Implementing the Big Ten Academic Alliance’s Principles & Protocols for Interlibrary Loan of Special Collections Materials

-- The Ohio State University experience --

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When you see this . . .

= Action item
Background

Feb 2018  BTAA Task Force completes Principles & Protocols
          https://www.btaa.org/library/reciprocal-borrowing/special-collections

Apr 2018  BTAA Library Directors approve document

May 2018  BTAA ILL Coordinators set Dec 31, 2018, deadline for each institution to implement protocols
Highlights of the BTAA Principles & Protocols

https://www.btaa.org/library/reciprocal-borrowing/special-collections

Principles

• Access: Look for ways to say Yes
• Preservation: Borrowing special collections items should be last resort
• Collaboration: Adopt a collaborative mindset

Protocols

• Responsibilities of the borrowing library (i.e. how to request/handle items)
• Responsibilities of the lending library (i.e. reviewing copy/loan requests)
• Standard Usage and shipping conditions
  • Special Collections Reading Room Use for loans, minimum 30 day loan, ship trackable in box
  • Must develop written local policies and procedures.
Ohio State University Library Special Collections

320,000+ titles with 515,000+ items

7 distinctive units under symbol OSU
- Billy Ireland Cartoon Library and Museum
- Byrd Polar Archives
- Hilandar Research Library for Medieval Slavic Studies
- Jerome Lawrence and Robert E Lee Theatre Research Institute
- Ohio Congressional Archives
- Rare Books and Manuscripts Library
- Ohio State University Archives
Creating OSU Libraries’ procedures

Formed local task force
- Head of Interlibrary Services
- Head of Preservation & Reformatting
- Head of Thompson Library Special Collections
- Five others representing each special collections location

Reviewed ILL-created 1st draft on borrowing loans, lending copies & loans

2nd draft circulated among all special collections staff for comment and approval

Total elapsed time: only one month (mid-April to mid-May 2018)
OSU Libraries’ ILL-Special Collections documents

• Procedures
  go.osu.edu/OSUILLSpecCollProcedures

• Flowcharts
  go.osu.edu/OSUILLSpecCollFlowcharts

• Streamer
  go.osu.edu/OSUILLSpecCollStreamer
Workflows

1. Borrowing requests: Physical Loans

2. Lending requests: Scans of small portions (articles/chapters)

3. Lending requests: Digitizing entire works

4. Lending requests: Physical Loans (incl. packaging instructions)
Borrowing Requests: Physical Loans

Who: OSU user
What: Another library’s special collections item (any library)
Where: OSU main library’s special collections reading room
Borrowing requests: Physical loans

OSU patron makes loan request for item not owned at OSU Libraries.

Was item published pre-1924 in U.S.?

No

OSU ILL sends request to potential lending libraries.

Lender notifies OSU ILL that item is in special collection.

Is loan available from another domestic library's general collection?

Yes

OSU ILL obtains general collection loan. END.

No

Will patron accept physical loan with special collections usage restrictions?

Yes

OSU ILL cancels request. END.

No

Is there an open, full text digital copy in HathiTrust, Internet Archive, or Google?

Yes

OSU ILL provides URL to user. END.

No

Route pre-1924 loan requests to custom queue for searching

| RuleActive | Yes |
| ProcessType | Borrowing |
| TransactionStatus | Awaiting Request Processing |
| MatchString | t.LoanDate < '1924' and u.nvlgc = 'OSU' |
| NewProcessType | Borrowing |
| NewTransactionStatus | Awaiting Open Access Searching |
Create email template to consult with local user on special collections loan

Dear <#User.FirstName> <#User.LastName>,

Regarding the ILLiad request you've made...

Transaction Number: <#Transaction.TransactionNumber>

Title: <#Transaction.LoanTitle>
Year: <#Transaction.LoanDate>
Author: <#Transaction.LoanAuthor>

Although we haven't found an available copy in another library's general collection, we have found a library with this work in their Special Collections with specialized rules and restricted usage. If the lending library agrees to send us this material, it must remain in our library at all times and be used in the Thompson Library Special Collections Reading Room where you will need to abide by certain rules (https://library.osu.edu/special-collections/material-use) and any restrictions placed on the item by the lending library.

Please reply to this email letting us know how you would like to proceed:

1. Is it crucial to see the original material? Would you like us to try and obtain a loan of this special collections item? We don't know yet if the library will agree to lend, but we are willing to ask!
2. If the lending library agrees to send this to us, it may take some time to get the material. Do you have a tight deadline?
3. Are you willing to use this item in our special collections reading room with usage restrictions?
4. Will a scan of a portion of the material suffice instead? Libraries are sometimes willing to provide a scan than risk shipping an entire special collections work. If acceptable, what portion (e.g. front matter, introduction, table of contents, a certain article/chapter, references, etc.) should we request?

If you have any questions, please contact us at osull@osu.edu with the Transaction Number <#Transaction.TransactionNumber>.

Thank you for using Interlibrary Services.
Borrowing requests: Physical loans (continued)

Create Constant Data record for special collections items with Borrowing Note:

Special Collections item requested. Please consult with curator. Other options exhausted. Inform us of any non-standard usage/shipping restrictions.
Create email template to notify patron of special collections item arrival

Dear <#User.FirstName> <#User.LastName>

An ILLiad loan you requested is now available for viewing in the Thompson Library Special Collections Reading Room.

Loan Title: <#Transaction.LoanTitle>
Loan Author: <#Transaction.LoanAuthor>
Transaction Number: <#Transaction.TransactionNumber>

Item will be held until: <#Transaction.DueDate>

The lending library has agreed to send us the material with special restrictions. The item must remain in the Thompson Library Special Collections Reading Room, and rules for usage will apply. Please review the Special Collections usage and registration information here: https://library.osu.edu/special-collections/material-use

***We also suggest contacting our Thompson Library Reading Room staff at thospcol@osu.edu to make an appointment so the item can be made ready for you.

All restrictions on this loan are listed below:

1) Item must remain in Thompson Library Special Collections Reading Room
2) Is this loan renewable? No

Questions? Please email osull@osu.edu

Thank you for using Interlibrary Services.
Borrowing requests: Physical loans (continued)

FY2019

22 offers to lend us special collection items, including:

- 13 from BTAA
- 9 from elsewhere

0 special collections items borrowed

- All were found elsewhere in general circulating collections or patron didn’t really need.
Lending Requests: Scans of small portions

Who: Another library’s user (any library)
What: Article/chapter from OSU special collections item
Where: PDF delivered electronically
Lending requests: Scans of small portions

OSU ILL receives article/chapter scan request from another library.

Does OSU ILL need to page item from depository?

Yes

OSU ILL pages item for delivery to appropriate special collection location.

No

OSU ILL emails request to owning location for curator/designee review.

Is scanning permitted (considering item size, condition, donor restrictions, etc.)?

Yes

Thompson Library Special Collections:
Special Collections staff email OSU ILL so ILL staff can scan piece in THO 019.

Archives or Billy Ireland Cartoon Library & Museum:
Special Collections staff scan desired content and email PDF to OSU ILL office.

No

Curator/designee emails OSU ILL which cancels request. END.

OSU ILL delivers PDF. Special Collections reshelves item or returns item to Depository. END.

Determine who will do scanning and where.
For example, at OSU:
• ILL staff do scanning for main library special collections units.
• Spec coll staff do scanning at other library locations.

Determine what equipment will be used.
• Overhead scanner?
• Flatbed scanner with book edge?
• Smart phone/iPad photo?
Lending requests: Scans of small portions (continued)

FY2019

166 articles/chapters requested from OSU special collections

- 123 filled
  - Rare books: 70
  - Cartoon library: 31
  - Hilandar: 11
  - Theatre Research: 11

- 43 cancelled (e.g. poor condition, lack volume, not as cited, auto-expired)
Lending Requests: Digitizing entire works

Who: Another library’s user (any library)
What: OSU special collections item (pre-1924 U.S. imprint)
Where: PDF of whole work delivered electronically
Lending requests: Digitizing entire works

1. OSU ILL receives loan request for pre-1924 work from another library.

2. Is there an open, full text digital copy in HathiTrust, Internet Archive, or Google of acceptable quality?
   - Yes: OSU ILL provides URL to requesting library. END.
   - No: OSU ILL confirms that digitized PDF of work is acceptable to requesting library.

3. Does OSU ILL need to page item from depository?
   - Yes: OSU ILL pages item for delivery to Thompson Library.
   - No: OSU ILL emails request to:
     1. Special collections curator/designee for review;
     2. Cataloging associate for print record metadata review and editing as needed; and
     3. Digital Imaging staff for condition assessment.

4. Is digitization possible?
   - Yes: Special collections or Digital Imaging staff emails OSU ILL office which cancels request. END.
   - No: OSU ILL confirms that digitized PDF of work is acceptable to requesting library.

Create Lending conditional reply:

Special collection item: Ask patron if they can wait two weeks for digitized copy. If acceptable, rerequest to us with OSU 5x in string and include borr note accepting a digital copy.
Create email template asking local special collections curator to review for potential digitization

OSU special collections curator or designee,

Can the work below be digitized and placed in Internet Archive in fulfillment of an interlibrary loan request?

If at Thompson or BICLM, please pull and review item. If at Depository, we will page item to your location.

Reply to this email and let us know if digitization is approved and if we can contact Digital Imaging which will evaluate for appropriate scanning equipment and a Special Collections cataloger who will review and confirm metadata.

Title: <#Transaction.LoanTitle>
Author: <#Transaction.LoanAuthor>
Imprint: <#Transaction.LoanPublisher>

Location: <#Transaction.Location>
Call Number: <#Transaction.CallNumber>

Transaction Number: <#Transaction.TransactionNumber>
Requesting Library: <#LenderAddress.EShipTo>
Note from Borrowing Library: <#Transaction.Notes>

We received this request on <#Transaction.CreationDate> and would like to inform the requesting library as soon as possible if we have permission to digitize.

Many thanks for your consideration and reply,

Travis Manzione / Brian Miller
Interlibrary Services
Lending requests: Digitizing entire works (continued)

Create email template asking special collections cataloger and digital imaging specialist to review

We in Interlibrary Services have permission from the owning OSUL special collection to have the item below digitized. The item is in THO 019 on the ILL shelf.

Pam: Please review the print catalog record's metadata and edit for accuracy if needed.
Amy: Please review the physical piece, assess its condition, and determine the most appropriate scanning to be used. Once scanned and on Internet Archive, provide URL to us at libill@osu.edu, to owning special collection, and to Sherab who will create electronic record.

Title: "#{Transaction.LoanTitle}"
Author: "#{Transaction.LoanAuthor}"
Imprint: "#{Transaction.LoanPublisher}"

Location: "#{Transaction.Location}"
Call Number: "#{Transaction.CallNumber}"
Transaction Number: "#{Transaction.TransactionNumber}"
Requesting Library: "#{LenderAddress.ESPSHIPTo}"
Note from Borrowing Library: "#{Transaction.Notes}"

We received this request on "#{Transaction.CreationDate}".

Travis Manzione / Brian Miller
Interlibrary Services
Determine where digitized title will be mounted and accessible to others.

Consider cataloging e-version in local catalog and on WorldCat so others may find and use it.
FY2019

110 out-of-copyright items requested as loans but which were already online
  • 94 in HathiTrust
  • 16 in Internet Archive

6 out-of-copyright items requested as loans from OSU special collections and which we offered to digitize
  • 2 filled (Rare Books)
  • 4 cancelled (e.g. never heard back from borrower; too brittle)
Lending Requests: Physical loans

Who: Another library’s user (BTAA library)
What: OSU special collections item
Where: Another library’s special collections reading room
Lending requests: Physical loans

Big Ten library sends our OSU ILL office a loan request. Item is located in OSU special collection.

Was item published pre-1924?

No

OSU ILL asks Big Ten library to exhaust other domestic lenders for general collection copy.

If none found, Big Ten library asks us for special collections loan consideration.

OSU ILL office emails request to special collection for curator/designee review.

Is loan permitted (considering value, condition, donor restrictions, etc.)?

Yes

No

Special collections emails OSU ILL office which cancels request. END.

No

OSU digitizes item and delivers to requesting library and Hathi. END.

Yes

OSU ILL provides URL or PDF to requesting library. END.

Create Lending conditional reply:

- Special collection item: Exhaust other lenders first. If not filled elsewhere, rerequest with our symbol 3x in string and include borr note agreeing to conditions at http://go.osu.edu/illsc; we will then seek curator approval to lend.
Lending requests: Physical loans (continued)

Create email template asking special collections curator to review for loan

OSU special collections curator or designee,

Would you consider allowing us in the Thompson Library Interlibrary Services to circulate the item below through interlibrary loan? AND if so, what should the estimated insurance value be for shipping purposes?

Please reply to this email and let us know.

Title: <#Transaction.LoanTitle>
Author: <#Transaction.LoanAuthor>
Imprint: <#Transaction.LoanPublisher>

Location: <#Transaction.Location>
Cell Number: <#Transaction.CellNumber>

Transaction Number: <#Transaction.TransactionNumber>
Requesting Library: <#LenderAddress_ESPShipTo>
Note from Borrowing Library: <#Transaction.Notes>

We received this request on <#Transaction.CreationDate> and would like to inform the requesting library as soon as possible if we have permission to lend.

If permitted, we will secure the borrowing library's agreement to the following conditions before we arrange shipment.
Let us know if additional restrictions are required as a condition of the loan.
1. Item must be special-collections-reading-room-use-only.
2. Unless explicitly prohibited for a particular item, photocopying/scanning by library staff or photography by user is permitted in accordance with U.S. Copyright Law.
3. No adhesive label, tape, or sticky notes may be applied to item.
4. Loan will be 45 days with no renewal.
5. Item must be shipped in a box via UPS or Fedex for the specified insurance amount.
6. Item must be carefully packaged and returned in its own box separate from other returns.

Many thanks for your consideration and reply,

Travis Manzione / Brian Miller
Interlibrary Services
Is loan permitted (considering value, condition, donor restrictions, etc.)?

- Yes: Special collections notifies OSU ILL of approval and any additional usage restrictions.
  
  Are there usage restrictions beyond the standard Big Ten Protocols?
  
  - Yes: OSU ILL contacts requesting library to confirm acceptance of restrictions.
  
  - No: OSU ILL staff:
    1. Retrieve item from special collections.
    2. Prepare ILL paperwork and streamer with item restrictions and condition.
    3. Update ILLiad and Sierra.
    4. Box item for shipment and take to mailroom for insured UPS delivery.

Upon item’s return, OSU ILL staff:
1. Inspect item for damage.
2. Update ILLiad and Sierra.
3. Hand item to special collection. END.

- No: Special collections emails OSU ILL office which cancels request. END.

Does library agree to restrictions?

- Yes: Request not filled. END.

- No: Request not filled. END.
Lending requests: Physical loans (continued)

PLEASE READ
Special Collections item on Interlibrary Loan

Required usage/shipping conditions for this loan:
- Special collections reading room use only.
- Photocopying/scanning by library staff or photography by user is permitted in accordance with U.S. copyright law.
- 45 day loan period; no renewals.
- Due date ___
- No adhesive label, tape, or sticky note may be applied to item.
- Return via UPS or FedEx (no USPS library rate).
- Insurance value for shipping: $ ___
- Carefully package and return this special collections item in its own box separate from other returns.
- Other instructions:

**See reverse for Item Condition Report**

Return via UPS/Fedex to:
The Ohio State University Libraries
Interlibrary Services – Lending
1898 Neil Ave Mall
Columbus, OH 43210
614-292-6211
library@osu.edu

Item Condition Report

- Loose/damaged binding
- Damaged cover
- Damaged spine/head cap/tail cap
- Loose pages
- Pen/pencil/highlighter
- Stains
- Bent/torn pages
- Water damage
- Other, or details regarding the above:

Visible areas of damage:
Lending requests: Physical loans (continued)

Obtain packaging supplies:
- Acid-free tissue paper
- Streamer and ILL paperwork
- Bubble wrap
- Appropriate size inner box
- Special collections box label
- Void fill (e.g. crumpled packaging paper, bubble wrap, foam blocks, packing peanuts)
- Appropriate size outer box

Ship on Mon, Tues, or Wed only
Lending requests: Physical loans (continued)

**FY2019**

- **351** physical loans offered if we were last resort
  - **328** offered to Big Ten (avg 23 per library in year)
  - **23** offered elsewhere (Hilandar items only)

- **16** came back to us as last resort
  - **8** filled
    - Theatre Research: **3** (Big Ten)
    - Rare books: **2** (Big Ten)
    - Cartoon library: **2** (Big Ten)
    - Hilandar: **1** (OCLC SHARES)
  - **8** declined (poor condition, restrictions not accepted)
    - Rare books: **5**
    - Cartoon library: **1**
    - Hilandar: **1**
    - Theatre Research: **1**
Questions