

# Resource Access Policy Harmonization

July 2023

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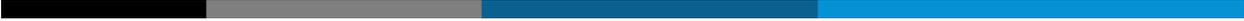
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## Report Review & Approval History

- **BTAA BIG Collection Steering Committee:**  
Reviewed and accepted 7/28/23
- **Affiliated group if any**  
ILL Coordinators
- **BTAA Library Directors:**  
Reviewed and accepted 8/9/23
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9/13/2023



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## Vision

In an effort to realize the Big Ten Academic Alliance (BTAA) Libraries' united vision of seamless collection access complemented by a unified, consistent user experience, we need to ensure the lending and access policies are in alignment across the consortium. Aligning these policies may require libraries to rethink how they manage access for their own users, not just their Lending policies. To realize this vision, harmonizing access policies is the first step, but in the long term collection and preservation of material will need to align to ensure success.

## Introduction and Summary

As the Harmonization Team dissected the charge and began to reimagine enhanced collection access and use across the BTAA, it was clear that an updated resource sharing agreement would help align our organizations' local policies and focus our efforts. These changes will require a strong commitment toward action from each library's administrative structure. We understand that each institution is unique, and our goal is to honor that uniqueness while creating an equitable and consistent experience across our libraries. The resource sharing agreement and alignment of policies will require action and commitment from departments across our libraries and is an important step in building and actualizing the BIG Collection.

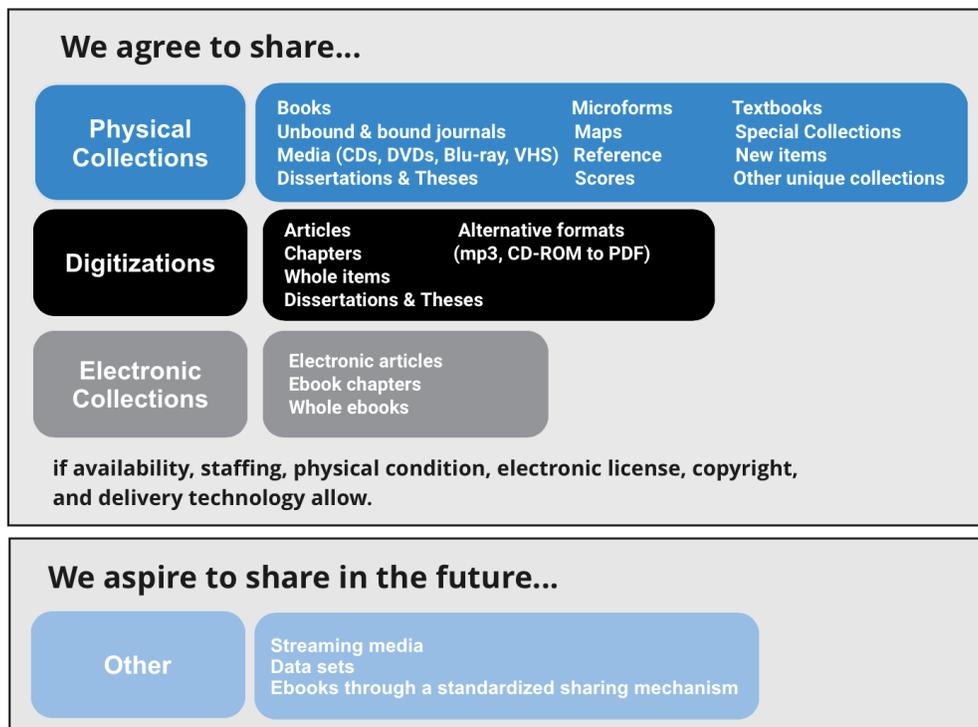
In this updated Resource Sharing Agreement ([Appendix 1](#))

- We wholeheartedly commit to treating other BTAA users as well as we treat our own local users.
- We align renewal and loan policies for BTAA partners
  - Committing to a minimum of one 17 week renewal
- Work to enhance the sharing of E-Books
- Continue our pursuit to share formats such as data sets
- Develop and commit to robust Scanning Standards
  - Including a turnaround time commitment of 1-2 days
- Call to action for many different units of the library

## Call to Action

Our report outlines two pillars for providing equal and unparalleled access to resources across the BTAA: the proposed Resource Sharing Agreement ([Appendix 1](#)), which covers our general collections, and the [Principles and Protocols for Sharing Special Collections through Interlibrary](#)

Loan. We ask the deans/directors to commit to the former and recommit to the latter, including working with local staff to remove any policy or workflow barriers to each. Our goal is to share all formats with our BTAA consortial partners. As shown in the below diagram, at present, we agree to share our physical collections, digitizations, and electronic collections as availability, staffing, physical condition, electronic license, copyright, and delivery technology allow. We ask the deans and directors to commit to this current level of sharing. In the future, we aspire to share streaming media and datasets, and we also aspire to develop a standardized sharing mechanism for ebooks. We ask the deans and directors of the BTAA to commit to working toward this future level of full sharing.



In consultation with the ILL Coordinators from the 15 BTAA member institutions, the group identified specific barriers to sharing that will need strong support from Library Administration to overcome:

- Local ILL policies will need to align with the new BTAA Resource Sharing Agreement.
- Local library & collection policies and procedures will need to change so each BTAA Library treats all BTAA library users as its own users.
  - The barriers are beyond simply access policies, but also include changes in licensing negotiations and collecting practices.
- One of BTAA’s major ILL Systems, ILLiad, makes it difficult to renew an item more than once. BTAA should lobby OCLC and Atlas for system improvements, offering to serve as a test partner.

## Alignment with DEI Values

This work also aligns with the BTAA Libraries’ commitment to DEI. When we harmonize our Resource Access Policies across the BTAA:

- We enable students, staff, and faculty across the BTAA to enjoy equitable access to the third largest collection of library material in the world. This agreement will . . .
  - Reduce barriers to access for course and research materials
  - Eliminate confusion created by differing policies for resource sharing
  - Lessen the costs borne by students and researchers to obtain the materials they need
  - Reduce the need for in-person travel to access materials held by another BTAA library
  - Enable resources held by a single BTAA library to be used throughout BTAA, which, in many cases, will allow materials by and about marginalized and underrepresented groups to be more visible.
- The scanning standards promote the scanning of an entire print work for the exclusive use of eligible persons with a disability as permitted by section 121 of U.S. Copyright Law, and addresses our need for standardization of OCR services.

## Future Directions

Beyond fully implementing the new Resource Sharing Agreement and Scanning Standards, there is a need to continue certain aspects of the team's investigations by creating a series of working groups or new pilots to build our capacity for accessible resource sharing.

- Future of digital lending:
  - A working group should be formed to monitor the feasibility of interconsortial digital lending among BTAA Libraries, taking into consideration legal and technological developments. The group will require active familiarity with the developing legal landscape surrounding interlibrary loan and secure digital lending and expertise in library systems (including ILL and LSP systems).
    - The team should consider what kind of iterative and incremental steps can be taken towards this type of lending.
    - Example: engage with the Project Lend investigation and their findings
- Ebook lending:
  - In 2021, a team of BTAA Librarians completed an [investigation into Ebook lending](#). BTAA should act on the group's recommendations, while also incorporating new developments that may have emerged since the investigation was completed. A working group charged by the Steering Committee should be formed to investigate technological solutions for ebook lending, as well as technological solutions that will allow BTAA Libraries to share ebook holdings and license information.
    - The team will require expertise in interlibrary loan, ILL and LSP systems, licensing, and ebook management.
    - This group will also connect with the CDO/ERO Peer Group to discuss licensing issues and current barriers to Ebook lending.
- Best practices and equipment for quality and accessible scanning investigation
  - Including a comprehensive OCR investigation
  - Includes potential funding models

- Best Resource Sharing Practices Working Group (including workflows and procedures) ILLiad workflows and norms in collaboration with Atlas to leverage knowledge and solutions across libraries.
- The team was not able to assess the consortial scanning abilities, such as what libraries are actively ingesting into Hathi Trust, but will be taking that on as a Phase 2 of our pilot.

## Appendix 1: Resource Sharing Agreement plus Scanning Standards

### 2023 Big Ten Academic Alliance Resource Sharing Agreement

#### Vision

Big Ten Academic Alliance Libraries agree to provide library collection access to each others' users as if they are their own.

#### Mission

The Big Ten Academic Alliance Libraries commit to enriching our users' experience through frictionless discovery and delivery of our combined print and electronic collections. We investigate and implement innovative resource sharing technologies, services, policies, and procedures with an unflinching commitment to diversity, equity, inclusion and accessibility practices to ensure a positive user experience for all.

#### Scope

We are trusted partners who will actively share from all of our general physical and electronic collections, regardless of format, *if availability, staffing, physical condition, electronic license, copyright, and delivery technology allow*. This includes, but is not limited to:

- books
- bound and unbound journal volume/issues
- microforms
- music scores
- reference items
- theses and dissertations
- audiovisual items (DVDs, Blu Rays, CDs, VHS)
- ebook chapters
- e-journal articles,
- print chapter/article scans
- whole ebooks

- digitized whole print books

The [Big Ten Academic Alliance Principles and Protocols for Interlibrary Loan of Special Collections Materials](#) govern the borrowing, lending, and digitization of special collections through interlibrary loan.

This agreement also acknowledges that there are materials that cannot be shared due to rarity, condition, or active course usage. As always some material will need to be used at the owning library, such as archival collections, vinyl records, and items on course reserve.

## General

- Lenders will fill all requests within two business days and respond as quickly as possible if unable to supply. Library materials at off-site or off-campus locations may require longer turnaround time.
- Every effort will be made to give BTAA Libraries requests the fastest possible service.
- There is no request limit.
- Libraries have no piece limit within a single request for returnables.

## Analytics

BTAA Libraries will retain ILLiad transaction records for a minimum of 4 full calendar years plus the current year in order to facilitate collection development analysis and data analytics.

## Charges

**Fees:** BTAA Libraries agree to waive loan/copy service fees, overdue fines, and rush charges for other BTAA Libraries participating in this agreement.

**Lost Items:** BTAA lending Libraries agree to waive replacement invoicing and processing fees to each other for general collection items lost while on loan. To encourage return of lost or long overdue items, borrowing libraries should bill and collect fees from their own users as well as apply a block to the user's account in accordance with local policy. If a user wishes to purchase a suitable replacement copy (e.g., same title/edition and in good condition) in lieu of paying fees, the borrowing library should accept the copy and forward it to the lending library.

**Damaged items:** BTAA lending Libraries may invoice a borrowing library for any damaged materials or replacement for any special collections items and other rare or valuable items lent under special conditions; bills for damaged and special collection material should be sent within a year of the due date and borrowing libraries should pay these fees promptly. Shipping libraries should also seek compensation directly from the commercial courier used for any items lost or damaged while in transit.

## Sharing Physical Materials

### Loan period:

BTAA Libraries agree to:

- Provide each other a 17-week loan period for items in their general circulating collections. This loan period allows for up to 1 week of delivery and 16 weeks of user use.

- Share other materials from their general collections that normally might not circulate (e.g. current and bound journal volumes, audiovisual materials, microforms, maps, reference or high-use items, newly arrived items etc.) for a minimum loan period of 3 weeks. A lending library will send an OCLC Conditional message to the requesting library if an item will have a loan period of less than 17 weeks and/or have any usage restrictions (e.g. in-library-use-only; no renewals) so the requesting library can decide whether to agree to the loan or seek a copy from another lender's general circulating collection.

**Lending Recalls:** Loans between BTAA Libraries should not be recalled unless needed for course reserve or no other circulating copies are available at other domestic libraries.

**Last Resort Borrowing Recalls:** If a requesting BTAA library exhausts all domestic libraries and is unable to obtain an available copy, they may contact the BTAA holding library that has previously canceled the request in order to ask for a recall. The holding library should endeavor to honor this request.

**Renewals:** BTAA Libraries agree to provide at least one renewal of 17 weeks duration for items from their general circulating collections unless the item is needed for course reserve or another requesting user, which could be from another BTAA Library.

**In Process:** BTAA Libraries will rush-catalog In-Process items and make them available to other BTAA Libraries through interlibrary loan when requested.

## Cancellations

Under circumstances where a request has been sent to a library but is no longer needed or a mistake has been made, the borrowing library will send an email or call to let the lender know the request has been canceled. This is especially important if it appears the lending library has likely started working on the request.

## Packaging and shipping

A courier with trackable packaging, such as UPS or FedEx, must be used for shipping materials. A mutually agreeable shipping method between specific libraries is also acceptable, e.g. the three institutions in Illinois (University of Illinois at Urbana-Champaign, Northwestern, and the University of Chicago) use the state's non-trackable ILDS shipping route.

- Packages shall not exceed 30 pounds.
- Material will be shipped directly to the requesting and supplying library. Do not use re-routing slips or combine materials for different symbols within the same package.
- A paging or request slip (printed from the ILL circulation function or from an ILL request) will be placed inside the front cover of each item being shipped.
  - Lending paperwork must display prominently (e.g. in bold, color, or increased font size) the OCLC ILL# in both numerical and barcode formats, the due date, the piece count, and any special usage/shipping restrictions.
  - A borrowing library must return items with the lender's original accompanying paperwork. If the lending library's paperwork is lost, the borrower will return a new printed slip that includes the lender symbol and the OCLC ILL#.
- Use appropriate wrapping and packaging based on material type and your delivery vendor. All audiovisual (DVD, BluRay, CD, VHS, etc) and microfilm items must be shipped in a box.

For more information on packing refer to Section 4.16 “Shipping” in the [Interlibrary Loan Code for the United States Explanatory Supplement](#).

## Sharing Scans from Physical Material

Explicit scanning standards are available in the [Appendix: Scanning Standards for Filling Article/Chapter Scans from Print Materials](#)

## Sharing Electronic Resources

BTAA Libraries agree to share electronic materials, including but not limited to electronic articles, ebook chapters, and full ebooks, when permitted by their license agreements, delivery technology, copyright, availability, and staffing. Though sharing of full ebooks is often limited by these restrictions, BTAA Libraries agree that sharing full ebooks is within the scope of BTAA’s Resource Sharing activities and will endeavor to do so whenever possible. Sharing of additional types of electronic materials, including but not limited to streaming films and datasets, is not current practice, but it is a long-term goal which will support the BIG Collection.

BTAA Libraries should work collaboratively to overcome barriers to sharing e-resources. Building on the [BTAA ILL Ebooks Task Force Report](#), some possible steps include:

- Determine level of sharing permitted by existing e-resource licenses.
- When licensing new e-resources and renegotiating existing licenses, BTAA institutions should consider sharing provisions as part of the license negotiation process and should advocate for broader sharing of licensed content.
- Identify technologies and methods for sharing a variety of file types and sizes.
- Work collectively to determine how e-resource license data can be shared in resource sharing systems. Leverage the capabilities of our ILS and resource sharing systems and build on our print data-sharing successes.

## Other

[The Interlibrary Loan Code for the United States With Explanatory Text](#)

shall regulate any matters not explicitly addressed within this Big Ten Academic Alliance Resource Sharing Agreement.

## Scanning Standards

### Big Ten Academic Alliance Scanning Standards for Filling Article/Chapter Requests from Print Materials

Big Ten Academic Alliance member libraries observe the following scanning standards in order to: enhance user satisfaction; provide consistency across our article/chapter delivery operations; lower barriers to sharing our collections; and follow all provisions of U.S. Copyright Law. These standards apply to normal production scanning in the fulfillment of interlibrary loan copy requests for an individual user. Archival quality standards beyond those listed below will apply if material is digitized for preservation, reformatting, and/or long-term online repository storage purposes.

#### I. Appearance

- a. **Scan at 300dpi** unless the requesting library asks for a higher resolution.
- b. Provide copies that closely reproduce the original article or chapter in color and clarity. **Use black-and-white, grayscale, or color settings** as appropriate to accurately reproduce page images and text.
- c. Scan all articles/chapters at **one page per scan**; do not double up pages.
- d. **Rotate page images right-side-up** (i.e. most often a portrait orientation) before sending unless text is not rotated in the original source.
- e. **Deskew pages** that appear off-kilter in order to straighten text that did not scan horizontally.
- f. **Crop overly wide black edges or margins** before delivering a scan to decrease file size and improve appearance.
- g. **Avoid dark shading** (e.g. from the book gutter) that obscures text or images as well as ink that bleeds through from a next page by adjusting threshold settings in the scanner interface or by scanning in grayscale or color.

#### II. Completeness

- a. **Include a scan of the pull slip** with citation information before scanning an article/chapter.
- b. Be careful **not to miss pages** when scanning and be sure to **include accompanying references, plates, endnotes, appendices, or supplementary material**.
- c. For books, **include a scan of the book's title page and verso/copyright page** before the requested chapter.
- d. **Read Borrowing Notes** on all requests for any special instructions. Cancel if unable to follow them or conditional to offer alternatives for the requesting library to consider.
- e. For those items not in the public domain:
  - i. **Scan one chapter per book or one article per journal issue** per request in accordance with Section 108 of U.S. Copyright Law.
  - ii. **Avoid arbitrary limits on the number of pages to be scanned per transaction** and instead apply Section 108 and 107 (Fair Use) provisions of U.S. Copyright Law.
  - iii. **Apply Section 108(h) provisions** of U.S. Copyright Law for scanning entire published works in the last 20 years of their copyright term.

- iv. **Apply Section 121 of U.S. Copyright Law** to scan an entire work if the requesting library denotes the copy is for the exclusive use of an eligible person with a disability. The supplying library can provide the whole-work scan themselves or conditional to offer a loan if unable to fill the request in a timely manner so that the requesting library may perform the scan.
  - v. Offer the requesting library a **loan instead of a scan if the request is likely beyond Fair Use.**
  - f. **Scan entire works that are in the public domain** as staffing permits. Conditional for more time if needed.
  - g. **If a file is very large** (i.e. many pages or has multiple color/grayscale images):
    - i. Save the file as a Reduced Size PDF in order to deliver via Odyssey or Article Exchange; or
    - ii. Mount the file on your ILLiad or local server and email a link to the requesting library; or
    - iii. Zip the file and send it as an email attachment.
- III. **Timeliness**
- a. **Scan requests should be filled electronically the same or next business day** from the day a request is received whenever possible.
  - b. **Respond within one business day to any resend requests.**
  - c. **If unable to fill scan requests promptly**, consider:
    - i. Canceling the request to let another library fill more quickly; or
    - ii. Conditionalizing the request to explain circumstances or request more time; or
    - iii. Change your OCLC Days to Respond to a higher number of days so that requesting Big Ten Academic Alliance Libraries can place you in a lower tier custom holdings group; or
    - iv. Creating a temporary deflection for copy requests (e.g. OCLC Policies Directory); or
    - v. Going to non-supplier status on the resource sharing network

## Appendix 2:

- [Principles and Protocols for Interlibrary Loan of Special Collections Materials](#)

