To: **I-Share Library Directors, Liaisons, IUG members, CARLI Board Members**
From: **Kristine Hammerstrand, CARLI Office**
Date: **July 28, 2010**
Subject: **Standardized Universal Borrowing Policies for I-Share**

Please share this important information with your colleagues that work in public services and resource sharing roles in your library.

Summary

On August 4, 2010, CARLI will implement changes to standardize the circulation policies that apply to I-Share Universal Borrowing (UB) activity. "Universal Borrowing" is the Voyager module that supports interlibrary resource sharing among the 76 I-Share libraries. Any time an I-Share library patron requests or borrows an item from an I-Share library other than their "home" library, Universal Borrowing policies are invoked. I-Share library staff will not make any changes in Voyager settings to implement these UB policy changes; rather, the setting changes will be made by CARLI Office staff and implemented for all I-Share libraries simultaneously. Please note that the changes to be made will impact Universal Borrowing transactions <u>only</u>. Policies relating to local circulation, that is, a library circulating its own items to its own patrons, are <u>not</u> changed, and are still set as the library determines.

Background

It has been a longstanding tradition in our consortium to allow I-Share libraries to set their own policies that apply to consortial resource sharing transactions on the materials in their collections. The premise for this was that it provides for a great deal of institutional autonomy, and is very understandable to the lending library. It also harkens back to some of the system limitations of our earliest shared system, LCS. While this arrangement is easy for the lending library to understand, these diverse policies confuse many of our most active users. People request materials through I-Share, often without regard to which lending library is selected, and receive different loan periods, renewal and overdue policies based on which library fills the request. More often than not the patron did not even select the particular lending library.

Today it is much more common for consortia to set a shared set of policies that apply to all consortial resource sharing transactions. Consortia with common policies include OhioLINK, ORBIS/Cascade (Oregon/Washington), and university library consortia in Wisconsin and Georgia among others. As resource sharing programs have become more common, many people new to CARLI with experience in these programs have asked why I-Share did not have a consortial set of standard policies. Essentially, the answer has been that our policies and services pre-date those other organizations. In 2006 this question came to the CARLI Board, and the Board charged a task force to review our resource sharing policies and prepare a proposal for best practices. The group quickly saw the advantages of common resource sharing policies, and noted that Voyager allows us to set a common set of resource sharing policies while allowing individual libraries to also set their own policies for local circulation, that is, loans of their own collection materials to their own patrons. The task force, operating under a vision statement of "Maximum service, minimum barriers," presented a set of proposals for common policies to the Board, and those recommendations were well received and the task force was encouraged to move forward. However, proposed implementation dates were postponed several times due to technical issues with Voyager, that were discovered as the project moved forward.

It also became apparent during this review process that the *Agreement for I-Share Participant Institutions* was seriously dated, unfamiliar to many I-Share libraries, and in need of revision. After review by legal counsel, a revised I-Share Agreement was approved by the CARLI Board in December 2009 and signed by each I-Share library director by April 2010. The first point in the new Agreement acknowledges that common Universal Borrowing policies shall be adopted. It states, "*Participants will abide by the CARLI*

Bylaws, the I-Share Library Resource Sharing Code and the common I-Share policies, protocols, and best practices adopted by the I-Share participant libraries."

While the work of establishing common UB policies has been on hold, other service changes were made that further laid the groundwork for improving I-Share resource sharing. In January 2008, the Illinois Library Delivery Service (ILDS) implemented a predictable 1-day delivery time and improved tracking of shipments. Upgrades to the Voyager software have also corrected some UB problems that would have incorrectly blocked the UB privileges of many patrons in good standing, had the policy changes been implemented sooner.

Next Steps

We are now finally at a point where we can move forward and implement the common UB policies for I-Share and we plan to do so in time to precede the beginning of most fall semester schedules.

The common policies, which include loan period, renewal policies and UB privilege blocking criteria, will, along with the improved ILDS delivery; provide a consistent high standard of resource sharing service among the 76 I-Share libraries.

It is important to reiterate that the new UB policies apply only to UB transactions, that is, when items from one I-Share library are loaned to a patron affiliated with a different I-Share library. Policies for "local" circulation, that is, transactions in which the patron and the item have the same "home" library, are not changed and libraries retain the privilege of setting their local circulation policies in ways that best meet their local needs. Also, I-Share libraries always have, and continue to be allowed to determine which items in their collections are, and are not eligible to be loaned to patrons of other I-Share libraries.

It is also important to note that I-Share libraries do not need to make any changes in Voyager to implement the new policies. This work will be done by CARLI staff and will be placed into production for all I-Share libraries simultaneously on Wednesday, August 4, 2010.

The Policies

The UB policy changes are summarized in a new Appendix A to the I-Share Library Resource Sharing Code which is available on the CARLI website at http://www.carli.illinois.edu/mem-prod/I-Share/docs/I-Share-Res-Share-code.pdf. The Appendix is also included at the end of this memo.

The CARLI staff have prepared a document that illustrates the UB policy changes that will be made in Voyager System Administration for all I-Share libraries. This document includes screen shots of the changed settings and is also available on the CARLI website at http://www.carli.illinois.edu/mem-prod/I-Share/secure/UBPolicyStandardization.pdf.

Reports Available

In preparation for the upcoming standardization of UB policies in all I-Share libraries, CARLI staff have also prepared reports that have been deposited into each library's xxxftp/upload folder. These two reports will help you to know which, if any of your patrons may be blocked from UB transactions under the new settings, and also will help you to compare your current UB policies with the new standardized policies. The two reports are described in detail below.

Block Preview Report - filename: [ub_block_preview_xxx_mmdd.txt].
Note: Due to Voyager errors found on July 30, 2010, CARLI is postponing the implementation of UB patron blocks. A revised schedule for implementing UB blocks will be established when these problems have been resolved.

About this Report

This report lists all current patrons affiliated with this library who will be blocked as a result of any of the new UB Policy thresholds. Libraries should use this report to work with those patrons to get their accounts cleaned up. The report is designed to be loaded into a spreadsheet and sorted in various ways. This will enable a library to focus on faculty or unexpired patron records, for example. The columns indicate the UB Policies and the threshold value that is causing the block.

Using this Report

This report is more readable if you import it into Excel. The columns are delimited by the pipe (vertical bar) character. Be sure to format the Patron Barcode column as text and the Expire Date column as a date in DMY format.

> The first 10 columns are:
> 1. Patron ID
> 2. Patron Barcode–One barcode, an active barcode, if the patron has an active barcode
> 3. Patron Group Code–The patron group associated with that barcode. If you decide to contact your patrons who will be blocked, you might wish to focus on certain patron groups.
> 4. Expiration Date of the Patron Record – If you decide to contact your patrons who will be blocked, you might wish to focus on those whose patron records are not expired.
> 5. Last Name
> 6. First Name
> 7. Full Name–Formatted, including titles and suffixes, so that it could be used in correspondence with your patrons
> 8. Email Address
> 9. Phone number associated with the patron's permanent address
> 10. Phone number associated with the patron's temporary address

> The next 6 columns contain the counts that explain why this patron will be blocked. A blank in these columns doesn't mean that the patron's count is zero; it means that the patron's count has not exceeded the threshold for blocking. These counts are totals across all of the databases other than your own where the patrons has been engaged in UB activity.
> 11. Overdues – Patrons with 25 or more overdue UB items will be blocked for UB activity until this number is reduced.
> 12. Overdue Recalls – Patrons with one or more UB items that have been recalled and are overdue will be blocked for UB activity until this number is reduced.
> 13. Lost Items – Patrons with 3 or more lost UB items will be blocked for UB activity until this number is reduced.
> 14. Claims Returns – Patrons who claim to have returned 10 or more UB items will be blocked for UB activity until this number is reduced.
> 15. Self Shelves – Patrons whose overdue, not-discharged UB items have been found on the shelf on 10 or more occasions will be blocked for UB activity until this number is reduced.
> 16. Fines – Patrons whose UB fines total $200 or more will be blocked for UB activity until this number is reduced.

UB Policy Comparison Report - filename: [ub_policy_comparison_xxx_mmdd.txt].

About this Report

This report shows libraries how settings in Voyager System Administration will be affected by the UB standardization changes. It also compares the new standard settings with the library's current settings for comparison purposes.

Using this Report

This report details all of the changes that CARLI made in your UB policies. You may see values of -1 or -$0.01 in this report. These negative numbers are functionally the same as a value of 0 or $0. Negative numbers mean that your library had set no limit on this counter.

CARLI recommends that you scan this report for obvious anomalies in your circulation policies, particularly in the loan periods. Here are some examples of things to look for:

Suppose your circulation policies for UB patrons said that an item was UB-requestable, but the loan period for UB patrons was only 2 hours. Because it was UB-requestable, you will see in the report that we changed the loan period from 2 hours to 28 days. But it is possible that the materials really should have a 2 hour loan period. In this case, the item should not be UB eligible, so please change it back to a 2 hour loan, and also un-check the UB box.

Many libraries have items types that end with "LR" for "Local Request only" or "RE" for "Exempted from Requesting by any patron." Perhaps your circulation policies say that some of these items are UB-requestable. Because they were UB-requestable, you may see in the report that we changed the loan period. But it is possible that the materials really should have been non-requestable. In this case, you will want to change the loan period back and also un-check the UB box.

As you perform any changes to correct anomalies, remember that CARLI has only changed the UB policies for these materials, so you may wish to check to see if these materials' local circulation policies need to be edited as well.

CARLI will be scanning UB policies on a regular basis to make sure that they remain consistent and we will provide UB policy management reports to libraries as needed or requested.

Billing Policy Reminder

As you are reviewing the new UB policies with your colleagues, please be sure to remind staff about the I-Share lost billing policy. The I-Share library that the patron is affiliated with is obligated to assist the supplying/lending library in getting their materials back including providing a billing address for the borrower, but the patron's library is NOT ultimately responsible for paying the unpaid fines and fees of their patrons. Also, no I-Share library may require a Social Security Number from any other I-Share library to support their billing process. These matters are addressed in point 12 of the Agreement for I-Share Participant Institutions, "*Participants will assist other Participant institutions in the recovery of materials provided through resource sharing. However, Participant institutions will not be held responsible for paying any charges or fees for damage or losses caused by their patrons. Participant institutions will also adhere to applicable laws and confidentiality policies in their billing procedures.*"

Contacting CARLI

As always, please contact the CARLI Office with any questions or problem reports by sending email to support@carli.illinois.edu.

When library patrons contact the CARLI Office with questions about their I-Share privileges or blocks on their accounts, we re-direct them to their home library. We anticipate there will be more of these questions over the next few weeks, so please bear with us as we refer these people back to you. If your library finds that any of these referred issues, for whatever reason, are unexplainable or cannot be resolved by your library staff, please don't hesitate to contact CARLI for further assistance.

CARLI Universal Borrowing Standard Policies
Effective August 2010

These policies apply to Individual Borrowers only (and not Institutional Borrowers), as defined in the I-Share Library Resource Sharing Code.

Revised July 30, 2010: UB Patron block implementation is on hold pending resolution of issues that would cause some valid patrons to be improperly blocked.

I-Share Universal Borrowing Policy for all UB Eligible Patrons	Setting	Notes
Maximum number of UB requests a patron may have at one time (assuming the patron meets no other UB block conditions)	No limit	
Maximum number of UB items charged a patron may have at one time (assuming the patron meets no other UB block conditions)	No limit	
Initial UB loan period (before renewal)	28 days	
Renewal load period	28 days	
Renewals extend the loan time from (renewal date or due date)	Due date	When the item is renewed, the loan period will be extended 28 days from the current due date.
Renewals are allowed if the item is overdue (but not recalled or lost)	Yes	This setting applies to local circulation as well as UB
Number of times a UB item may be renewed	3	Maximum loan=28 day loan + (3 renewals @28 days each)=112 days, or 16 weeks
Email courtesy notice (warning of impending due date) is sent	7 days before due date	
Number of days overdue at which the first overdue notice is created for a UB item	7 days after due date	
Number of days overdue at which the second overdue notice is created for a UB item	21 days after due date	
Number of days overdue at which a UB item is declared lost by Voyager	29 days after due date	
Daily fine rate	Set by the lending library	UB fines are billed by and paid to the lending library.
Lost or damaged book fee	Set by the lending library	UB fines are billed by and paid to the lending library.
Minimum UB fine or fee owed to a single institution to generate a notice	$20.00	This is not cumulated across multiple institutions. The patron must owe $20 or more to

I-Share Universal Borrowing Policy for all UB Eligible Patrons	Setting	Notes
		any one institution.
Implementation of the UB Blocks listed below is on hold.		
~~Maximum number of UB items overdue before the patron is blocked in UB~~	~~25~~	~~This is cumulative across UB. The patron is blocked when they have a combined total of 25 UB items overdue from one or more UB libraries. Overdues at the home library are NOT counted toward this UB block.~~
~~Maximum number of UB items that are BOTH overdue and recalled by staff before the patron is blocked in UB~~	~~1~~	~~Overdue and recalled items from the home library are not counted toward this UB block.~~
~~Maximum UB items currently lost before the patron is blocked in UB~~	~~3~~	~~Lost items from the home library are not counted toward this UB block.~~
~~Maximum UB claimed returned items on patron's record before the patron is blocked in UB~~	~~10~~	~~Claimed return items from the home library are not counted toward this UB block.~~
~~Maximum UB "self shelved" items (returned to the shelf without discharge) on patron's record before the patron is blocked in UB~~	~~10~~	~~"Self shelved" items at the home library are not counted toward this UB block.~~
~~Maximum amount owed before the patron is blocked in UB~~	~~$199.99~~	~~Patron is blocked when they owe a combined total of $200.00 on UB items. Fees owed to the home library are not counted toward this UB block.~~