National Network of Libraries of Medicine (NN/LM)
Pacific Southwest Region (PSR)

Pacific Southwest Regional Document Delivery Plan

The purpose of this Pacific Southwest Regional Document Delivery Plan is to delineate responsibilities and contributions of NN/LM Pacific Southwest Region Member libraries. A clear understanding of these responsibilities and contributions will result in a document delivery system that will provide health professionals with timely access to information from regional and national health science library collections. This regional plan is derived from and conforms to the national NN/LM Document Delivery Plan.

KEY ASSUMPTIONS

1.   DOCLINE®: the preferred interlibrary loan system in the NN/LM.
DOCLINE is the preferred interlibrary loan system in the National Network of Libraries of Medicine, and DOCLINE libraries are expected to be lenders as well as borrowers. DOCLINE has been a successful system because of broad Network participation. DOCLINE is also the most efficient way to route a request to NLM; ultimately, the request will reach the original requester more quickly.

2.   Accurate Institutional Records
Each DOCLINE library must maintain an up-to-date, accurate institutional record including correct addresses and contact information, personnel, membership, services and fees, and DOCLINE options.

3.   Accurate Serials Holdings
All DOCLINE libraries must accurately report and systematically maintain serial holdings on at least an annual basis within the DOCLINE Serial Holdings database. Even libraries with very small collections have titles to contribute. Options for reporting holdings include:

> 1) Direct online input of data. This is the preferred method since the data are immediately available for DOCLINE routing.
> 2) Global batch updating (i.e., all of a library's DOCLINE will be deleted and replaced) in OCLC MARC format and other national or international standards that may be supported by DOCLINE in the future.

4.   Collections Available for Lending
DOCLINE traffic has decreased as print collections are diminishing and as more journal resources are electronic. Libraries of all sizes need to incorporate interlibrary loan capability into their license agreements for electronic materials.

5.   Routing Tables

Network libraries participating in DOCLINE are expected to give thought and care to the construction of their routing tables. Although there are more detailed recommendations regarding routing table construction on the NN/LM PSR web site, in general libraries should: place smaller libraries before larger libraries (to give them an opportunity to provide service), place libraries that do not charge before libraries that charge, place EFTS libraries before non-EFTS libraries. The Pacific Southwest Region's Resource Libraries should be located at the end of the routing table. Constructing a routing table in this fashion will maximize smaller resources first, reduce invoicing and check writing, and use resources from the region first before going outside the region.

6.   Consistent Processing Policies

DOCLINE works best when libraries follow established DOCLINE policy. These policies have been developed in order to maximize system performance. The most important include:

- DOCLINE participants are expected to logon at least once a day to receive requests and to update requests to indicate the action taken.
- All requests should be fully processed within three days.
- Supplying libraries should update the request within a short time of filling the request.
- Supplying libraries should fill the request using the requested format and delivery method, to the requested delivery location, and within the cost limits specified by the borrowing library.
- If a Primary Access Library receives an unusually high number of requests in one day and does not have the time to process them, it may be better to update the request as unfilled, preferably with a reason that does not retire the request (e.g., OTHER), so that it routes to another library.

7.   Copyright

It is the responsibility of the requesting library to monitor its compliance with the Copyright Law or the CONTU guidelines. The supplying library has no knowledge of the requesting library's practices and procedures concerning copyright and is not expected to monitor the requesting library's compliance. DOCLINE provides requesting libraries with reports that rank titles requested. Requesting libraries should ensure that the appropriate method of copyright compliance is indicated on DOCLINE requests, that suitable copyright management systems are utilized, that required records are maintained, and that copyright notices are displayed for users. They should consult with their institutional legal experts as appropriate.

8.   Loansome Doc Service

All DOCLINE libraries are encouraged to provide Loansome Doc service for users affiliated with their institutions. In addition, DOCLINE libraries are encouraged to provide Loansome Doc service to local health professionals who do not have a library affiliation. Regional Network Office staff will assist non-affiliated health professionals by referring them to a health science library or by referral to the UCLA Louise M. Darling Biomedical Library in its capacity as Regional Medical Library.

9.   Charges and Billing

Supplying documents in an environment of fair use precludes making a profit on loans. Nonetheless, many libraries need to recover their costs in order to continue to provide service. NLM has established a recommended maximum charge of $11 for requests filled for Network libraries via DOCLINE by Resource Libraries, Regional Medical Libraries and NLM. This charge was set by NLM using data originally supplied by RMLs and RLs.

Before a Resource Library may charge more than the recommended maximum, the library must do an ILL cost study and must follow the procedures described in "NLM's Revised Policy on the National Maximum Charge dated February 23, 2004" and "Procedures for Increasing ILL Charges Above the National Maximum Charge". Loans that are filled outside of DOCLINE are not subject to the recommended maximum charge.

Libraries are encouraged to form reciprocal relationships with other libraries and enact agreements with each other to not charge for loans. In the Pacific Southwest Region, there are a number of DOCLINE Library Groups formed for this purpose, for example, the Inland Empire Medical Library Consortium and the San Francisco Biomedical Library Network. Reciprocal no-charge agreements such as these eliminate invoicing and billing and result in more efficient use of library staff time. Regional Library Groups such as these provide more than reciprocal borrowing arrangements; they also provide valuable local networking opportunities and sharing of expertise.

The Regional Network Office encourages Network libraries, particularly Primary Access Libraries, to provide interlibrary loan services to other libraries in the Pacific Southwest at no cost or low cost. Many libraries use a "we charge you what you charge us" as a way to equalize costs when lending to larger libraries.

All libraries are encouraged to use the Electronic Fund Transfer System (EFTS) in order to reduce invoicing and billing for DOCLINE requests.

10.   Performance Data

NLM derives a number of reports from DOCLINE data that help to assess system performance. The purpose of analyzing performance data is to provide NLM and the RML with information needed to assist in developing and implementing programs and services which meet the information needs of health professionals. Document delivery performance data enables the evaluation of existing performance and determination of trends and future needs. The data should also assist the Regional Medical Library, Resource Libraries, and Primary Access Libraries (PALs) in collection development, maintenance and preservation activities. Document delivery performance data will be provided through reports from the DOCLINE system.

Measuring fulfillment (fill rate) is calculated by dividing the number of received requests into the number of filled requests. An acceptable level of performance for an RML or RL is 75%, excluding requests unfilled due to COST. Network standards require that all requests be processed within three business days. DOCLINE report 2-14 provides information on fill rate for each RML and Resource Library. These reports are produced by NLM and are provided to the RML and Resource Libraries quarterly.

NETWORK RESPONSIBILITIES

The National Network of Libraries of Medicine includes four categories of DOCLINE libraries: the National Library of Medicine, the Regional Medical Libraries, Resource Libraries, and Primary Access Libraries. They all share in the success of the document delivery program. The Pacific Southwest Region is one of eight regions in the Network.

1. National Library of Medicine (NLM)
The responsibilities of the National Library of Medicine are to:
   a. Provide national coordination of DOCLINE and interface with other large interlibrary loan networks;
   b. Provide interlibrary loan services to augment regional resources;
   c. Continue development and support of DOCLINE, which consists of the Serial Holdings, Requests, and Institutions modules;
   d. Continue development and support of a document delivery solution, e.g., Loansome Doc;
   e. Collect and distribute management data from DOCLINE to monitor Network and individual library performance;
   f. Provide reports from the DOCLINE system to all DOCLINE participants; provide additional NLM-defined reports to the Regional Medical Libraries.

2. Regional Medical Libraries (RMLs)
The Louise M. Darling Biomedical Library, as Regional Medical Library in the Pacific Southwest Region, includes two administrative components with document delivery responsibilities, first, the NN/LM PSR Regional Network Office[1], and second, the Access Delivery Service Division, which provides the actual document delivery service.

The responsibilities of the Regional Network Office are to:
   a. Assist Network members in the region to obtain and/or maintain an adequate technical environment for DOCLINE use;
   b. Educate libraries through FAQs, training, and/or meetings on the effective use of DOCLINE, Loansome Doc, and other NLM products related to interlibrary loan or document delivery, including PubMed, LinkOut, and LocatorPlus;
   c. Provide DOCLINE support to all member libraries in the region via telephone and email, and refer to NLM only those questions that cannot be answered by RML staff;

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[1] The Regional Network Office is more frequently referred to as the Regional Medical Library office.

    d. Providing feedback to NLM and attend monthly DOCLINE/NLM teleconferences;

    e. Assist libraries who are adding their holdings to the Serial Holdings module upon becoming a DOCLINE member and ensure that any library that adds holdings becomes a full DOCLINE member within a month or two of doing so;

    f. Assure that appropriate, timely training is provided to Resource Libraries and Primary Access Libraries so that they can accurately contribute, review, and maintain their holdings within DOCLINE;

    g. Assume primary responsibility for currency and accuracy of information in the Institutions and Serial Holdings modules for all DOCLINE libraries in the region;

    h. Coordinate the contribution, review, and maintenance of regional DOCLINE Serial Holdings data, encourage the use of online updating for all libraries and the use of SERHOLD to OCLC batch update for those libraries that have holdings in both DOCLINE and OCLC; ensuring that libraries that use batch update to add/update DOCLINE holdings rectify reported errors within DOCLINE within 30 days of the batch update.

    i. Assist libraries in finding other libraries or sub-coordinators who are willing to maintain holdings for a library that is unable to update its own holdings;

    j. Assign and modify update rights for SERHOLD sub-coordinators in their region;

    k. Merge holdings for libraries that absorb collections of libraries that no longer exist and delete holdings for libraries that close and do not merge their collection with that of another DOCLINE library;

    l. Test DOCLINE and Loansome Doc changes and provide feedback to NLM on any changes; update tutorials and any help documentation as necessary;

    m. Promote the use of electronic delivery for sending and receiving documents via DOCLINE;

    n. Provide guidance on what information to put in the Institutions module that would enhance the document delivery performance of Network libraries. For example, inputting correct citation information, using appropriate routing instructions, and maintaining suitable routing tables;

    o. Assist the general public and both domestic and international health professionals in finding libraries in the Pacific Southwest Region that offer Loansome Doc service;

    p. Provide guidance and support for the implementation of new initiatives;

    q. Promote NLM's new initiatives such as free access to electronic journals (FEAT) in regional newsletters and email discussion lists.

The responsibilities of the Access Delivery Services Department are to:

    a. Participate in the Electronic Fund Transfer System (EFTS) through the University of Connecticut Health Center;

    b. Keep DOCLINE institution record accurate and complete;

    c. Contribute, review, and maintain its institution's holdings data in DOCLINE at least annually. Upgrade all Level 2 holdings created by NLM's Title Change program to Level 3 within 60 days. If batch update is used to add/update DOCLINE holdings, rectify reported errors within DOCLINE within 30 days of the batch update;

    d. Provide document delivery service to affiliated health professionals via Loansome Doc or other NLM supported product;

    e. Provide document delivery service on a cost recovery basis to unaffiliated health professionals who are unable to receive service elsewhere; and

    f. Support international users of DOCLINE and Loansome Doc on a cost recovery basis by providing services directly or by identifying other libraries willing to provide service; information about how to obtain service must be clear and easy to find on the web.

The Regional Network Office and the Access Delivery Services Department will collaborate in every way possible to promote the success of the NN/LM Document Delivery Plan and DOCLINE as a means to provide health professionals with timely access to information from the nation's health sciences libraries.

3. Resource Libraries (RLs)

Libraries with significant collections or who play significant sub-regional roles are selected by the RML to serve as Resource libraries. The responsibilities of the Resource Libraries are to:

    a. Provide interlibrary loan and document delivery service in accordance with Network policies and procedures, including meeting Resource Libraries standards for fulfillment (fill rate); fill requests for other NN/LM libraries at a total charge not to exceed the current Network maximum;

    b. Contribute, review, and maintain its institution's holdings data in DOCLINE at least annually. Upgrade all Level 2 holdings created by NLM's Title Change program to Level 3 within 60 days. If batch update is used to add/update DOCLINE holdings, rectify reported errors within DOCLINE within 30 days of the batch update;

    c. Participate in DOCLINE and provide document delivery service to unaffiliated health professionals and public users via Loansome Doc or other NLM supported product;

    d. Keep DOCLINE Institution record accurate and complete.

4. Primary Access Libraries (PALs)

This category, which includes hospital libraries and all other Network libraries, generally represents the health professional's first point of access into the Network. These libraries are encouraged to develop adequate resources to respond to their users' basic information needs and to cooperate with other local libraries to share resources among themselves before sending requests to Resource Libraries. Each PAL, to the extent possible, should:

    a. Contribute, review, and maintain its institution's holdings data in DOCLINE in Level 3 format at least annually. If batch update is used to add/update DOCLINE holdings, rectify reported errors within DOCLINE within 30 days of the batch update;

    b. Participate in DOCLINE and provide document delivery service to its affiliated users and others as possible via Loansome Doc or other NLM supported product;

    c. Keep DOCLINE Institution record accurate and complete.