

***Participating in the Global ILL Framework:
A Guide for Interlibrary Loan Practitioners***

Compiled by the NCC ILL/DD Committee last updated 4/12/2006

Sending and receiving interlibrary loan requests to and from Japanese libraries via OCLC WorldCat Resource Sharing (WRS) is now as simple as sending requests to other libraries that use OCLC. Using the ISO protocol the request can pass from WRS to the Japanese equivalent, NACSIS ILL system, and vice-versa. This procedure can be used to submit requests to Japanese libraries for copies or loans of materials in all subject areas where the title is not held or not available in North American libraries. A checklist for participation is included in this document as Appendix A.

Verifying requests and locating materials:

Though we do not always admit it, filling an Interlibrary Loan request is a joint effort between patron and librarian. We rely on our patrons to supply accurate and complete information identifying the material needed. This is especially true when working with foreign language requests. For librarians without the ability to read or speak Japanese, assistance from your patrons or Japanese studies bibliographer in obtaining the correct transliteration and standard numbers such as ISSN, OCLC bibliographic record number or NACSIS WebCat ID number and the Japanese library location can be very valuable. You can aid your researchers by referring them to the accompanying guide: *Getting Interlibrary Loan From Japan: A Checklist* <http://www.fas.harvard.edu/~ncc/illdd/checklist.doc>

Once you have a complete citation, go to OCLC WorldCat and search by title, author, ISSN, OCLC number etc. to find the record for the publication in OCLC. Requests that cannot be verified within OCLC should also be checked for bibliographic and holdings information in RLG Union Catalog, if at all possible, before sending the request to Japan. *You should exhaust all North American locations prior to sending the request to Japan.* If there is no record in OCLC or RLG Union catalog and if you have determined that there is no North American source you can send the request to a Japanese library. If your patron has supplied you with an ISSN or NACSIS Webcat bibliographic number, it is possible for you to verify holdings information and find the OCLC codes for GIF member libraries in Japan. This guide is called: *A Step by Step Guide for Verifying ILL/DD Requests using Webcat Plus* <http://fas.harvard.edu/~ncc/illdd/GIFverify.doc>

Sending Requests / Borrowing:

Specific instructions for requesting using the native WorldCat interface or ILLiad, CLIO and RLG's ILL Manager will vary. For specific instructions, screen shots and suggestions using ILLiad and RLG's ILL Manager please see the attached appendices. What follows here is a general outline that can be translated into any interface.

If you have found a bibliographic record within OCLC WorldCat or RLG Union Catalog and you have exhausted all North American locations the request to a Japanese library can be created using your usual method. The lender string of OCLC symbols for the location or locations that you have found using NACSIS Webcat or that your patron has given you can be entered into the request. (OCLC symbols for GIF participants in Japan can be found at: <http://www.libra.titech.ac.jp/GIF/statistics/us/gif-japan-library.html> or at <http://www.nii.ac.jp/CAT-ILL/INFO/ILL/ISO/OCLC-member-policy.html>. The second link also contains policy and fee information in English) Transfer your article, patron, and volume/date/pages data using your usual method. Add the owning library location and call number information in the verified field if you have it. It is also greatly appreciated if you edit out any question marks or strange punctuation that OCLC has inserted as a result of its inability to appropriately translate macrons into English text before you send the request. If you do not find a record in OCLC for the publication you need, then the request may still be sent using a blank request form and a lender string constructed based on the location information obtained from searching NACSIS WebCat Plus <http://webcatplus.nii.ac.jp>. Enter the title and publication data manually into the appropriate fields and transfer your article, patron, and volume/date/pages data using your usual method. As above, enter any location/call number information to the verified field and send the request.

It is important to Japanese libraries that you indicate preferred shipping method in the 'ship via' field in the OCLC request. Adjusting your constant data so that this field contains explicit instruction that articles should be sent via ARIEL will ensure that this information transfers to the proper field in the Japanese NACSIS ILL system. Here is an example of a note that would make this clear: "ARIEL Articles if possible/OVERSEAS BOOKS AIR MAIL" In addition, it might help if you added the words "GIF Project" to the borrowing notes field in these requests.

IFM is the only payment method that can be used and is a condition for participation in this initiative. Positive responses (Ship/Will Supply) will be

received by OCLC in the usual format. Negative replies will also be processed in the usual way. Viewing the history for a negative response request will allow you to see the transaction history and the reasons for refusal. Japanese libraries are also able to respond with a conditional message. Place a note in the Borrowing notes field indicating your ability to abide by the conditions and respond yes to the conditional if you would like to resubmit the request for supply.

Most articles will be received via ARIEL, however, in some cases, due to copyright restrictions or technological limitations, the Japanese library will send the article via AIR MAIL. You may sometimes have difficulty identifying the request as the OCLC request number does not transfer into their ILL request form. Other data elements that are included on their form, like patron name or journal or article title can usually be used to identify the OCLC WRS request number within your ILL management system. Please notify the GIF ILL committee at gif@nccjapan.org if you notice that Japanese libraries are not including identifiable information on a cover sheet.

It should also be assumed that renewals are not allowed for returnable materials borrowed from Japan. Books from Japan will usually be shipped via AIR MAIL, though courier services like DHL, Fedex or UPS are sometimes used (UPS is the most common of all of the couriers employed). It is very important that the return of the book is handled in the same way as the book was shipped and in a timely manner. Boxes should be used for packing to ensure the safe shipment of materials. Labels should note that the material is a “Book, magazine or papers for academic, scholarly or research”. Please check with your campus mail services, if necessary, to be sure that these items are labeled and shipped so that they are returned to the lending library in as speedy a manner as is possible.

Updating requests to received and returned is very important also. It is not unusual to receive an email from a Japanese library inquiring about the receipt of an article or book or notifying you of shipment etc. A simple response to these emails is greatly appreciated.

Receiving requests / Lending:

You should not notice any difference between a request coming to you from a library that uses OCLC WRS or a Japanese library using the ISO protocol. Response to these requests is the same as for any other lending requests with three caveats:

- Articles should be sent via ARIEL in all but exceptional circumstances (tight binding etc).
- Billing must be through IFM and your usual charges should apply.
- Conditional responses to Japanese libraries can be sent via OCLC. If there is something that they can do to complete the information in the request they will respond with the adjustments or additional information needed. However, a concurrent message via email to the GIF contact listed for that library might facilitate communication regarding bad citations or special circumstances that could aid in the fulfillment of the request. (see: <http://www.nii.ac.jp/CAT-ILL/INFO/ILL/ISO/OCLC-member-policy.html> and click on the link to the appropriate library to find a contact email address) OCLC updates and messages are sent only once per day so email may be faster. Please remember that there is an approximate 17 -14 hour time difference (depending where you are in the US)

In rare cases where scanning is impossible you can ship articles via AIR MAIL but you should alert the contact at the Japanese library with an email that you are shipping this way.

When shipping books, boxes should be used for packing to ensure the safe arrival of materials. Mailing labels should note that the material is a “Book, magazine or papers for academic, scholarly or research.” Otherwise, it is possible that the Japanese library will incur significant charges if customs agents believe the item has commercial value. AIRMAIL -USPS, DHL, Fedex and UPS can all be used to ship materials to Japan. (UPS is the most common of all of the commercial couriers employed and perhaps the easiest for the Japanese.) Please check with your campus mail services, if necessary, to be sure that these items are labeled and shipped so that they arrive at the borrowing library in as speedy a manner as is possible.

Receipt and return updates should happen as usual. If you should receive a book return and the request is not in the proper status, please email the GIF contact and tell them that you lent them a book and now have it back and ask them to update the request to ‘returned’ status.

An easy to use alphabetical listing of all GIF participants can be found at: <http://www.nii.ac.jp/CAT-ILL/INFO/ILL/ISO/OCLC-member-policy.html> . Clicking on the name of the library will bring up complete contact and policy information for that library.

Crossing the cultural divide:

There are some fundamental differences between North America and Japan in copyright law, ILL staffing, charging conventions and communication. Awareness of these differences can help to avoid misunderstandings and promote successful interlibrary loan transactions.

Copyright:

Japanese copyright law normally forbids the electronic transmission of articles. The GIF project in Japan obtained a waiver allowing electronic delivery for articles sent within this project. Occasionally a Japanese library may ship an article via AIRMAIL believing that strict adherence to the copyright policy is necessary even within GIF.

ILL Staffing:

Staff in Japanese libraries tend to be rotated in and out of various jobs every few years. It is not uncommon to encounter staff that have very little ILL experience or that have never sent email in English before. Please be generous and temperate in your interactions with them.

Charging conventions:

Compared to North American libraries Japanese libraries typically charge very little for articles and nothing for loans. Charges are generally per page, which can range from 35 Yen (\$.30 equivalent) to 60 Yen (\$.55 equivalent) per page plus airmail postage. In addition to the fees Japanese libraries pay North American libraries, they are charged a fairly steep handling charge by Kinokuniya (the vendor that represents OCLC in Japan). Our charges are generally passed on to the researcher as well, although some researchers use their research funds to pay the charges.

Communication:

Remember that there is a 17-14 hour time zone difference between North American and Japanese libraries. (They are ahead of us in time) Email communication is typically delayed because of this difference. In addition updates between NACSIS Cat/ILL and OCLC are done only once per day.

APPENDIX A:

Checklist for GIF Participation:

- Register for the Global ILL Framework Project. Complete the form at the end of this checklist and email it to GIF Registrar, (Ms.) Yoko Okunishi at gif@nccjapan.org. The online version of this form can be found at: <http://www.fas.harvard.edu/~ncc/documents/gifregistration.doc>
- Participation in OCLC's IFM payment system is required. For details on participation see : <http://www.oclc.org/resourcesharing/features/feemanagement/default.htm>
- Update the constant data for your OCLC request form to include appropriate instruction in the :ship via: field of the OCLC ILL request. Here is an example of a note that would make this clear: "ARIEL Articles if possible/OVERSEAS BOOKS AIR MAIL
- In the FAX field please include: phone (123) 456-7891 and ARIEL: XXX.XXX.XXX.XX
- Check with your mail operations manager to be sure that labeling and shipment requirements for speedy delivery to Japan are understood. When shipping books, boxes should be used for packing to ensure the safe arrival of materials. Mailing labels should note that the material is a "Book, magazine or papers for academic, scholarly or research". AIRMAIL, DHL, Fedex and UPS can all be used to ship materials to Japan
- Consider inviting a trainer or engaging with a member of the GIF ILL committee that can walk you through the first few requests. Contact : gif@nccjapan.org
- Talk to your liaison librarian and/or faculty and students who will be submitting requests so that they understand what information you need to be able to successfully fill the requests.
- The NCC ILL/DD Committee has created a series of guides to searching and verifying holdings information in NACSIS Webcat Plus, the Keio Library Catalog, and other major catalogs. These guides are available at

<http://www.fas.harvard.edu/~ncc/ildd/ildd.html> and assume that the researcher has a good citation.

- The NCC Information Literacy Resources webpage has a variety of guides and tutorials for searching Japanese databases to help researchers learn to search the major Japanese language databases:
<http://www.fas.harvard.edu/~ncc/eresources/guidestutorialsseminars.html>

Global ILL Framework (GIF) Registration Form

GIF Registration Instruction for New Participants

Section I: New participants in GIF should complete all parts of Section I.

Section II: If your institution wishes to participate in the books phase, Phase II of GIF, please provide Phase II data in Section II.

Section III: If you wish to make your institution's Z39.50 data available to facilitate searching by our Japanese colleagues, please complete Section III providing Z39.50 access data.

Section IV: We would like to add you to the NCC ILL/DD discussion group to effectively communicate among members. Please provide your subscription preferences in Section IV.

Submit the above to GIF Registrar: Please email the complete form to GIF Registrar at gif@nccjapan.org.

Instruction for Updating Your Profile Information

Please use this form also to provide any changes that should be updated in your institution's general ILL Policy Profile, and email the form to GIF Registrar at gif@nccjapan.org.

If you have any questions, please contact Yoko Okunishi at (gif@nccjapan.org). Thank you.

ILL Policy Form

Section I: Update of General ILL Policy Information	<i>YOUR RESPONSE</i>
Updating Information or New Registration?	Update: New Registration:
Name and Email of ILL Staff Contact	NAME: EMAIL:
Name of Unit	
Organization Name	
Street address, and/or PO Box Number, City, State, and Country	
Postal Code	

Unit's Telephone, Fax number, and Email address	PHONE: FAX: EMAIL:
OPAC URL, Library URL, and Ariel Address (FTP/email)	OPAC : LIBRARY: ARIEL:
OCLC Symbol used to Accept Requests	
Period(s) when the Unit Does not Accept Requests	
Bill via OCLC IFM	OCLC - IFM
Charges for Photocopies	
Any other Pertinent Information	
Japanese Studies Bibliographer Contact Information	NAME: EMAIL: FAX:

Section II: Phase II Information	PLEASE COMPLETE
Do you wish to also participate in Phase II, books	Yes: No: (If so, please complete questions below)
Loan Period for Returnables	
Number of Volumes Loaned	
Loan Renewal and Period	
Loan Charge and Delivery Method	
Other notes concerning returnable support	

Section III: Z39.50 Access Data	
Does your institution agree to provide access to your online catalog via Z39.50?	Yes: No: (If so, please complete questions below)
What is the target name? (e.g. BLPCZ)	
What is the database name? (e.g. INNOPAC)	
What is the Internet Address?(e.g. blpcz.bl.uk)	
What is the port number? (e.g. 210)	

Please give the list of services that the target supports (e.g. Init, Search, Present, etc.)	
Please list record syntaxes supported. (e.g. SUTRS, GRS-1, MARC21, etc.)	
What is the query type? (e.g. Type-1, etc.)	
Please list Bib-1 use attributes. (e.g. 4, 7, 8, 1003, 1016, 1018, etc.)	
Please tell us the character set used. (e.g. UTF-8, etc)	
Please tell us the email address of the person who can provide assistance on use of the Z39.50 server.	

(Please note that the information on Z39.50 characteristics above may need to be provided by systems librarians.)

Section IV: NCC GIF Discussion Group NCC- GIF@googlegroups.com Subject prefix: [OCLC-GIF]	NCC GIF Discussion Group is a closed list only for the GIF participants. GIF Project updates and important information such as system malfunction will be shared via this discussion group.
Please tell me who will join the group:	<input type="checkbox"/> ILL Staff and Japanese Studies Bibliographer <input type="checkbox"/> ILL Staff only <input type="checkbox"/> Japanese Studies Bibliographer only
Please choose your subscription preference:	ILL Staff <input type="checkbox"/> Japanese Studies Bibliographer <input type="checkbox"/> 1. Email - send each message as it arrives 2. Abridged Email - send a summary of new activity each day 3. Digest Email - send all new messages in a single daily email

APPENDIX B:

Using the ILLiad interface

Asking for help from your patrons or librarian in obtaining Japanese locations:

To facilitate communication with your patron or your East Asian Librarian, ILLiad can be set up to send a semi-automated email asking for verification assistance. *Details on how to do this can be found in the ILLiad Implementation Guide under the chapters: Queues and Routing, Customizing Email Files and Email Routing.*

First set up an email within ILLiad which imports the essential bibliographic elements of the request. Next, set up an appropriate queue within ILLiad using the customization manager (Possible name: Referred to Specialist). Finally set up an email routing rule which routes the request to this queue after the email is sent. In the email you may include set text requesting assistance and set a default 'to' address which can easily edited if need be. The text of the email can be edited before sending as well. The email is easily invoked when needed by choosing it from a list of email options at the top of the ILLiad request screen. An example is shown below:

The screenshot displays the ILLiad 'General Update Form' interface. The main form is divided into several sections: 'General Request Information', 'Item Information', 'Bibliographic Information', and 'Billing Information'. The 'General Request Information' section includes fields for Transaction Number (385203), Username/Name (mgoto), Transaction Status (Referred to Specialist), Transaction Date (2/14/2006 9:03:50 AM), Not Wanted/Need By (02/03/2007), Delivery Method/Site, and Service Level/Shipping (No). The 'Item Information' section includes Call Number, Location, Due Date, and Reason for Cancellation. The 'Bibliographic Information' section includes fields for Loan Author, Loan Title (Yoshiyuki Junnosuke sh7u /), Loan Publisher, Loan Place, Loan Date (1939), Loan Edition, Original Loan Author (Kawabata, Yasunari), and Original Loan Title (Yoshiyuki Junnosuke shu?). The 'Billing Information' section includes Copyright (Lending Library Invoice), Compliance/Pay Meth., Pages, Per Page, Base Fee, and CCC Number.

The 'Route to Email Form' dialog box is open, showing the 'Send' button and the 'Route Request to:' dropdown menu set to 'Referred to Specialist'. The email fields are: To: sdomier@library.umass.edu, CC: dkmckinn@library.umass.edu, and Subject: ILL request for help. The body of the email contains the following text:

This request is for referral to a subject specialist:
TN: 385203, Patron: Goto, Miyabi
Cited In: FirstSearch:WorldCat (Via SFX)
Loan Title: Yoshiyuki Junnosuke sh7u /
Loan Author:
ISSN/ISBN:
Journal Title:
Volume: Issue: Month:
Year: Pages:
Article Title:
Article Author or Loan Author:
Can you help us to verify this request? We cannot locate a record. Thanks.

Thanks for any help.

If everything is set up properly you can invoke the referral email from the email dropdown menu that can be seen at the top of every request. Send the email and it will route into your customized queue. When you have received the information needed for verification or location you can simply change the status back to 'Awaiting request processing' and go on to send the request via OCLC from that queue.

Sending the request using ILLiad:

First be sure that your request constant data includes something similar to the following message in the :Ship Via: field: "ARIEL Articles if poss./Bks LIBRARY RATE/OVERSEAS BOOKS AIR MAIL "

In the FAX field please include: phone (123) 456-7891 and ARIEL: XXX.XXX.XXX.XX . (*Instructions on editing OCLC constant data can be found under the topic OCLC Resource Sharing Settings in the ILLiad Borrowing Guide.*)

The basic process for sending a request is as follows. Select the request from the 'Awaiting request processing' queue. Connect to OCLC and perform a search based on the method of your choice. (ISSN if you have it, then scan title or keyword) If you find a bibliographic record within OCLC WorldCat the request can be created from that bibliographic record and the lender string of OCLC symbols for the Japanese location or locations that your patron or librarian has given you can be entered manually into the request workform. Send the request as usual. If you do not find a bibliographic record within OCLC you can send the request using a blank workform, manually entering the bibliographic information and lender string. (*Extensive detail on searching and sending requests may be found in the ILLiad Borrowing Guide chapter entitled: Searching & Sending: OCLC*)

Receiving Material:

Receiving materials should proceed as with any other OCLC request and updating should proceed normally. Most articles will arrive via ARIEL and can be delivered to your patron electronically or mail as you would usually send them. Japanese libraries are supposed to include a cover sheet with each article or book that includes information that makes the item easily identifiable. If you should receive a request without the OCLC record number, other information on the cover sheet should help you in searching ILLiad for the correct request. Occasionally you may

receive an email from a Japanese library asking if you have received materials. Check the status of the request in ILLiad and respond to the email appropriately.

Sending Materials:

Sending materials to Japan is covered in the lending section of this document. No special treatment is required with the exception of shipping materials via AIRMAIL or courier specially labeled.

Appendix C:

Using RLG's ILL Manager Interface

Global ILL Framework (GIF) participants who wish to use RLG's ILL Manager for trading requests with Japanese partners must first be profiled by OCLC to send ISO ILL messages to OCLC WorldCat Resource Sharing (WRS) partners.

For details see the instructions on the private ILL Manager Users support site at http://www.rlg.org/en/protected/illmanusers/page.php?Page_ID=354. ILL Manager users can get the user name and password for the site by emailing the RLG Information Center, RIC@RLG.ORG.

Populating Your Suppliers List with Japanese Partners:

To open the Suppliers dialog box, click Tools/Lists/Supplier. To add each new supplier, highlight NEW and click the New button. All fields are optional except Symbol and IP address.

Suppliers' symbols are set by agreement between sites. ILL Manager requires that you form them with a "name authority prefix" and the symbol for the library. Since these requests to Japanese partners will be traveling through WRS, you should set them up in your ILL Manager Supplier database as if they were OCLC partners; for instance, OCLC:J5K for Hokkaido University Mita Media Center. Add the name of the institution in the box for Supplier name.

Click the radio button to choose IP address for each Japanese partner. Then enter the same address that you enter for all your OCLC partners: the host name of the OCLC ISO ILL server.

Select a Request Type of ISO.

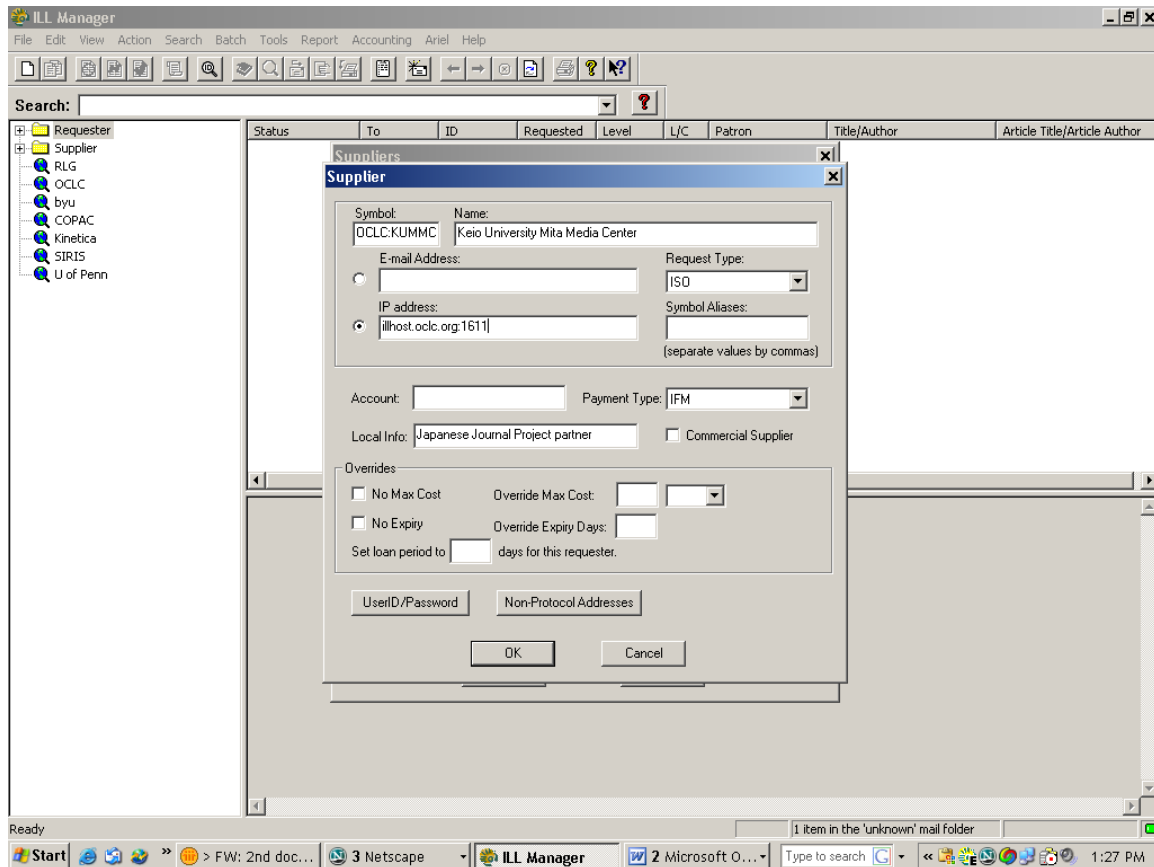
Select IFM as the Payment Type from the drop-down list.

Local Info can be used for local information about a partner. Local Info can be printed on item labels using the tokens REQUESTERLOCALINFO or SUPPLIERLOCALINFO.

Overrides: You can enter maximum cost, expiry dates, and loan periods that are specific to this partner and these values will override any defaults set elsewhere.

The loan override is specific to your partner as a requester; maximum cost and expiry dates are specific to your partner as a supplier.

Click OK to add each new Supplier, and OK again if you wish to close the Supplier List dialog box.



Sending the request using RLG's ILL Manager:

You send requests to Japanese partners just like you would send any other kind of ISO ILL request on ILL Manager.

Assign up to six Japanese partners to your lender string by using the pull-down list in the request work form.

Because WRS does a poor job of mapping electronic transport information, be sure to add a Note with your Ariel address if you are asking for a non-returnable.

Receiving Material:

You treat incoming material, whether physical or electronic, the same as you would with any other ISO request.

Sending Materials:

Responding to ISO requests for your Japanese partners is no different from responding to any other ISO request. Japanese partners do NOT have to be configured in your Supplier database to be able to borrow from you.