WorldCat Navigator: Circulation-ILL Borrowing Agency Profile

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1. Introduction

This profile, referred to as the OCLC Circ/ILL Borrowing Agency Application Profile, is designed to provide a coherent agreed-upon set of behaviors, options, and parameters that support the exchange of NCIP messages between the OCLC Interlibrary Loan Application and a circulation application operating together on the borrowing side of an Interlibrary Loan transaction. The base standard that enables this communication is NCIP. This profile is based on that protocol, as well as the supporting NCIP implementation Profile 1. There is a parallel profile that defined the exchange of messages between a lending agency s Interlibrary Loan and circulation applications.

2. Description of Application Area

This profile is designed to support the exchange of messages between a borrowing agency s circulation and Interlibrary Loan (ILL) applications. Because ILL and circulation share many of the same functions such as tracking loaned items, sending overdue notices to users, etc., libraries are seeking applications that eliminate duplicate record-keeping and streamline functions, and thus, reduce workload for their staff.

3. Application Profile Scope and Purpose

Standard interlibrary loan transactions involve two partners: a borrower and a lender. This profile deals only with the borrowing agency s requirements for the interaction between its Interlibrary Loan application and an associated circulation application.

Both the circulation and Interlibrary Loan applications deal with users from their own agency.

This profile does not mandate the mechanism by which a borrowing agency s Interlibrary Loan application interoperates with external Interlibrary Loan applications. This profile does assume, however, that many events described in the Event Table (Section 7.6) of this profile are ones supported by the ISO ILL Protocol and the IPIG Profile for the ISO ILL Protocol. ILL applications that do not conform to the ISO ILL Protocol or the IPIG Profile may interoperate with circulation applications using this profile as long as the ILL applications support the typical set of events of an ILL transaction.

This profile allows for the following Circ/ILL interactions:
- ILL application hands over received item for circulation to patron
- ILL application informs circulation that the loaned item has been returned to the lending agency

This profile assumes that there is no circulation interaction prior to the receipt of the requested item by the ILL application. At the point of Receiving the item, the ILL application hands the item over to the circulation application for circulation to the patron via the NCIP Accept Item message.

At the point at which a loaned item is returned to the Lender, the ILL application checks in the item with the circulation system - which is the trigger for the circulation system to dispose of any temporary records it may have created in order to circulate the item.

This profile does not cover how users initiate ILL requests. All user authentication and authorization is considered out of scope for this profile.

4. References
- Implementation Profile 1, a Profile of the NISO Circulation Interchange Protocol
- NISO Z39.83-200x, NISO Circulation Interchange Protocol
- ISO 10160:1997, Information and Documentation - Open Systems Interconnection - Interlibrary Loan Application Service Definition
- ISO 10161-1:1997, Information and Documentation - Open Systems Interconnection -

- Interlibrary Loan Application Protocol Specification
- OCLC Circ/ILL Lending Agency Application Profile

5. Definitions

To clarify the difference between similar but not identical terminology used in this profile and the ISO ILL Protocol, the terms Borrower and Borrowing are used in preference to the NCIP term of Requester or the ISO ILL term of Requester. Likewise, the terms Lender and Lending are used in preference to the NCIP term of Responder or the ISO ILL term of Responder.

Term	Definition
Borrower	The agency that makes use of the ILL and circulation applications to facilitate the management and circulation to its users of items obtained via ILL.
Borrowing Agency	See Borrower
Circulation Application	The application that manages the circulation of items.
ILL Application	The application that manages the exchange of Interlibrary Loan messages between the borrower and the lender
Item	An item received from a lender in response to an ILL request made by the borrower
Lender	The agency that supplies an item in response to an ILL requests and manages the circulation of that item
Lending Agency	See Lender
Request	A request for a loan, copy, or other service initiated by the borrowing agency and answered by the lending agency
User	A user at the borrowing agency who places an ILL request.

6. Conformance

6.1 Introduction to Conformance and Support

6.1.1 Roles
The only role referred to in this profile is that of Borrowing Agency

6.1.2 Statements of Conformance
Both applications referred to in this profile are fulfilling the Borrowing Agency role within the ILL transaction.

6.1.3 Requirements of Conformance
An application that claims conformance to a role SHALL, while operating according to this profile:

1. Conform to the NISO Circulation interchange Protocol and the Implementation Profile 1.
2. Implement all required and conditionally required messages and data elements

6.2 Optional Features

IN order to simplify interoperability between systems, all messages used in this profile are Required,

7. Profile Specification

7.1 Profile Description

The NCIP standard and this profile facilitate the exchange of user, item, and request data to eliminate the need to duplicate actions in a borrowing agency s circulation and ILL applications.

The minimum interactions necessary to enable a circulation system to circulate an ILL item are:

* Handover a received Interlibrary Loan item from the ILL application to the circulation application for circulation to the patron.
* Tell the circulation application that the item has been returned to the ILL application for return to the Lender. This is the trigger for the circulation system to clean up any temporary records it might have created in order to support the circulation of the loaned item.

The primary assumption of this profile is that the Interlibrary Loan and circulation applications each play long-standing, well-understood roles in the ILL environment. This profile describes a specific implementation of the NISO Circulation Interchange Protocol that supports this traditional division of labor. The ILL application is responsible for sending ILL requests and related messages to external sources, receiving responses from those external sources, and communicating appropriate messages to its local circulation application. The circulation application is responsible for the determination of and adherence to the local circulation policy.

7.2 Participating Applications

Two applications are assumed in this profile: The Interlibrary Loan application and the circulation application. Although this profile assumes that the Interlibrary Loan application is OCLC, it does not preclude its application to other Interlibrary Loan applications that do not need to implement the full NCIP CILL-1 application profile.

The Interlibrary Loan application operates on behalf of the borrowing agency. This application manages ILL requests, including setting of fees charged to local users, transmitting recall notices to the patron etc.

The circulation application also operates on behalf of the borrowing agency. It manages the loan of items obtained from external sources, including communicating with the user, determining if a borrowed item is overdue, collecting overdue fines and ILL fees, etc.

7.3 Business Rules

The ILL application defines and applies business rules regarding interlibrary loan requests, including the management of user notices and charges related to these requests, up to the point items are received.

The transfer of control moves from ILL to circulation when the requested item has arrived at the borrowing agency s ILL office and the ILL application sends the NCIP Accept Item message to the circulation application. The circulation application defines and applies business rules regarding the circulation of ILL items to users, including the management of user notices and charges related to the circulation of ILL items up to the point loaned items are returned to ILL or copied items are given or transferred to the user.

However, the borrowing ILL application is still responsible for the negotiation of ILL renewals with the lender.

The transfer of control moves back to ILL when the ILL system returns a loaned item to the Lender. At this point ILL sends an NCIP CheckIn Item message to the circulation application. This causes the circulation application to close any outstanding circulation transaction for the loaned item.

7.4 Management of User and Staff User Interaction

The ILL application manages the Interlibrary Loan staff user interactions, and provides a User Interface through which users can track their ILL requests and request the renewal of items obtained via ILL.

The circulation application manages the circulation staff user interactions

7.5 Required Components Required and Optional Services

7.5.1 Required and Optional Services

The following table lists required and optional services, messages, and responses required by this profile. NCIP services not listed are not used by this profile.

Service	Required (R) or Optional (O)
Accept Item	**R**
Check In Item	**R**

7.5.2 Required and Conditionally Required Data Elements

The following table defines the Message/Data Elements that are Optional in the NCIP Protocol or the Implementation Profile 1, but are Mandatory or Conditional in this profile.

Message	Profile Required Elements	Conditions
Accept Item	Unique User Id	Circulation needs to know the User to whom this item is to be circulated.
Accept Item	Bibliographic Description	Circulation may choose to create a temporary bibliographic record to describe the loaned item so ILL must include all known bibliographic details.
Accept Item	Date for Return	If the item is a loan and the due date is known.
Accept Item	Indeterminate Loan Period Flag	If the item is a loan but the due date is not defined
Accept Item	Non-Returnable Flag	If the item is a non-returnable copy
Accept Item	Item Use Restriction Type	Mapped from ISO ILL Shipped-Conditions: • Library use only • no reproduction • client signature required • supervision required
Accept Item	Requested Action Type	= "Circulate"
Accept Item Response	Unique Item Id	Circulation must respond with the item Id it has assigned to the accepted item for tracking purposes.

CheckIn Item	Unique Item Id	Always present
Checkin Item	Mandated Action Flag	The item has already been checked in to the ILL dept, so the ILL Application needs to inform the circulation application that this event has occurred. The ILL application will send the CheckItem action to the circulation application. NB It should be noted that the ILL application does not honor the Routing Instructions and Fiscal Transaction Information it may receive in the Check In Item Response.

7.5.3 Use of the Application Profile Type Element
The Application Profile Type element is not considered necessary for use within this profile, since this profile does not require the circulation application to return unusual or non-standard behavior in response to any of the message requests.

7.5.4 Required and Optional Schemes (Enumerated Types)
All enumerated types used in this profile should conform to the enumerated types listed in the NCIP IMP 1 document.

The only exceptions to this rule are the schemes used for System and Agency identifiers which will be locally defined for each implementation.

7.6 Event Table

Triggering Event and Event Location	Initiating Application	Service Initiated	Responding Application	Message Constraints
ILL Receives the requested item.	ILL	Accept Item	Circulation	Set Date For Return to a date calculated by ILL on the basis of the date it is due back at the lending library and any other conditions imposed by the Lender on the use of the item. This hands over management of the item to circulation. Circulation responds by returning the original Request Id and the Item Id it has assigned to the "accepted" item.
ILL Returns the loaned item to the Lender	ILL	Check In Item	Circulation	ILL informs Circulation that the item has been returned to the ILL department. Circulation may now close the transaction for the accepted item as it sees fit.

8. Transport Protocol

9. Transport Protocol
The circulation application SHALL support one of the following transport protocols:
- HTTPS

The ILL application SHALL support both of the following transport protocols:
- Direct Transmission over TCP/IP
- HTTPS

The ILL application SHALL be configurable to employ one of the supported transport protocols when connecting to a given circulation system.

10. Security and Privacy
All user authentication and authorization is considered out of scope for this profile

A user is authenticated/authorized when logging into the ILL or circulation user applications, which is out of scope of this profile.

This profile assumes that the ILL and circulation applications whose interactions are described in this profile trust each other. Where the two applications are managed by a single agency, trust may be implicit and a minimum exchange of information may be required to enable the applications to communicate. Situations may arise, however, in which the two applications are not managed by the same agency even though a single agency s staff interact with both the ILL application and the circulation application. In this case a preliminary exchange of information will need to be used to allow each application to authenticate and authorize the other. This exchange will require a priori bilateral agreement between the communicating applications and, thus, is out of scope for this profile.

11. Registration of Schemes Used in the Profile

For information about maintenance and registration activities see Appendix G, Designation of Maintenance and Registration Agency, in the NCIP standard.

12. Non-normative Guidelines
The following guidelines do not represent behavior required by this profile. They are offered only as recommended behavior for those implementations in which the ILL applications are in compliance with the ISO ILL Protocol and the IPIG Profile for the ISO ILL Protocol.

Not Applicable.