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*Issued by the EPA Chief Information Officer,
Pursuant to Delegation 1-19, dated 07/07/2005*

EPA LIBRARY INTERLIBRARY LOAN/DOCUMENT DELIVERY PROCEDURES

1. PURPOSE

The purpose of this document is to establish Agency-wide procedures by which EPA libraries obtain materials for Agency employees and authorized EPA contractors through interlibrary loan (ILL) and other document delivery methods. It also establishes procedures for loaning ILL materials to other libraries, an important component of public access to Agency information.

2. SCOPE AND APPLICABILITY

These procedures apply to the EPA National Library Network and all EPA organizations that provide library services either onsite or through a Memorandum of Understanding (MOU) with another Network library. They provide baseline operational standards for all Network libraries. Individual libraries may develop local procedures to supplement the Network procedures.

3. AUDIENCE

The audience for these procedures includes Assistant Administrators, Deputy Assistant Administrators, Regional Administrators, Deputy Regional Administrators, Assistant Regional Administrators, Associate Administrators, Senior Information Officials, Information Management Officers, Federal Library Managers, Contract Library Managers, and EPA staff.

4. BACKGROUND

EPA functions are broad in scope and subject diversity, and it is not feasible for any EPA library to acquire onsite, in-depth collections in all applicable subject areas. To ensure that EPA staff can access the materials they need, libraries must utilize a variety of methods to obtain documents, articles, standards, and other materials not held in their collections. The most frequently used method to accomplish this is through interlibrary loan (ILL), but libraries can also make use of government/commercial document delivery services and direct purchase.

Libraries participate in ILL borrowing and lending to meet the information needs of their users in a cost-effective manner. ILL draws from the cooperation of many libraries worldwide, utilizes resources from the Online Library Computer Center (OCLC), and follows guidelines such as the American Library Association's (ALA) Interlibrary Loan Code for the United States as well as the trans-national guidelines of the International Federation of Library Associations (IFLA). Borrowing libraries must also adhere to the current US federal copyright law and the US National Commission on New Technological Uses of Copyrighted Works (CONTU) guidelines. In addition to serving the needs of the Agency, EPA libraries participate in ILL resource sharing as lenders to ensure that public patrons

can obtain EPA documents through their local academic, government, public or corporate libraries.

Other methods of obtaining documents for EPA staff may include, but are not limited to, purchasing them from the National Technical Information Service (NTIS), from commercial document delivery services with accounts established through the Federal Library and Information Network (FEDLINK), from private vendors and directly from publishers.

5. AUTHORITY

Agency Delegation 1-19 GENERAL, ADMINISTRATIVE, AND MISCELLANEOUS, Paragraph 2(b) (http://intranet.epa.gov/oei/imitpolicy/qic/documents/delegation_1-19_revised070705.pdf).

CIO 2170.1, EPA National Library Network Policy, dated 05/15/2009 (<http://intranet.epa.gov/oei/imitpolicy/policies.htm>).

6. PROCEDURES

6.1 Participating in OCLC

- 6.1.1 Each Network library will maintain an active OCLC account with a three-letter identifier, indicating participation in the worldwide network of interlibrary loan (ILL) borrowing and lending libraries.
- 6.1.2 Libraries can purchase their individual OCLC account access through a variety of mechanisms, depending on local needs. These mechanisms include, but are not limited to, the following:
 - 6.1.2.1 An interagency agreement via FEDLINK services.
 - 6.1.2.2 The local library contract vehicle, if permitted. Under this arrangement, the contractor can bill the Agency, but there may be an added overhead fee.
 - 6.1.2.3 Direct purchase from OCLC.

6.2 Responding to EPA Patron Requests

- 6.2.1 Authorized users of ILL/document delivery services may vary by EPA library location.
 - 6.2.1.1 All Network libraries will make ILL/document delivery services available to EPA staff, whether performed onsite or through a Memorandum of Understanding (MOU) with another EPA library.
 - 6.2.1.2 Local library policies will address whether ILL/document delivery services are available to EPA contractors, students, fellows, grantees, or interns and whether they require signed authorization from an EPA employee.
 - 6.2.2 Libraries should make every effort to automate the ILL/document delivery request process whenever possible. However, libraries may also accept ILL/document delivery requests in a variety of formats based on local resource availability, including, but not limited to, the following:
 - 6.2.2.1 Web-based forms, to be completed by the patron and routed to the appropriate ILL/document delivery unit.
 - 6.2.2.2 E-mail messages to a specified group mailbox.
 - 6.2.2.3 Paper request forms.
 - 6.2.2.4 Telephone requests to the library.
 - 6.2.2.5 Fax requests to the library.
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- 6.2.2.6 Interoffice mail requests to the library.
- 6.2.3 Libraries will establish and follow local guidelines for processing EPA patron requests, including:
- 6.2.3.1 Limits, if any, to the number of ILL requests that may be submitted by a single patron at one time.
 - 6.2.3.2 An order of priority, if any, for handling large quantities of ILL requests.
 - 6.2.3.3 Methods for handling rush requests from patrons.
 - 6.2.3.4 Verification of the bibliographic information provided in patron requests. When submitting patron requests through ILL channels, every effort must be made to include elements from the National Information Standards Organization (NISO) Interlibrary Loan Data Elements standard that are not part of the original request (e.g., author, title, page range).
 - 6.2.3.5 Determination of the best method available to obtain the requested materials.
 - 6.2.3.6 Procedures for receiving and processing requested materials from other libraries and notifying patrons of their arrival.
- 6.2.4 Borrowing Materials for Patrons
- 6.2.4.1 EPA Libraries will use OCLC systems as the primary mechanism for borrowing ILL materials. When necessary, or required by lending libraries, EPA libraries may also request ILL materials through other mechanisms, including but not limited to, approved ALA forms and DOCLINE, the National Library of Medicine's automated ILL request routing and referral system.
 - 6.2.4.2 Borrowing between EPA libraries is encouraged, although it is not necessary or practical in all instances.
 - 6.2.4.3 Libraries should make every effort to exhaust all free options to borrow materials for their patrons before using fee-based services, unless time or other constraints require otherwise.
- 6.2.5 Complying with Copyright Laws
- 6.2.5.1 All Network libraries must comply with copyright laws governing ILL processes.
 - 6.2.5.2 Copyright law permits ILL arrangements in which the aggregate quantities of received articles would not substitute for a subscription or purchase. The CONTU guidelines define aggregate quantities as follows:
 - 6.2.5.2.1 For any given periodical title, a total of six or more copies of an article or articles published within five years prior to the date of the request. This aggregate quantity applies to filled requests from a library within a calendar year.
 - 6.2.5.2.2 For any other material, such as a monograph or a collective work, a total of six or more copies. This aggregate quantity applies to filled requests from a library within a calendar year.
 - 6.2.5.2.3 The fulfillment of a request for missing material, where the requesting library has a work within its collection, an ordered work, or a subscription to a periodical, should be counted under the CONTU guidelines as though the requesting library made a copy from its own collection.
 - 6.2.5.3 Under the fair use provisions of section 107 of the Copyright Act, libraries must consider the amount and substantiality of the portion requested in relation to the copyrighted work as a whole.
 - 6.2.5.4 Section 108 of the Copyright Act permits libraries to make certain uses of copyrighted materials, but requires that copies of such materials include the
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following copyright notice:

NOTICE
WARNING CONCERNING COPYRIGHT RESTRICTIONS

The copyright law of the United States (Title 17, United States Code) governs the making of photocopies or other reproductions of copyrighted material.

Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specified conditions is that the photocopy or reproduction is not to be "used for any purpose other than private study, scholarship, or research." If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess of "fair use," that user may be liable for copyright infringement.

This institution reserves the right to refuse to accept a copying order if, in its judgment, fulfillment of the order would involve violation of copyright law.

6.2.5.4.1 A "Display Warning of Copyright," consisting of a verbatim reproduction of the "Notice" text, above, must be posted where the library accepts orders for copies. The display warning should be printed on heavy paper or other durable material in type at least 18 points in size, and displayed prominently within the immediate vicinity of the place where orders are accepted. (See Code of Federal Regulations, Title 37, Section 201.14c.)

6.2.5.4.2 An "Order Warning of Copyright," consisting of a verbatim reproduction of the "Notice" text, above, must be included on printed copy request forms supplied by libraries for patrons. The order warning should be printed on the order form itself, either on the front side of the form or immediately adjacent to the space calling for the name or signature of the person making the request. The notice should be printed in type size no smaller than that used predominantly throughout the form, and in no case should the type size be smaller than 8 points. (See Code of Federal Regulations, Title 37, Section 201.14c.)

6.2.6 Acquiring Materials through Document Delivery Sources

6.2.6.1 When materials are not available through free interlibrary loan channels, they can be borrowed or copied through fee-based services as permitted by local policies and budgets.

6.2.6.2 Document delivery services may be especially useful when requests for copies of articles exceed the quantities defined under the CONTU guidelines for ILL. These delivery services collect the copyright fee as well as a photocopy fee, although other means of copyright protection may be utilized.

6.2.6.3 Payment Options for Document Delivery Services

6.2.6.3.1 Federal Library Managers can utilize their library contract vehicle to pay for ILL and document delivery fees if the contract permits. Under this arrangement, the contractor can bill the Agency, but there may be an added overhead fee.

6.2.6.3.2 The library can set up a FEDLINK account for both ILL fee payments and document delivery.

6.2.6.3.3 Deposit accounts can be used as allowed. Such accounts are generally available through agencies such as the National Technical Information Service (NTIS) and the Government Printing Office (GPO), as well as some

commercial services.

- 6.2.6.3.4 The library may also use the ILL Fee Management (IFM) system via OCLC to pay to pay for documents that must be obtained from libraries that charge fees.

6.3 Responding to Requests from Other Libraries

- 6.3.1 As part of the accepted cooperative approach inherent in ILL, EPA borrowing libraries must also participate in the process as lending libraries.
- 6.3.2 EPA libraries will use OCLC systems as the primary mechanism for managing ILL requests.
- 6.3.3 EPA libraries should also accept requests from other libraries through a variety of alternate mechanisms, such as approved ALA forms and/or DOCLINE.
- 6.3.4 EPA libraries should make every effort to respond in a timely manner to rush requests from other EPA libraries. In these instances, the most efficient communication channels should be used, which may include e-mails to the Library Network listserv.
- 6.3.5 EPA libraries will establish and follow local guidelines for lending materials, including, but not limited to the following:
- 6.3.5.1 Length of loan period and whether it differs by type of material.
 - 6.3.5.2 Availability of renewals.
 - 6.3.5.3 Non-circulating loan status for certain materials, such as reference books and newspapers.
 - 6.3.5.4 Processes for managing overdue materials and recalls.
- 6.3.6 EPA libraries will establish and follow local guidelines for prioritizing the order and speed with which requests from borrowing libraries are filled. Requesting entities may include the following:
- 6.3.6.1 Other EPA libraries. Particular priority will be given to rush requests made by other EPA libraries.
 - 6.3.6.2 Other government libraries.
 - 6.3.6.3 Academic libraries.
 - 6.3.6.4 Public libraries.
 - 6.3.6.5 Not-for-profit organizations.
 - 6.3.6.6 For-profit organizations.
- 6.3.7 Requests from other libraries will be processed promptly. Many lending libraries use 24 to 48 hours as the desirable time within which to fill a request or provide a negative reply.
- 6.3.8 As appropriate, lending libraries may help to educate personnel in borrowing libraries. The burden of bibliographic verification rests with the requesting library; however, for those with inadequate bibliographic tools or lack of expertise, suggestions from the lender can be beneficial.
- 6.3.9 Lending libraries will ensure that any photocopies and electronic scans of resources are complete and easily readable.
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6.3.10 Lending libraries should go to nonsupplier status in ILL systems, such as OCLC or DOCLINE, when circumstances will prevent them from filling requests for a period of time. EPA libraries going to nonsupplier status should notify the National Program Manager and the entire Library Network.

6.4 Management of Interlibrary Loan/Document Delivery

6.4.1 In accordance with the CONTU guidelines, libraries will maintain paperwork on completed ILL requests for three calendar years after the end of the calendar year in which the respective request was made.

6.4.2 EPA libraries will maintain and report statistics on interlibrary loan/document delivery as required by their respective Statements of Work (SOW) and by the EPA Library Usage Statistics Procedures. In addition to illustrating the value of library services, these statistics can inform collection management and purchasing decisions.

7. RELATED DOCUMENTS

American Library Association. ALA Interlibrary Loan Request Form, dated 2002
(<http://www.ala.org/ala/mgrps/divs/rusa/resources/guidelines/illformprint.pdf>)

American Library Association, Reference and User Services Association. Interlibrary Loan Code for the United States, revised 2008
(<http://www.ala.org/ala/mgrps/divs/rusa/resources/guidelines/interlibrary.cfm>).

American Library Association, Reference and User Services Association. Interlibrary Loan Code for the United States Explanatory Supplement, dated 01/2001
(<http://www.ala.org/ala/mgrps/divs/rusa/resources/guidelines/interlibraryloancode.cfm>).

American Library Association. Interlibrary Loans: ALA Library Fact Sheet Number 8, dated 05/2009
(<http://www.ala.org/ala/professionalresources/libfactsheets/alalibraryfactsheet08.cfm>).

Boucher, Virginia. Interlibrary Loan Practices Handbook, Second Edition (Chicago: American Library Association), dated 1997.

International Federation of Library Associations. Guidelines for Best Practices for Interlibrary Loan and Document Delivery, dated 10/15/2007 (http://archive.ifla.org/VI/2/p3/Guidelines_ILDD-en.htm).

International Federation of Library Associations. IFLA Guidelines for Sending ILL Requests by Email – Universal Availability of Publications Core Programme, dated 02/16/2000
(<http://archive.ifla.org/VI/2/p3/g-ill.htm>).

International Federation of Library Associations. The IFLA Fax Guidelines – Universal Availability of Publications Core Programme, revised 01/26/1996 (<http://archive.ifla.org/VI/2/p3/g-fax.htm>).

National Commission on New Technological Uses of Copyright Works. CONTU Final Report: Chapter 4: CONTU Guidelines on Photocopying under Interlibrary Loan Arrangements, dated 07/31/1978
(<http://digital-law-online.info/CONTU/contu24.html>).

National Information Standards Organization. Interlibrary Loan Data Elements: American National Standard for Interlibrary Loan Data Elements, National Information Standard Series ANSI/NISO Z39.63—1980, dated 02/02/1989.

United States Code. Patents, Trademarks, and Copyrights: General Provisions: Warnings of Copyright for Use by Certain Libraries and Archives, Code of Federal Regulations, Title 37 Section 201.14c., accessed 04/01/2008 (<http://www.copyright.gov/title37/201/>).

United States Copyright Office. Reproduction of Copyrighted Works by Educators and Librarians, Circular 21, dated 09/1995 (<http://www.copyright.gov/circs/circ21.pdf>).

8. ROLES AND RESPONSIBILITIES

Assistant Administrator for Environmental Information: The Assistant Administrator, OEI, as the CIO for the Agency, has the overall responsibility for the governance and coordination of the EPA National Library Network, including establishing policy and supporting procedures, standards and guidance to ensure the effective oversight of the EPA National Library Network.

Assistant Administrators and Regional Administrators; Assistant Administrators and Regional Administrators with libraries within the EPA National Library Network have the overall responsibility for the management of their individual libraries, for compliance with Agency-wide policies, procedures, standards and guidance relating to the Library Network and to ensure that their individual libraries provide efficient and cost-effective access to information and data necessary to carry out EPA's mission.

National Library Program Manager: The National Library Program Manager has the day-to-day responsibility to provide assistance and guidance to offices in the operation of the EPA National Library Network and to ensure that the individual libraries provide efficient and cost-effective access to information and data necessary to carry out EPA's mission. The National Library Program Manager resides in OEI's Office of Information Analysis and Access.

Federal Library Managers: The Federal Library Managers have first-line responsibility for operation of physical Network libraries and provision of library services and to ensure that their individual libraries provide efficient and cost-effective access to information and data necessary to carry out EPA's mission.

9. DEFINITIONS

Access: The ability of members of the public to obtain information from a government agency. All public libraries and most academic libraries in the United States are open to the general public, but access to certain areas such as closed stacks, rare books, and special collections may be restricted. In a more general sense, the right or opportunity to use a resource that may not be openly and freely available to everyone. In computing, the privilege of using a computer system or online resource, usually controlled by the issuance of access codes to authorized users or, more broadly, the ability of a user to reach data stored on a computer or computer system.

ALA Form: See American Library Association Form

American Library Association (ALA) Form: A form that is used to make requests for interlibrary

lending outside of OCLC channels. The ALA form can be accessed as an electronic file from the American Library Association website or purchased in bulk from library supply houses.

Article: A self-contained nonfiction prose composition on a fairly narrow topic or subject, written by one or more authors and published under a separate title in a collection or periodical containing other works of the same form. The length of a periodical article is often an indication of the type of publication—magazine articles are usually less than five pages long; articles published in scholarly journals, longer than five pages. Periodical articles are indexed, usually by author and subject, in periodical indexes and abstracting services, known as bibliographic databases when available electronically.

Authorized EPA Contractor: An individual working under contract to the EPA whose Federal Project Officer, either in writing or in accordance with local policies, grants him or her permission to use EPA library services.

Bibliographic Information: Any information that describes a work or resource. The description can be about any format or container for information in a library: books, CD-ROMs, DVDs, maps, etc.

Borrowing Library: A library or institution that requests and receives materials from another library, usually on interlibrary loan. Compare with lending library.

Collection Management: The activity of planning and supervising the growth and preservation of a library's collections based on an assessment of existing strengths and weaknesses and an estimate of future needs.

Deposit Account: A vendor prepayment account into which the customer deposits a sum of money, against which orders are subsequently charged. When the balance in the account reaches a predetermined level, an additional amount must be deposited for fulfillment to continue.

Document Delivery Service: The provision of published or unpublished documents in hard copy, microform, or digital format, usually for a fixed fee upon request. In most libraries, document delivery service is provided by the interlibrary loan office on a cost-recovery basis. The patron is usually required to pick up printed material at the library, but electronic full-text may be forwarded via e-mail. Also refers to the physical or electronic delivery of documents from a library collection to the residence or place of business of a library user, upon request.

EPA Document/Publication: An official EPA publication in any format, with a special alpha-numeric identifier known as an EPA publication number.

EPA National Library Network: A national network composed of EPA libraries and repositories located in the Agency's Headquarters, Regional and Field Offices, Research Centers, and specialized laboratories, as well as Web-based access to electronic collections. Network libraries are defined as those libraries with an official membership presence in the Online Computer Library Center (OCLC) system. Centralized network coordination comes from the Agency's Office of Environmental Information. Individual EPA libraries are administered by a range of offices in conjunction with contract staff.

FEDLINK: See Federal Library and Information Network.

Federal Library and Information Network (FEDLINK): A purchasing, training and resource-sharing consortium for federal libraries and information centers based at the Library of Congress.

IFLA: See International Federation of Library Associations.

ILL: See Interlibrary Loan.

Interlibrary Loan (ILL): The process by which a library requests materials from, or supplies materials to, another library. This service is provided upon request of a library user for materials not available in the local library.

International Federation of Library Associations (IFLA): An organization created to provide librarians around the world with a forum for exchanging ideas, and promoting international cooperation, research and development in all fields of library activity.

Lending Library: A library or other institution that provides materials on request to another library, usually via interlibrary loan.

Loan Status: The type of loan in effect at a particular time for a specific item in a library collection. Typical status indicators include materials available for general circulation, materials on loan to other libraries via interlibrary loan, and noncirculating materials.

Materials: Items within the library collection that may include books, journals, reports, miscellaneous publications, microform, multimedia, and other physical objects. Generally, library materials do not include official records, but convenience copies of records may be included.

Memorandum of Understanding (MOU): A memorandum signed by more than one agency or organization that promises cooperation or coordination on a specific issue, project, or agenda.

Monograph: A book or treatise on a single subject, complete in one physical piece, usually written by a specialist in the field. For the purpose of cataloging and collection development, a monograph is any publication complete in one volume or intended to be completed in a finite number of parts issued at regular or irregular intervals, containing a single work or collection of works.

MOU: See Memorandum of Understanding.

Nonsupplier: A library or other participant in the OCLC interlibrary loan network that does not respond to requests from other libraries to borrow returnable materials. In the OCLC interlibrary loan system, the three-letter OCLC symbols of nonsuppliers appear in lowercase in the holdings display, in contrast to the symbols of suppliers, which appear in uppercase.

OCLC: See Online Computer Library Center.

Online Computer Library Center (OCLC): OCLC is a nonprofit, membership-based, computer library service and research organization dedicated to the public purposes of furthering access to the

world's information and reducing information costs. OCLC maintains the largest catalog and interlibrary loan network in the world, which assist librarians and the general public with locating, acquiring, cataloging, lending, borrowing and preserving library materials.

Patrons: Anyone authorized to use the materials and services of the library. May include EPA staff, contractors and/or the public.

Periodical: A serial publication with its own distinctive title, containing works written by more than one contributor, issued more than once, generally at regularly-stated intervals of less than a year, without prior decision as to when the final issue will appear. Although each issue is complete in itself, its relationship to preceding issues is usually indicated by an issue and/or volume number. Content is usually controlled by an editor or editorial board. The category includes subscription-based materials including magazines, journals, and newsletters, but not proceedings or the other regular publications of corporate bodies as they relate primarily to meetings. Newspapers are not formally classified as periodicals.

Resource Sharing: The activities that result from an agreement, formal or informal, among a group of libraries (usually a consortium or network) to share collections, data, facilities, personnel, etc., for the benefit of their users and to reduce the expense of collection development.

Services: Any service provided by the library. The most common services are answering questions and conducting research (known as reference), providing access to online databases, and interlibrary loan to retrieve materials from other libraries.

SOW: See Statement of Work.

Stacks: The area of a library where the main body of the collection (usually books and periodicals) is stored when not in use, usually on rows of free-standing double-faced shelving. In some libraries, the stacks are closed to the public, but most libraries in the United States allow patrons to browse all or part of their primary collections in open stacks.

Statement of Work (SOW): A specific statement regarding the requirements needed in a service contract. The statement of work should include all aspects of job requirements, performance and assessment.

Subscription: The right to receive a newspaper or periodical for a designated period of time (or prescribed number of successive issues), upon payment of a subscription fee payable in advance to the publisher or subscription agent. Most subscriptions are renewed annually. Subscription also refers to the right of a library or library system to provide access to a bibliographic database or other online resource to its patrons under a licensing agreement with a vendor upon payment of an annual subscription fee and is subject to renewal.

10. WAIVERS

Waivers to these procedures must be approved by the Assistant Administrator for Environmental Information/Chief Information Officer. Waiver requests must be submitted in writing by the requesting office's Senior Information Official (SIO) through the Director of the Office of Environmental Information, Office of Information Analysis and Access (OIAA).

11. RELATED POLICIES, STANDARDS AND GUIDANCE

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The following related policies, standards, and guidance documents are available on the Office of Environmental Information Policy page (<http://epa.gov/irmpoli8/policies/index.html>):

CIO 2170.1-P-04. EPA Library Usage Statistics Procedures

12. MATERIAL SUPERSEDED

These procedures supersede the EPA Library Systems Manual 2130, dated January 1977.

13. ADDITIONAL INFORMATION

For further information about these procedures, please contact the Policy and Program Management Branch of the Information Access Division in Office of Information Analysis and Access, Office of Environmental Information.



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