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## PREFACE

It is with pleasure that The Office of Commonwealth Libraries publishes the 2011 *Pennsylvania Interlibrary Loan Guidelines* and the 2011 *Pennsylvania Interlibrary Loan Procedures Manual*. These documents provide guidance for the exchange of materials between libraries. They replace the 1994 *Pennsylvania Interlibrary Loan Code* and the 1995 *Pennsylvania Interlibrary Loan Procedures Manual*. The revisions incorporated in these new documents represent the work of the Interlibrary Loan Code Committee and the Interlibrary Loan Resources Committee.

During 2010/11 the committees, acting as one body, met regularly onsite or electronically to draft the documents. SurveyMonkey surveys to academic, public, school and special libraries provided valuable feedback about the drafts while they were in process. The committees reviewed and discussed each comment and made changes to the documents when possible and applicable.

These documents are designed to address the need for increased flexibility and to better accommodate new technologies. They encourage libraries to share resources liberally and advise that restrictions of the past may no longer apply. Each library should create a written policy statement to share with staff and users that clearly states what materials may be borrowed and lent.

The resulting documents continue to reflect "a philosophy that strong and well-defined collections must be available in libraries of all types and sizes. Interlibrary loan is a service which may be used to expand and broaden access beyond the scope of local collections. However, it should serve as an adjunct to collections which meet most needs of an individual library's users." (Pennsylvania Interlibrary Loan Code, 1994)

The Office of Commonwealth Libraries wishes to express its sincere thanks to the members of the Interlibrary Loan Committees. Special recognition is given to their chair, Tina LaMark of the Carnegie Library of Pittsburgh who, through her leadership and an unflagging commitment to the importance of the project, ensured documents that will enhance and facilitate interlibrary loan in the Commonwealth.

M. Clare Zales, Deputy Secretary for Commonwealth Libraries  
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# INTERLIBRARY LOAN GUIDELINES

## 1. INTRODUCTION

**1.1** The *Pennsylvania Interlibrary Loan Guidelines* (hereafter referred to as the Guidelines) provide guidance for the exchange of materials between libraries. Since no individual library has the resources available to meet all user needs, interlibrary loan is an essential service to assist libraries in obtaining needed material for their users.

**1.2** These Guidelines are intended to serve as an outline of interlibrary loan protocols and standard practices. They do not override individual, consortial, or regional codes.

**1.3** These Guidelines strongly encourage libraries to add and maintain their holdings in appropriate union catalogs and lists in a timely manner.

**1.4** Libraries endorsing these Guidelines are encouraged to offer interlibrary loan to their users at no cost, to lend returnable materials at no cost and to keep copy fees to a minimum.

**1.5** It is the responsibility of each library to evaluate available options and maximize access to content, such as purchase, full-text, or web content, before using interlibrary loan to meet the needs of their users.

**1.6** Libraries should select the most efficient and effective means for interlibrary loan. Whenever feasible, local, regional, or other resource sharing consortia should be utilized.

**1.7** The accompanying *Interlibrary Loan Procedures Manual* includes detailed procedures. [Link to \*Interlibrary Loan Procedures Manual\*](#)

## 2. DEFINITIONS

**2.1** The *Pennsylvania Interlibrary Loan Guidelines* consist of library responsibilities, protocols and brief general procedures.

**2.2** An interlibrary loan is the process by which a library requests material from, or supplies material to, another library. The interlibrary loan process is initiated by the user and may be mediated or unmediated.

**2.3** Interlibrary loan encompasses transactions among libraries not under the same administration, library system or school district. Intra-library loans (materials loaned within/under the same administration, library system or school district) may not be covered by these Guidelines.

**2.4** The term "library" refers to collections at all types of institutions.

**2.5** The term "library material" covers all formats, including print, digital and multimedia.

**2.6** The term "user" refers to the individual who initiates an interlibrary loan request.

**2.7** The term "consortium" refers to an association of independent libraries formed for a definite purpose.

### 3. PURPOSE

- 3.1** These Guidelines are a voluntary agreement adopted by the endorsing libraries to govern interlibrary loan among libraries in Pennsylvania.
- 3.2** Endorsement of these Guidelines assumes participation as both a requestor and a supplier.

### 4. SCOPE

- 4.1** Under the terms of these Guidelines, a library may request a variety of material types as loans or in copy form from another library. Some restrictions and fees may be imposed by the supplying library.
- 4.2** Libraries are encouraged to lend materials regardless of format.
- 4.3** The conduct of national interlibrary loan is governed by the American Library Association's Interlibrary Loan Code for the United States (2008).  
[www.ala.org/ala/mgrps/divs/rusa/resources/guidelines/interlibrary](http://www.ala.org/ala/mgrps/divs/rusa/resources/guidelines/interlibrary)

### 5. RESPONSIBILITIES OF THE REQUESTING LIBRARY

- 5.1** The requesting library should make every effort to meet most needs and interests of its primary users and to make reasonable efforts to use its own resources before initiating an interlibrary loan.
- 5.2** The requesting library should make every effort to obtain material or transmit requests to potential suppliers in as timely a manner as possible.
- 5.3** The requesting library should establish and maintain an interlibrary loan borrowing policy, and make it available to users.
- 5.4** The requesting library should inform users of the availability and purpose of interlibrary loan.
- 5.5** The requesting library should ensure the confidentiality of the user.
- 5.6** The requesting library should ensure that all persons working in interlibrary loan are familiar with these Guidelines and follow the protocols.
- 5.7** The requesting library should be aware of the lending policies of potential supplying libraries for any restrictions, fees or special instructions.
- 5.8** The requesting library should make every effort to describe the desired material as completely and accurately as possible.
- 5.9** The requesting library should make every effort to determine owning locations, but if no location can be identified, requests may be sent to libraries believed likely to own the material with the accompanying statement that ownership is not confirmed.
- 5.10** The requesting library will comply with current Copyright Law governing both print and digital resources, including "fair use," (Title 17, U.S. Code) and its accompanying National Commission on New Technological Uses of Copyright Works (CONTU) Guidelines. Information on copyright law can be accessed at [www.copyright.gov](http://www.copyright.gov) with information on the digital copyright law found at [www.copyright.gov/legislation/dmca.pdf](http://www.copyright.gov/legislation/dmca.pdf). Information specific to libraries and digital copyright can be found at the American Library Association website located at [www.ala.org/ala/issuesadvocacy/copyright/dmca](http://www.ala.org/ala/issuesadvocacy/copyright/dmca). Information on the CONTU guidelines can be found at [www.cni.org/docs/infopols/CONTU](http://www.cni.org/docs/infopols/CONTU) or the Copyright Clearance Center at [www.copyright.com](http://www.copyright.com).

**5.11** The requesting library is responsible for indicating a maximum cost that the user is able to pay at the time of the request and is responsible for any fees or charges associated with the borrowed material. If no maximum cost is indicated, the requesting library is responsible for paying the full fee.

**5.12** The safety of borrowed materials is the responsibility of the requesting library. Ultimate financial responsibility for replacement or compensation for materials resides with the requesting library. The requesting library is responsible for borrowed materials from the time they leave the supplying library until they have been received back by the supplying library.

**5.13** The requesting library and its users must comply with the conditions of the loan as established by the supplying library, including any special instructions and recall notices.

**5.14** A renewal request, if permitted by the supplier's policy, should be sent in time to reach the supplying library before the due date. If the supplying library does not respond, the requesting library may assume that the renewal has been granted for the same length of time as the original loan period. A supplier's recall can still override this renewal.

**5.15** The requesting library should 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.

**5.16** If a user needs to travel to another library for on-site access to materials, the requesting library should assist the user in making the necessary arrangements with the owning institution.

**5.17** The requesting library should periodically review interlibrary loan requests and add frequently requested material to its collection.

## **6. RESPONSIBILITIES OF THE SUPPLYING LIBRARY**

**6.1** The supplying library should expect that the requesting library has made reasonable efforts to utilize its own resources before resorting to interlibrary loan.

**6.2** The supplying library should establish and maintain an interlibrary loan lending policy, making it available publicly.

**6.3** The supplying library should complete or respond to requests within a timely manner.

**6.4** The supplying library is encouraged to share materials regardless of format.

**6.5** The supplying library should verify that the correct item is being sent by carefully checking the bibliographic information on the request with the item in hand.

**6.6** The supplying library should notify the requesting library when unable to fill a request and, if possible, state the reason for not filling the request.

**6.7** The supplying library has the right to decide on a case-by-case basis whether a particular item, in original format or copy, can be provided.

**6.8** The supplying library will comply with current Copyright Law (17 U.S.C.) governing both print and digital resources. Information on copyright law can be found at [www.copyright.gov](http://www.copyright.gov) and information specific to digital copyright can be located at [www.copyright.gov/legislation/dmca.pdf](http://www.copyright.gov/legislation/dmca.pdf).

**6.9** The supplying library has the right to limit the number of items from a set or series lent at one time.

**6.10** The supplying library has the responsibility to honor maximum cost limits as stated. If the supplying library fills a request and imposes a lending fee that exceeds the requestor's cost limit, the requestor is only responsible for the stated maximum cost.

**6.11** The supplying library should include a copy of the original request or information sufficient to identify the request with each item. Conditions of the loan and any special return packaging or shipping requirements should be stated clearly. Material should be appropriately packaged and addressed.

**6.12** The supplying library should state the due date on the request form or on the material. The due date is defined as the date the materials are due to be checked in at the supplying library.

**6.13** The supplying library should clearly indicate its fees when charges are levied. Invoices should specifically identify the item to which the charge applies. If using Online Computer Library Center, Inc. (OCLC), confirmation of an OCLC Interlibrary Loan Fee Management (IFM) charge or an invoice should accompany the material.

**6.14** The supplying library should respond promptly to requests for renewals.

**6.15** The supplying library should make every effort to locate items within their collections if a borrowing library has reported the item returned. While the borrowing library is ultimately responsible for paying for or replacing lost items, tracing and locating errant items is the responsibility of both parties.

**6.16** The supplying library is responsible for informing the borrowing library of its apparent failure to follow the provisions of these Guidelines and, if necessary, invoke the provisions stated in Section 7.

## **7. VIOLATION OF THE GUIDELINES**

**7.1** Interlibrary loan is a privilege, not a right. Each library is responsible for maintaining the provisions of these Guidelines in good faith.

**7.2** Continued disregard of any provisions of these Guidelines is sufficient reason for suspension of borrowing privileges after prior warning.

## **8. RESPONSIBILITY FOR REVIEW AND REVISION**

**8.1** The Office of Commonwealth Libraries will periodically appoint an Interlibrary Loan Guidelines Committee to review both the Guidelines and the *Interlibrary Loan Procedures Manual*.

**8.2** Recommended changes will be reviewed by relevant Commonwealth Libraries' staff, and then referred to the Governor's Advisory Council (GAC) for official approval.

## **9. CONFIDENTIALITY OF INTERLIBRARY LOAN REQUESTS**

**9.1** By endorsing these Guidelines, libraries accept the interpretation that interlibrary loan borrowing and lending records fall under the legal guaranties of confidentiality as specified in the Library Code, Act of June 14, 1961, P.L. 324, as amended through July 1, 1985, Section 428.

**9.2** Libraries are not required or encouraged to retain records beyond a time frame dictated by local standard practice or copyright compliance guidelines.

**10. CONFIDENTIALITY OF LIBRARY CIRCULATION RECORDS**

Records related to the circulation of library materials which contain the names or other personally identifying details regarding the users of the State Library or any local library which is established or maintained under any law of the Commonwealth or the library of any university, college or educational institution chartered by the Commonwealth or the library of any public school or branch reading room, deposit station or agency operated in connection therewith, shall be confidential and shall not be made available to anyone except by a court order in a criminal proceeding. (PA 24 P.S. Ch. 16, Section 428). The Pennsylvania Library Laws can be found at: [www.portal.state.pa.us/portal/server.pt/community/library\\_resources/8722/pennsylvania\\_library\\_laws](http://www.portal.state.pa.us/portal/server.pt/community/library_resources/8722/pennsylvania_library_laws). The Confidentiality statement is located in section 428 of that document.