THE OHIO STATE UNIVERSITY
UNIVERSITY LIBRARIES

Procedures for Interlibrary Loan of Special Collections Materials

5 November 2018

These procedures provide detail for Ohio State University Libraries' implementation of the framework document: *Big Ten Academic Alliance Principles and Protocols for Interlibrary Loan of Special Collections Materials* (2018).

I.   Borrowing Requests: Physical loans

a. If a title requested by an OSU user was published before 1923 in the U.S., OSU ILL staff search HathiTrust, Internet Archive, and Google for an existing open-access digital copy. If none is found or if title was published in or after 1923, OSU ILL staff send an interlibrary loan request through ILLiad to potential lending libraries.

b. If a requested item is in a special collection, potential lenders may send OSU ILL staff a conditional notification.

c. Before attempting a special collections loan, OSU ILL staff will:
   i. Exhaust all other domestic lenders first to try to obtain a loan from a circulating collection; and then
   ii. Communicate with the OSU user to find out:
      1. Is it critical for them to see the original material?
      2. Do they have a tight deadline?
      3. Are they willing to use the item in a special collections reading room with usage restrictions?
      4. Will a digital surrogate, microform copy (if available), or scan of a portion of the material suffice?

d. If OSU user confirms that a physical loan is desired, OSU ILL staff send request to the lending library with their OCLC symbol at least 3 times in the ILL lending string and include a borrowing note to indicate: "Special collections item requested. Please consult with curator. Inform us of any non-standard usage/shipping restrictions. Other options exhausted." OSU ILL staff will also communicate with the OSU user to confirm their acceptance of all usage restrictions the lending library requires as a condition of the loan before the item is sent.

e. Upon item's arrival, OSU ILL staff:
   i. Update the ILLiad/OCLC ILL transaction record indicating item has been received.
   ii. Evaluate the item's condition, compare to any condition report sent by lender, and contact lender's ILL staff if any discrepancies are found.
   iii. Place a paper streamer in piece denoting OSU user name, due date, and transaction information. No adhesive label, tape, or sticky item may be applied to item. Any accompanying paperwork from lender must also remain with the piece.

        iv. Notify the OSU user via email that the item has arrived and is awaiting them in the Thompson Library Special Collections Reading Room. The email message will:
1. Include a summary of the lender's usage requirements.
2. Include the URL to the reading room Hours and Location web page.
3. Encourage the user to contact thospcol@osu.edu and make an appointment so the item will be made ready.
4. Cc our Thompson Special Collections Coordinator of Public Services & Operations.

        v. Take item to the Special Collections office (Thompson Library Room 119) and hand it to the Thompson Special Collections Public Services Coordinator or designee.

f. OSU ILL staff will communicate with the lending library if there are any questions/issues from the OSU user or special collections library staff regarding the borrowed item.

g. Thompson Library Special Collections staff will hold item for the OSU user on the hold shelf in the secured special collections stacks or on their cart in the Special Collections Reading Room if a user appointment has been made.

h. OSU user will follow OSU Special Collections' rules for user registration and material usage in the reading room as well as special instructions from the lender as a condition of the loan.

i. Thompson Special Collections staff will check out the book to the 'Library, Holdshelf' pseudopatron record in Sierra using the Thompson Special Collections ILL dummy item record barcode. This will show that the material is located on the special collections hold shelf. When the user is ready to view the item in the reading room, the desk attendant will check out the item to the user and then immediately back in.

j. If the user requests a scan of some portion of the work and reproduction is not prohibited as a condition of the loan:
        i. Thompson Library Special Collections staff contact the OSU ILL staff to arrange a scan in accordance with U.S. copyright law.
        ii. OSU ILL staff will enter a new copy request into ILLiad on the user's behalf and use the scanning equipment in special collections room 019 to scan and deliver the request.

k. Thompson Library Special Collections staff will notify OSU ILL staff when user is finished with the item or due date has arrived and item can be returned.

l. OSU ILL staff will:
        i. Retrieve item from Special Collections;
        ii. Update ILLiad/OCLC to indicate item is being returned;
        iii. Remove OSU ILL streamer from piece;
        iv. Carefully package item according to any instructions stipulated by the lender;
        v. Take package to Thompson Library mailroom for insured shipping via UPS at OSU ILL expense; and
        vi. Record shipment tracking information in ILLiad transaction record.

II. Lending Requests: Scans of small portions (e.g. articles/chapters)

Considered from any requesting library

For OSU Thompson Library Special Collections (Rare Books and Manuscripts; William Charvat Collection of American Literature; Jerome Lawrence and Robert E. Lee Theatre Research Institute; Hilandar Research Library):

a. Article/chapter request comes in to OSU ILL office.
b. OSU ILL staff email request from ILLiad to thospcol@osu.edu (RAR/CHA/TRI items) or hilandar@osu.edu (HIL items) for curator or their designee to review appropriateness of piece for article/chapter scanning. Review factors may include, but are not limited to: size, condition, and donor restrictions. If item is held in Thompson Library, Thompson Special Collections staff pull it. If item is at off-site depository, OSU ILL staff will page it in Sierra using ILLRare pseudopatron account for delivery directly to Thompson Special Collections Room 019 for review.
c. Curator or designee approves or declines item to be scanned.
    i. If declined, Special Collections staff reply to the original email in order to alert OSU ILL staff to cancel the request.
    ii. If approved . . .
        1. Special Collections staff:
            a. Reply to the original email in order to alert OSU ILL staff to come down to Thompson Room 019 and scan item.
            b. Place item on the ILL shelf (or a nearby book truck for oversize items) in Room 019 to await OSU ILL staff. The book truck will have a bright green sign indicating it is in the ILL queue.
        2. OSU ILL staff scan and deliver PDF all at once through ILLiad from PC/scanner in Room 019.
        3. Scans should resemble the original in appearance, legibility, and completeness with appropriate attention paid to image color and clarity, margins, page orientation, and any accompanying references, plates, or appendices.
        4. When finished scanning, OSU ILL staff place item on the ILL shelf (or a nearby book truck for oversize items) so that item can be reshelved. OSU ILL staff will place a teal sign on the book truck indicating it is ILL complete.
        5. If OSU ILL staff have questions about a particular piece, they should ask Orville for RAR/CHA/TRI items or Pasha for HIL items.

For OSU Special Collections outside Thompson Library (Billy Ireland Cartoon Library and Museum; University, Polar, or Ohio Congressional Archives):

a. Article/chapter request comes in to OSU ILL office.
b. OSU ILL staff email request to owning location (cartoons@osu.edu or archives@osu.edu) for curator or their designee to review appropriateness of piece for article/chapter scanning. Review factors may include, but are not limited to: size, condition, and donor restrictions. If item is held at BICLM or Archives, the respective BICLM and Archives staff pull it. If BICLM item is at off-site depository, OSU ILL staff page it in Sierra using the ILLCGA pseudopatron account for delivery to Billy Ireland Cartoon Library and Museum for review.
c. Curator or designee approves or declines item to be scanned.
    i. If declined, BICLM or Archives staff reply to the original email in order to alert OSU ILL staff to cancel the request.
    ii. If approved . . .

1. BICLM or Archives staff scan desired content and email PDF to OSU ILL staff at liblend@osu.edu.
2. Scans should resemble the original in appearance, legibility, and completeness with appropriate attention paid to image color and clarity, margins, page orientation, and any accompanying references, plates, or appendices.
3. OSU ILL staff deliver PDF to requesting library through ILLiad.

III.   Lending Requests: Digitizing entire works

Considered from any requesting library

a. Loan request comes in to OSU ILL office for pre-1923 U.S. imprint.
b. OSU ILL staff check Hathi, Internet Archive, and Google to see if work has already been digitized.
    i. If so, OSU ILL staff relay URL or PDF to requesting library.
    ii. If not, OSU ILL staff send conditional message to requesting library offering to digitize, asking if their patron can wait two weeks for us to complete, and instructing the requesting library to send us a new ILL request with our symbol at least five times in the lending string and a borrowing note indicating a digital copy is acceptable.
c. When request to digitize is confirmed, OSU ILL staff will:
    i. Pull or page item if in the OSU general collections and take piece to ILL shelf in Thompson Library Room 019.
    ii. Send an email message if in a special collection asking a special collections curator or their designee to pull the piece for digitization review and approval, make arrangements to place it in Thompson Room 019 on the ILL shelf if approved, and notify the OSU ILL staff if they may proceed. ILL staff will page in Sierra any special collections item at the depository to go directly to Thompson Library Room 019 or to BICLM, as appropriate, for curator review.
    iii. Place a staff note in the item record indicating the item is being reviewed for possible digitization.
    iv. Send an email message to both:
        1. The Thompson Library Special Collections Cataloging Associate in order to have the print catalog record's metadata reviewed and edited for accuracy as needed, and;
        2. The Digital Imaging staff to review the physical piece in Room 019, assess its condition, and determine the most appropriate scanning equipment to be used if in suitable condition for digitization.
d. Digital Imaging staff will then:
    i.   Email Internet Archive (IA) requesting a unique identifier for the book and sending the bib number from OSUL's catalog so IA can pull MARC metadata via Z39.50. If the book is in a language that pages right-to-left, include the code "r-l" in the request.
    ii. Enter the item's unique identifier into a new record in the Scribe scanner's software, using the Linux computer in Thompson Library Room 021. Fill in the fields for Language Code and Collection. The rest of the metadata will auto-populate from the MARC record.
    iii. Scan the book on the Scribe in Thompson Library Room 021.
    iv. Export the image files to a local drive and check for image quality, completeness, and correct page order. If pages are missing or need to be rescanned, scan and insert the relevant pages.
    v.   Upload the files to Internet Archive's dropbox.
    vi. Enter information about the book in the local spreadsheet maintained on the Linux computer in Thompson Library Room 021.
    vii. Rescan any relevant pages and re-upload if Internet Archive notes any problems with the pages. They will send an email detailing what needs to be fixed.
    viii. Check the URL generated for the item periodically. In most cases, the item will be available online in one week or less. Typically, the downloadable PDF will be available a few days before the "read online" copy is ready, so the patron can retrieve their PDF even when it looks like the book is not yet showing up at the specified URL.

         ix. Return the item to the special collections staff for reshelving or return to the depository as appropriate.

         x. Notify the OSU ILL staff, the Special Collections department, and the eResources Discovery Librarian of the work's URL in Internet Archive.

e. OSU ILL staff complete the request in ILLiad and notify the requesting library of the new Internet Archive URL for the work.

f. The eResources Discovery Librarian will create a new bibliographic record locally and on WorldCat for the electronic resource including the Internet Archive URL for worldwide access.

IV. Lending Requests: Physical loans

Considered from any domestic requesting library: Hilandar Research Library **
Considered from Big Ten Academic Alliance libraries: Rare Books and Manuscripts; William Charvat Collection of American Literature; Jerome Lawrence and Robert E. Lee Theatre Research Institute; Billy Ireland Cartoon Library and Museum; University, Polar, or Ohio Congressional Archives**

a. If an item requested by another library through the OSU ILL office is held in an OSU special collection, OSU ILL staff will send a conditional response to notify the requesting library:
   i. It is a special collections item;
   ii. That they should exhaust other domestic lenders first;
   iii. But that they may ask us for loan consideration as a last resort if they put us at least three times in the lending string to give us time for local review.

b. If a loan request is received for a pre-1923 work published in the United States (public domain) that is not already online (e.g. Hathi, Google Books, Internet Archive, etc.), it may be considered as a candidate for digitization by reformatting staff both to fill the ILL request and to be placed in Internet Archive and HathiTrust as per previous section (page 5).

c. If the requesting library exhausts other domestic lenders and comes back to us for a physical loan with our symbol at least three times in the lending string, OSU ILL staff will send an email to the appropriate OSU special collection email account asking for loan consideration by a curator or their designee. The email will contain citation, location, and call number information for the material as well as the name of the requesting library. OSU ILL staff will page depository items in Sierra to go directly to the owning special collection location for proper review.

d. A special collections curator or designee will review item, assess age/condition/rarity/value of piece, and determine whether or not the loan request can be filled or an alternative offered. For Thompson Library Special Collections items, the curator or designee will also consult with the Special Collections instruction coordinator to ensure the item is not being used for an upcoming class. A determination must be made (i.e. **no**, we can't fill OR **yes**, we can under specific conditions) and relayed to the OSU ILL staff within nine full business days so the request will not auto-expire on OCLC.
   i. Curator or designee will consider requests on a case-by-case basis, independent of format, rather than having a blanket rejection policy.
   ii. If request **cannot** be filled, the curator or designee will reply back to OSU ILL staff at libill@osu.edu indicating they cannot fill for a specified reason. If an alternative to a loan can be offered, OSU ILL staff will relay it to the requesting library.
   iii. If request **can** be filled:
      1. The following standard loan conditions for OSU special collections items apply.
         a. Item must be special-collections-reading-room-use-only.
         b. Photocopying/scanning of loaned material by library staff, or photography by user, in accordance with U.S. Copyright Law is permitted, unless OSU ILL gives explicit instructions to the contrary.
         c. Loan period of 45 days with no renewals.
         d. No adhesive label, tape, or sticky notes may be applied to item.
         e. The borrowing library's rules for usage in their special collections reading room will be followed unless we include additional special instructions as a condition of the loan.

      f.   The borrowing library will initiate and maintain communication with OSU ILL staff and, when permitted by OSU ILL staff, act on our behalf to address certain patron requests including, for example, creating reproductions in accordance with U.S. Copyright Law.

      g.   Item must be returned via UPS or Fedex for or exceeding the insurance amount indicated on the OSU Libraries streamer that accompanies the item.

      h.   Item must be carefully packaged and returned <u>in its own box</u> separate from general circulating collection items. If one or more special collections item is lent at the same time to a single patron, more than one item of like sizes may be grouped together in a single box for shipping.

2. The curator or designee will notify OSU ILL staff of any required insurance value above $100 as well as any additional usage or shipping requirements beyond those stated above so that a conditional response can be sent to the requesting library to confirm their acceptance of the conditions.

3. If borrowing library accepts conditions, OSU ILL staff update local ILLiad system and OCLC to indicate item is going to be shipped.

4. OSU ILL staff:

      a.   Retrieve item or make arrangements to obtain item from appropriate special collection;

      b.   Prepare ILL paperwork, including a 'Special Collections on Interlibrary Loan' streamer that includes:

            i.   Shipping insurance amount;

           ii.   Any usage restrictions; and

          iii.   Any visible damage or condition issues.

      c.   Change item record status in Sierra to 'j' and add a staff note indicating

            i.   ILL transaction number;

           ii.   Date sent;

         iii.   Due date; and

         iv.   Staff initials;

      d.   Carefully package item for shipment by wrapping item in acid-free, lignin-free tissue paper followed by bubble-wrap before double boxing item with cushioning void fill. See packaging instructions in next section (page 8).

      e.   Deliver item to mailroom for shipping.

5. Thompson Library mailroom will ship item via UPS with specified insurance value. OSU ILL will incur all outgoing shipping costs.

iv. Upon item's return . . .

1. OSU ILL staff:

      a.   Update local ILLiad system and OCLC to denote item's return;

      b.   Compare item to initial condition report and inspect item. If damage found, OSU ILL staff will consult with Special Collections staff regarding billing;

      c.   Change item record status in Sierra to 'd' and add a staff note indicating item was returned with date and staff initials;

      d.   Hand deliver item to Thompson Library Special Collections office (room 119), or arrange for secure transport back to BICLM or Archives, as directed.

2. OSU ILL head will handle any communication with the borrowing library about irregularities encountered with the loan as well as any replacement, repair, or other appropriate compensation billing required. The owning OSU Special Collection will receive any payment to their own designated fund.

V.   Packaging Instructions for Special Collections items

a. Wrap each book first in clean, smooth, acid-free, lignin-free tissue paper. This should be the only material that comes in direct contact with the book. Do not affix tape to the tissue, and certainly not to the book itself. Instead, tuck and fold the edges, ensuring that there are no rough edges that might dig into or abrade the book inside.

b. Place ILL streamer and paperwork with usage/shipping restrictions and item condition report on tissue paper. Do not fasten paperwork with staples or paperclips.

c. Wrap each book carefully in bubble wrap (large bubbles are best) with the smooth side facing in and the bubbles facing out. Wrap one piece around cross-wise and another lengthwise and secure with packing tape. Bubble wrap should support and enclose but not compress the book. The bubble wrap will protect the item from physical shock, and from moisture damage should the container be exposed to water.

d. Place bubble wrapped book in box of slightly larger size. Line the bottom of the box with bubble wrap. Center the book in the box and fill all gaps between the wrapped item and the walls of the shipping box with at least 2 inches of rolled bubble wrap to ensure that the book does not move around in transit. Using rolled bubble wrap as a filler also provides a thermal barrier that will protect the book from big swings in temperature and humidity that can happen in transit. Place label on outside of box indicating:

Special Collections item on Interlibrary Loan
Attention Mailroom:
Please deliver this unopened box to ILL office.
When done, return item in this packaging within larger box.

e. If more than one special collections item is to be shipped at once (e.g. a two volume set), load the larger, heavier book into box first and the smaller book on top, again ensuring that there is at least 2 inches of bubble wrap between each book, and between book and container.

f. Place initial box in slightly larger box with cushioning void fill (e.g. crumpled packaging paper, bubble wrap, foam blocks, packing peanuts, etc.) on all sides so inner box does not shift during transit. The outer box is what will be handled by the courier and requesting library's mailroom; the protective inner box is what the requesting library's ILL office will open.

g. Packages containing special collections items will only be mailed on Mondays, Tuesdays, and Wednesdays (provided no holidays fall on the Thursday or Friday of a given week) in order to avoid having items spend time in transit or mail holding areas on weekends.