prior damage (such as loose pages or loose spine) and not hold the requesting library responsible for subsequent damage.

to take care that the material it sends out is properly packaged to protect the item from damage even though the requesting library will be held responsible for material damaged in shipment to specify the shipping method, as well as insurance, for returning materials and if any special wrapping or packaging is required. See section 4.13 above for definitions and other important information regarding wrapping and packaging.

to provide a complete street address if asking for return via UPS, FedEx, etc. (Many supplying libraries find it safer and more cost effective to ship all material via expedited carriers).

to work with the requesting library when tracing a lost or damaged item if the commercial delivery firm is responsible for reimbursement for losses in transit.

5.8 Renewals

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

5.9 Recalls

The supplying library may recall material at its discretion at any time. Increasingly, some libraries are finding it more effective to request the material on ILL for a local user rather than to recall material in use by another library.

5.10 Service Suspension

A supplying library should not suspend service without first attempting to address the problem(s) with the requesting library.

References

American Library Association. Association of College and Research Libraries. Ad Hoc Committee on the Interlibrary Loan of Rate and Unique Materials. "Guidelines for the Loan of Rare and Unique Materials." 2004.

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American Library Association. Office for Intellectual Freedom. "Policy Concerning Confidentiality of Personally Identifiable Information about Library Users. 2004. ." 2004. http://www.ala.org/Template.cfm?Section=otherpolicies&Template=/ContentManagement/ContentDis (accessed September 4, 2014).

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Boucher, Virginia. Interlibrary Loan Practices Handbook. Chicago, Ill.: American Library Association, 1997. Though written in light of an earlier code, the Practices Handbook contains many useful and practical details on interlibrary loan procedures.

Hilyer, Lee. Interlibrary loan and document delivery : best practices for operating and managing interlibrary loan services in all libraries. New York: Haworth Information Press, 2006. (Co-published simultaneously as *Journal of interlibrary loan, document delivery & electronic reserve*, volume 16, numbers 1/2, 2006)

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Appendix E: Frequent Contacts

Association for Library Collections & Technical Services Continuing Resources (CRS) Section

http://www.ala.org/alcts/mgrps/crs

CONSER – Cooperative Online Serials Program

http://www.loc.gov/aba/pcc/conser/

GOLD

PINES and Collaborative Projects Manager
Georgia Public Library Services
A Unit of the Board of Regents of the University System of Georgia
1800 Century Place, Suite 150
Atlanta, GA 30345-4304
404-235-7128
404-235-7201 (fax)
http://georgialibraries.org/lib/gold/
ehardy@georgialibraries.org

OCLC

Cataloging subscription information

Call: 1-800-848-5800
Web contact form: http://www.oclc.org/en-US/cataloging-subscription/ordering.html
E-mail: libservices@oclc.org

WorldShare Interlibrary Loan information

Call: 1-800-848-5800 or (614) 793-8682

Web contact form: http://www.oclc.org/en-US/worldshare-ill/ordering.html

E-mail: libservices@oclc.org

Appendix F: GOLD Advisory Committee Statement of Function

[Under development; substantial revisions likely]

Purpose of GOLD:

The GOLD group is the primary library consortium for interlibrary loan in the state. In addition to providing overall direction and coordination in the implementation of interlibrary loan on a statewide level, GOLD provides oversight for the lending group within OCLC and for those members that are not OCLC participants that makes cooperative lending for member libraries possible.

Purpose of the GOLD Advisory Committee:

The GOLD Advisory Committee acts as a liaison between GOLD member libraries and the Georgia Public Library Services (GPLS). The Advisory Committee advises GPLS of the concerns of GOLD members and promotes the use of GOLD and the GOLD group to the library community.

The Advisory Committee recommends policies and actions to GPLS relating to GOLD, and interlibrary loan within the state. As an advisory body, its primary responsibilities are to keep GPLS informed of the problems and opinions of GOLD and GOLD members; to evaluate and recommend directions for GOLD; and to recommend the proper response and action to libraries not meeting GOLD membership requirements and responsibilities. The committee also suggests workshop topics to meet the needs of GOLD members, and identifies online services which could be of value to the GOLD membership. The Advisory Committee discusses new topics related to the provision of interlibrary loan, how new technologies and services will impact upon Georgia's libraries, and how GOLD members can best be prepared to implement them. The GOLD Advisory Committee plans any GOLD Membership Meeting and assists in its coordination.

Composition:

The GOLD Advisory Committee consists of ten to fifteen representatives as follows:

- Up to three members from special libraries*
- Up to three members from large academic libraries*
- Up to three members from small/medium academic libraries*
- Up to three members from large public libraries*
- Up to three members from small/medium public libraries *

Amended, August 20, 2004 GOLD/GALILEO Annual Users Group Conference

When another type of library organization achieves a significant number of members, a position shall be added to represent that constituency. As much as possible, members of the Advisory Committee will be a diverse representation of the geographic areas of the state.

A representative of GPLS, the chairperson of the GOLD Serials and Cataloging Committee, and a representative of school media centers shall serve as ex-officio members.

Selection:

Members of the Advisory Committee will be elected from the GOLD membership. By October 1 of each year, GPLS will electronically mail to each GOLD member library a nomination form. This form shall include a section describing the candidates' qualifications to serve on the Advisory Committee. Persons making nominations should secure the permission of the person s/he is nominating prior to electronically submitting the form. Persons interested in serving on the Advisory Committee may nominate themselves.

These nominations should be received back at GPLS by November 1 of each year. A minimum of two candidates for each place open on the Advisory Committee is desirable. If nominations for two candidates for each position are not received, GPLS and the Advisory Committee will attempt to solicit additional

nominations. GPLS will prepare the ballots and electronically distribute them to each GOLD member library by December 15 of each year. Each GOLD member library shall have one vote. Ballots must be electronically returned or printed and mailed to GPLS by January 15 of each year. Ballots received after 5 p.m. on January 15, or if January 15 falls on a weekend, after 5 p.m. of the Monday following January 15, shall not be counted.

Ballots will be electronically stamped "Official Ballot" by GPLS before they are e-mailed to GOLD member libraries. Since each institution is allowed only one vote, only the official ballot will be valid for voting purposes. The candidates receiving the most votes will fill the vacancies. In the case of a tie, a run-off election will be held. GPLS will be responsible for tallying the ballots and notifying the membership of the results. Ballots will be maintained on file by GPLS for a year.

Appointments to the Advisory Committee will be announced by GPLS by February 1. New appointees will be invited to attend the Spring Advisory Committee meeting at which time they will be partnered with their outgoing committee counterparts for the purposes of orientation. New appointees will assume their official duties, including voting privileges, on July 1.

Terms:

Terms of membership will be for three years. In order to establish a rotating membership, the following cycle shall be adhered to:

- three members' terms will end in year one (one special, one large academic, and one small/medium public).
- three members' terms will end in year two (one small/medium academic, one large public, and one special).
- four members' terms will end in year three (one large academic, one small/medium academic, one large public, and one small/medium public).

As one of these terms end, the new person in the category will serve a three-year term. Only one person from each GOLD member institution can serve on the advisory committee at the same time. Members of the advisory committee cannot serve consecutive terms.

Terms left vacant due to resignation or dismissal shall be filled by an appointment from the advisory committee to fill the unexpired term. The chair of the advisory committee shall take action to ensure the term is filled within two months of becoming vacant. The new member of the advisory committee will immediately assume his/her duties upon notification of his/her selection. [Amended, March 10, 1995 GOLD/GALILEO Advisory Committee Meeting]

Meetings:

Two regular meetings of the Advisory Committee (one in the spring and one in the fall) shall be held each year. Advisory Committee members are expected to assist in planning any GOLD Membership Meeting. Extra meetings may be called to plan for the membership meeting.

Failure of any committee member to attend two consecutive regular meetings may result in his/her dismissal from the Advisory Committee.

Special meetings may be called by GPLS or if two-thirds of the Advisory Committee desires a meeting, GPLS shall be obligated to call one.

Officers:

A chairperson and a recorder shall be elected by the Advisory Committee during the spring meeting to serve a one-year term beginning on July 1 and ending on August 30.

The chairperson shall be responsible for running the Advisory Committee meetings and ascertaining that items put up for vote are properly discussed, needed motions made and seconded, and a group vote

taken.

The recorder shall be responsible for preparing the minutes and giving them to GPLS in a form which is satisfactory for electronically mailing. The minutes should be mailed out to members of the Advisory Committee no later than four weeks after the meeting.

Policy recommendations reached at the meeting which are of interest to the entire GOLD membership shall be communicated to the membership by GPLS within four weeks of the meeting.

The chairperson whose term was completed on August 30 shall be responsible for reporting on the activities of the Advisory Committee for the past year at any GOLD Membership Meeting and for preparing an annual report for distribution at the annual meeting.

Appendix G: GOLD Serials and Cataloging Committee Statement of Function

[Under development; revisions likely]

PURPOSE:

The GOLD Serials and Cataloging Committee acts as a technical advisory committee for the creation and maintenance of local holdings records (LHRs) and other issues concerning cataloging practice that impacts resource sharing. The committee reports to the GOLD Advisory Committee.

RESPONSIBILITIES

The committee recommends policies and actions to the Advisory Committee relating to holding maintenance and cataloging standards and best practices. Its primary responsibilities are:

- to establish procedures for Local Holdings Records (LHRs);
- to monitor and advise on training;
- to monitor the creation and maintenance of LHRs;
- to ensure conformity with established GOLD cataloging best practices;
- to keep the Advisory Committee informed of problems such as non-compliance with GOLD membership requirements and responsibilities; and
- to recommend to the Advisory Committee the proper response to member libraries not meeting requirements and responsibilities.

COMPOSITION

As far as possible, the GOLD Serials Committee will be a diverse representation of the geographic areas of the state. In addition to at least one *ex officio* representative from the Office of Public Library Services, it will consist of seven (7) voting representatives, with no more than two (2) from any of the following groups as defined by the Advisory Committee:

- Special libraries
- Large academic libraries
- Small/medium academic libraries
- Large public libraries
- Small/medium public libraries
- School media centers
- Technical college libraries.

SELECTION:

Members of the Serials and Cataloging Committee will be appointed from the GOLD membership. By October 1 of each year, the Georgia Public Library Service will electronically mail to each GOLD member library a nomination form. This form shall include a section describing the candidate's qualifications to serve on the Serials and Cataloging Committee. Persons making nominations should secure the permission of the person he/she is nominating prior to mailing in the form. Persons interested in serving on the Serials and Cataloging Committee may nominate themselves.

These nominations should be received at the Georgia Public Library Service by November 1 of each year. A minimum of two candidates for each place open on the Serials and Cataloging Committee is desirable. If nominations for two candidates for each position are not received, the Georgia Public Library Service and the Serials and Cataloging Committee will attempt to solicit additional nominations.

The GOLD Serials and Cataloging Committee will review these nominations and appoint committee members based on the following factors:
- • Experience in creating and editing LHRs
- • Knowledge of national and cataloging standards and practice
- • Type of library in relation to current composition of the committee (see Composition above)
- • Geographic representation.

Appointments to the Cataloging and Serials Committee will be announced by the Georgia Public Library Service by February 1. New appointees will be invited to the regular June Serials Committee meeting and will begin their official terms on July 1.

TERMS:

Terms of membership will be for three years. In order to establish staggered terms, at least two members will rotate off the committee each year.

Members of the Serials and Cataloging Committee may not serve consecutive terms. Members of the Serials and Cataloging Committee may not serve simultaneously as voting members of the Advisory Committee. Only one person from each GOLD member library can serve on the Serials and Cataloging Committee. However, the same library may be represented simultaneously on both the Serials and Cataloging Committee and the Advisory Committee by different individuals.

Terms left vacant due to resignation or dismissal shall be appointed by the Serials and Cataloging Committee from those persons nominated during the last nominations cycle. If suitable nominees are unavailable, the Georgia Public Library Service and the Serials and Cataloging Committee will solicit appropriate nominations. The new member of the Serials and Cataloging Committee will immediately assume his/her duties upon notification of his/her selection.

MEETINGS:

Two meetings of the Serials and Cataloging Committee shall be held each year. Extra meetings may be called by the Georgia Public Library Service or the chairperson, as necessary.

Failure of any committee member to attend two consecutive regular meetings shall be interpreted as resignation from the Serials and Cataloging Committee.

OFFICERS:

A chairperson shall be elected by the Serials and Cataloging Committee during the June meeting to serve a one year term beginning on July 1, and ending on August
31. The chairperson shall be responsible for presiding at the Serials and Cataloging Committee meetings.

Minutes of the meetings shall be taken and distributed to committee members. At the beginning of each meeting, the group shall agree upon one person who will act as secretary for that meeting. This person shall be responsible for preparing and distributing the minutes to members of the Serials Committee no later than four weeks after the meeting.

The chairperson will serve as an *ex officio* member of the Advisory Committee and will report on the activity of the Serials and Cataloging Committee to the Advisory Committee. Policy and procedure recommendations from the Serials and Cataloging Committee meetings shall be communicated to the Advisory Committee no later than two weeks before the next Advisory Committee meeting.

The chairperson whose term was completed on August 31 shall be responsible for reporting on the activities of the Serials and Cataloging Committee for the past year at any GOLD Users Group Annual Membership Meeting.

Appendix H: GOLD Serials Committee Decisions

A summary of decisions made by the committee regarding the selection of bibliographic records for serials union listing and union listing of electronic resources.

SELECTION OF BIBLIOGRAPHIC RECORDS FOR SERIALS UNION LISTING

1. If the local policy follows national cataloging standard which calls for a separate record for each manifestation, select record by physical format of holdings:

HOLDINGS	RECORD
Paper	Paper record ONLY.
Microform	Microform record ONLY (if available).
CD-ROM	Computer file record.
Other	Other.

2. If the local policy follows the CONSER interim solution allowing the "single record approach," select the record for the print version

When reporting mixed physical format holdings on a single record, enter a total holdings statement in notes field, within square brackets. e.g., ☐n̄ [Total=] Enter statement using pattern indicated in the GOLD Serials Union Listing manual.

LEVEL 3 INVENTORY

The participants of GOLD have agreed that the purposes of resource sharing will best be served if holdings data is reported at Level 3 specificity, as defined in the American National Standard for Information Sciences – Holdings Statements for Bibliographic Items (ANSI Z39.71-1999). The ANSI website can be found at http://web.ansi.org/. While OCLC does not anticipate incorporation of the Z39.71-1999 standard until July 1, 2001, GOLD libraries can follow the enumeration specifications within Z39.71-1999 when union listing. The only limitation when trying to implement the Z39.71-1999 standard when using OCLC is that the new codes will not validate or be accepted. Except for the new codes, libraries can follow the ANSI Z93.71-1999 standard.

Level 3 Inventory includes enumeration and chronology data at the highest level, in addition to the serial identification area, the location data area, the date on which the holdings are reported, the acquisitions status designator, the retention policy designator, and local notes. Section 7 of OCLC's *Union List User Guide* gives detailed explanations and examples based on the ANSI Z39.44 implementation in serial holding statements. While this is an older standard, the explanations and examples are still useful. The current standard, ANSI Z39.71-1999, is available via interlibrary loan from GPLS. It is available free as a PDF file at http://www.cssinfo.com/cgi-bin/ . A print version can be purchased at the NISO website (http://www.niso.org/71online.html).

NOTES

Use only those notes listed in the GOLD Serials Union Listing manual (page 19).

ELECTRONIC RESOURCES

1. Union listing of electronic resources is optional.

2. Libraries should only union list materials that are under their direct control

   (no full-text titles within GALILEO aggregators).

3. In order to indicate usage for ILL, libraries should confirm with the vendor that interlibrary loan/document delivery from the electronic resource is acceptable. When such usage is **not** acceptable, a note should be added to the LDR (e.g., "Not available for ILL.")

Appendix I: GOLD Serials Committee Nomination Form

[Under development]

Appendix J: GOLD Compliance Form

[Under development]

Appendix K: CONSER Libraries

CONSER LIBRARIES
Current as of March 2015

Full Members	OCLC Symbol	MARC21 Code	Year Joined
Center for Research Libraries	CRL	ICRL	1987
Columbia University	ZCU	NNC	1997
Cornell University	COO	NIC	1974
Duke University Libraries	NDD	NcD	2013
Harvard University	HUL	MH	1976
Hong Kong University of Science & Technology	HNK	HkUST	2000
Indiana University	IUL	InU	1979
Library and Archives Canada	NLC	CaOONL	1974
ISSN/Canada	NLC	CaOONLI	1974
Library of Congress	DLC	DLC	1974
U.S. ISSN Center (formerly National Serials Data Program)	DLC, NSD5	DLC, NSD5	1974
Massachusetts Institute of Technology	MYG	MCM	1988
National Agricultural Library	AGL	DNAL	1974
National Library of Medicine	NLM	DNLM	1974
New York Public Library	NYP	NN	1994
New York State Library	NYG	N	1974
Northwestern University	INU	IEN	2000
Pennsylvania State University Libraries	UPM	PSt	2007
Texas A&M University	TXA	TxCM	2002
U.S. Government Printing Office	GPO	DGPO	1980
University of California, Los Angeles	CLU	CLU	1980
University of Chicago	CGU	ICU	2001
University of Florida, Gainesville	FUG	FU	1975
University of Georgia	GUA	GU	1987
University of Maryland, College Park	UMC	MdU	1996
University of Oregon	ORU	OrU	1999
University of Texas at Austin	IXA	TxU	1980
University of Washington	WAU	WaU	1980

Associate Members	OCLC Symbol	MARC21 Code	
American Theological Library Association	ATL	ATL	
Brigham Young University	UBY, UTV	UPB, UPBL	1994
Brown University	RBN	RPB	2009
Connecticut State Library	CZL	Ct	2000
Georgetown University Library	DGU	DGU	2005
Getty Research Institute	JPG	CMalG	2013
Health Sciences Library System, University of Pittsburgh	PFM	PPiuH	
Michigan State University	EEM	MiEM	2003
National Library of Wales	NLW	WlAbNL	2005
National University	CNU	CSdNU	2000
New York University	ZYU	NNU	2003

	OCLC Symbol	MARC21 Code	
New York University School of Law	YLS	NNUL	2001
Saint Louis University Law Library	SLU	MoSUL	2005
Syracuse University Libraries	SYB	NSyU	1996
Tulane University	LRU	LNT	2013
University at Buffalo	BUF, SBH1	NBuU, NBuUH1	2003
University of Colorado at Boulder	COD	CoU	1996
United States Newspaper Program members			2010
University of California, San Diego	CUS, IEEEX,2 C$S3	CUS	
University of North Carolina, Chapel Hill	NOC	NcU	1996
University of Pennsylvania Libraries	PAU	PU	1997
U.S. Dept. of State	DOS	DS	2007
Vanderbilt University Library	TJC	TNJ	2006

Enhance Members	**OCLC Symbol**	**MARC21 Code**	
Portland State University, (Orbis Cascade Alliance)	ORZ	OrPS	2001
San Diego State University, (Publication Patterns)	CDS	CSdS	2001
Scripps Research Institute (Regular enhance)	SCB	CLjS	2010
University of Portland (Orbis Cascade Alliance)	OUP	OrPU	2013
University of South Carolina Libraries (NDNP enhance)	SUC	ScU	2012
Vassar College Libraries 2014	VXW	NPV	2014

Affiliate Members	**OCLC Symbol**	**MARC21 Code**	
EBSCO Information Services, 1988	EBZ	EbpS	1988
ProQuest, 2000	DLC4	DLC4	2000
Serials Solutions, 2006	SERSO		1988

UC CONSER Funnel	**OCLC Symbol**	**MARC21 Code**	
University of California, Berkeley	CUY	CU	2006
University of California, Davis	CUV	CUA	2006
University of California, Irvine	CUI	CUI	2006
University of California, Riverside	CRU	CURiv	2008
University of California, Santa Barbara	CUT	CUSB	2006
University of California, Santa Cruz	CUZ	CUSC	2011

ATLA CONSER Funnel	**OCLC Symbol**	**MARC21 Code**	
Drew University	DRU	NjMD	2010
Concordia Theological Seminary	ITC	InFwCT	2010
Golden Gate Baptist Theological Seminary	GGB	CMlG	2010
Harvard Divinity School	BHA	MHAH	2010
St. Paul School of Theology	SOR	MoKNT	2010

Expedited PCC Institutional Membership	**OCLC Symbol**	**MARC21 Code**	
U.S. Dept. of State	DOS	DS	2006