

ACRL/RBMS GUIDELINES FOR BORROWING AND LENDING SPECIAL COLLECTIONS MATERIALS FOR RESEARCH USE AND EXHIBITION

DRAFT 6-8-10 for discussion at preliminary hearing at ALA Annual 2010

PURPOSE AND AUDIENCE

To enhance access, support research, and promote awareness of their collections, special collections repositories may arrange to lend materials from their holdings to other institutions for research use or exhibition. The purpose of these guidelines is to provide a framework for the development of appropriate institutional policies and decision-making criteria to support the inter-institutional loan of special collections materials, to specify the respective responsibilities of borrowing and lending institutions, and to recommend procedures to ensure the security and preservation of loaned materials.

These guidelines are intended for use by libraries, archives, historical societies, and other similar repositories in order to encourage and facilitate the inter-institutional loan of special collections materials, including books, manuscripts, archival documents, photographs, maps, prints and other graphical materials, ephemera, artifacts, and other items in special formats. Although these guidelines are written primarily from the perspective of single institutions, they are also meant to serve the needs of consortial groups in developing policies and procedures for facilitating research and exhibition loans among consortial members. These guidelines may also provide guidance to other types of institutions, such as museums, that may engage in loan arrangements with special collections repositories.

These guidelines adhere to and complement the American Library Association (ALA) *Interlibrary Loan Code for the United States*, the Association of College and Research Libraries (ACRL)/Society of American Archivists (SAA) *Joint Statement on Access to Research Materials in Archives and Special Collections Libraries*, the *Code of Ethics of the American Library Association*, the *ACRL Code of Ethics for Special Collections Librarians*, and the *ACRL Competencies for Special Collections Professionals* (for links to these documents, see Appendix I: Additional Resources).

The present guidelines are the result of the merger and revision of two earlier guidelines that were developed and approved by ACRL: *Guidelines for the Interlibrary Loan of Rare and Unique Materials* (2004; 1994) and *Guidelines for Borrowing and Lending Special Collections Materials for Exhibition* (2005). A history of the previous and present guidelines is documented in Appendix IV.

The present guidelines consist of the statement of purpose and audience, general principles and guidelines pertaining to the practice of borrowing and lending special collections materials, and a series of more specific guidelines pertaining to the lending of special collections materials for research use and for exhibition. References to additional resources are listed in Appendix I. Sample loan policies and forms are included in Appendix II and Appendix III.

GENERAL GUIDELINES

Principles

1. To support the needs of non-local researchers and benefit the public at large, special collections repositories are strongly encouraged to develop appropriate policies and practices to support the borrowing and lending of special collections materials.
2. Borrowing and lending institutions share interrelated responsibilities regarding the care, handling, and storage of loaned materials and the management of their use, whether the use be for research or for exhibition. Lending institutions have an ethical responsibility to safeguard their collections for future use, including any materials they may lend to other institutions. Likewise, borrowing institutions must ensure that borrowed materials are appropriately safeguarded and handled.
3. Borrowing and lending institutions should approach loan requests in a spirit of collaboration with a willingness to negotiate loan arrangements that provide the most suitable means of access and sharing.

The general guidelines below apply to both borrowing and lending institutions, and the additional guidelines that follow pertain to the exercise of the respective roles of borrowing and lending.

General Guidelines for Borrowing and Lending Institutions

1. Develop and maintain written policies and procedures for handling loans of special collections materials that adequately address the requirements for research and exhibition loans, such as those specified in these guidelines.
 - a. Such policies should be made publicly available through institutional websites and other appropriate means (such as the OCLC Policies Directory), or, at a minimum, shared upon request with potential borrowers to aid them in determining whether their requests will meet required criteria and to facilitate the preparation and communication of the request itself. It is recommended that such policies indicate their conformance to these or other similar guidelines.
 - b. Institutions should periodically review their loan policies and practices in light of evolving professional standards and their own experience in fulfilling loan requests.
2. Maintain staff with specific responsibilities for providing special collections, interlibrary loan, and exhibit preparation services and who are trained and experienced in the care and handling of special collections materials.
3. Follow clear and consistent communication and decision-making with regard to loan requests.
 - a. Borrowing and lending institutions must ensure that only authorized representatives negotiate and approve loan agreements and that their approval is properly documented.
 - b. While the configuration of staffing responsibilities may vary among institutions, all borrowing and lending institutions should establish clear delineation of responsibilities, lines of communication and decision-making protocols.
4. Ensure that all loan transactions are carefully, consistently, and thoroughly documented.

- a. All loan arrangements should be specified in a written loan agreement that is accepted and authorized by appropriate representatives of both the borrowing and lending institutions. Any modifications of the loan arrangements should also be specified and agreed to in writing by authorized representatives of both parties according to procedures specified in the original loan agreement.
 - b. Borrowing and lending institutions should use appropriate means to safeguard information contained in loan documents, such as confidential user information and facility reports, which may include details concerning institutional security equipment and practices and other confidential information.
5. Follow organized and efficient workflows for managing the loaned materials through every stage of the loan process.
6. Ensure that loaned materials are kept secure and handled and maintained under appropriate environmental conditions during all stages of the loan process and term.
7. Ensure that pertinent legal interests, whether the institution's own interests or those pertaining to any donors, depositors, subjects, or copyright holders, are protected in all loan arrangements.

Additional Guidelines for Borrowing Institutions

In general, borrowing institutions assume responsibility for the security and care of loaned materials from the time the materials leave the lending institution until they are returned to and received by the lending institution.

1. Exercise at least the same level of care towards loaned materials as the institution gives its own special collections materials.
2. Follow carefully all instructions stipulated by the lending institution in the loan agreement.
 - a. Such instructions may pertain to care and handling, rights and reproduction, citation, publication, legal responsibilities, and other relevant issues.
 - b. The borrowing institution should not allow any photocopying or other reproductions of loaned materials without the explicit permission of the lending institution, except as needed for internal documentation, as, for example, in the case of creating condition reports or exhibit mounting specifications.
 - c. The borrowing institution should not alter, clean, or repair items without the explicit permission from the lending institution.
3. Return the loaned materials in the same condition as received, using the same or equivalent packaging materials and shipping methods.
 - a. Staff responsible for the packaging, unpacking, and shipment of the materials should be instructed in the proper handling and packaging of special collections materials.
4. Notify the lending institution immediately if damage or loss occurs at any time after the loaned materials leave the lending institution.
 - a. The borrowing institution must also cooperate in the reporting to and investigation by any insuring agency, and otherwise meet their responsibility with regard to costs for repair, replacement, or appropriate compensation, in accordance with the terms of the loan agreement and the preferences of the lending institution.

Additional Guidelines for Lending Institutions

Lending institutions bear the dual responsibility of making their holdings as accessible as possible while setting conditions and methods for lending requested items that minimize the risks to the materials and inconvenience to local users. In balancing these responsibilities, lending institutions should give priority to the safeguarding and long-term preservation of the materials requested for loan.

Final authority regarding whether or not to lend requested materials, to provide reproductions, or to accept any specific loan arrangement or terms rests with the lending institution in keeping with its ultimate responsibility as the owner or legal custodian of the materials.

1. Review requests to borrow special collections materials individually, with due regard for the access, security, and preservation needs of each item.
 - a. Lending institutions should have appropriately trained personnel evaluate the condition of the requested materials prior to making a commitment to lend them.
 - b. Individuals who exercise direct curatorial responsibility for the requested materials should be involved in the approval process. In some cases, such as those involving materials with high financial and cultural value, higher levels of institutional authority may be required for final approval.
2. Ensure that the institution has proper ownership or authority to lend the requested materials.
 - a. This is especially important in cases in which loaned materials are owned by a depositor or other third party, and when materials will cross international borders and be subject to customs inspections.
3. Determine the measures needed to safeguard the materials throughout the loan process and term.
 - a. Such measures may include conservation repair or stabilization, special packaging and shipment, insurance, specified environmental conditions, and special instructions for handling and display.
 - b. The measures should be adequately described and documented in the written loan agreement.
4. Inform the borrowing institution in writing of any legal requirements or other restrictions and conditions concerning the use, display, reproduction or citation of the loaned materials.
5. Respond to all loan requests in a timely and professional manner.
6. Offer to provide appropriate alternatives, such as reproductions or related materials, in cases where it is determined that the original materials cannot be lent.

LOANS FOR RESEARCH USE

The following guidelines are specific to inter-institutional borrowing and lending of special collections for research use. They should be understood and applied in concert with the principles and general guidelines above.

Borrowing and lending of special collections for research use falls within the larger context of inter-institutional resource sharing, document delivery, and interlibrary loan operations. In most circumstances, therefore, the process will involve staff with both interlibrary loan and special collections responsibilities, who should jointly develop institutional policies and procedures in support of such lending and borrowing practices and who should conduct their borrowing and

lending work with effective communication and collaboration. These guidelines primarily address situations in which researchers who need to use special collections original source materials cannot travel to use the collections or find alternative means of access, such as digital surrogates or photocopies.

Borrowing for Research Use

A. Initiating an interlibrary loan request

1. Follow best practices for verification as outlined in the Interlibrary Loan Code for the United States (ILL Code).
2. When possible, consult with the researcher to review the need to work with the original source material requested and to present various alternatives, such as digital surrogates, that might be available.
3. Encourage researchers who need to work with original source material to travel to the repository holding the desired materials unless distance or other factors present significant hardship.
 - a. Onsite research avoids the risks and costs associated with research loans and ensures that the materials remain available for other researchers locally. It also allows researchers to take advantage of the expertise of local staff and other related research materials.
 - b. If such research travel is not feasible, researchers who wish to initiate a request to borrow for consultation at their home institution should normally be directed to their institution's interlibrary loan office rather than initiating a request with the owning repository directly.

B. Preparing the request

1. Follow best practices for preparing ILL requests as outlined in the ILL Code.
2. Ascertain the lending library's contact department or staff member for inter-institutional lending of special collections materials, and follow the requesting procedures as outlined in the lending library's policy.
 - a. Preferably, the borrowing library should submit the request to the interlibrary loan office at the lending institution, if the institution has such a unit, rather than with its special collections department or unit.
 - b. For institutions that do have interlibrary loan offices, having these offices take responsibility for interlibrary communications and loan processing will generally ensure that the loan is handled and documented through the most efficient means.
3. Verify that the borrowing institution's special collections staff are willing to accept the responsibility for holding and supervising the use of the borrowed materials during the period of the loan, in accordance with the general guidelines outlined above and any additional specific handling guidelines required by the lending institution.
 - a. Interlibrary loan staff from the borrowing institution also may wish to consult with staff in their institution's special collections department for specialized bibliographical assistance.

C. Handling loaned materials

1. Agree to abide by all loan conditions specified by the lending institution.
2. Ensure that special collections staff take responsibility for the loaned materials as soon as possible after the materials are received.
 - a. The loaned materials should not be left unsupervised in any unsecure area during receipt and while in transit to special collections.
 - b. At times the borrowing institution may specify that the material be delivered directly to its special collections department.
3. Verify that the loaned materials did not suffer any damage in transit (with reference to a condition report, if supplied).
 - a. Special collections staff receiving the materials may need to consult with a preservation librarian or conservator to verify the condition of the materials.
 - b. If any damage is suspected, staff should follow protocols outlined in the loan agreement to immediately notify their own interlibrary loan staff and the lending institution.
4. Immediately place the loaned items in a secure, environmentally-controlled special collections storage area.
5. Ensure that the materials remain in the secure storage area except for the sole purpose of providing research access for the designated researcher.
6. Provide a contained, secure and supervised reading room for the use of special collections materials.
 - a. The reading room should follow policies and procedures recommended in the ACRL/RBMS Guidelines Regarding Security and Theft in Special Collections.
 - b. Such policies should be made publicly available on the institution's website and other appropriate means and should indicate their conformance to the cited guidelines.
 - c. The researcher should work under supervised reading room conditions in accordance with local policies and any other specifications stated in the loan agreement.
7. Follow the lending institution's instructions regarding reproduction of the loaned materials.
 - a. If reproduction is permitted, it should be performed by or under the supervision of special collections staff at the borrowing institution in compliance with U.S. copyright law and any other specifications stated in the loan agreement.
 - b. The borrowing institution may, however, decline to make reproductions and may refer the patron directly to the lending institution to negotiate arrangements for reproduction following the return of the loaned materials.
 - c. The borrowing institution may permit the researcher to photograph loaned materials for research purposes using a personal digital camera only when the lending institution explicitly specifies that such use is permissible.

D. Returning loaned materials

1. Follow best practices regarding adherence to loan periods and renewals as outlined in the ILL Code.
2. Verify that the loaned materials did not suffer any damage during the term of the loan period and document the results of the inspection in a condition report or other instrument used to process the loan.

3. Promptly prepare and return the loaned materials in accordance with local policies and procedures and any other specifications stated in the loan agreement.
4. Ensure that the loaned materials are not left unsupervised in any unsecure area during preparation for shipment or transit to the shipping point.

Guidelines for Lending Institutions

A. Responding to loan requests

1. Reply within five business days, when possible, allowing time for those charged with direct curatorial responsibility for the requested materials to adequately review the request.
2. In general, lend rare and unique materials at a cost equal or comparable to the standard interlibrary loan fee, if any, charged for the loan of materials from the institution's regular circulating collections.
 - a. If the costs of shipping, insurance, conservation work, or the creation of reproductions exceed the normal interlibrary loan fee, the lending institution may require additional payment. If the amount to be charged exceeds the maximum cost specified by the borrowing institution, the lending institution should notify the borrowing institution of any additional costs and secure an agreement to pay prior to shipping the loan materials.
 - b. When it is determined that a request can best be fulfilled with a reproduction, the lending institution should provide reproductions at a cost equal or comparable to the institution's standard rate.
 - i. If requested, a cost estimate should be provided to the borrowing institution before reproductions are made.
 - ii. The lending institution may require pre-payment before processing the reproduction order. In such cases, it may be more practical to handle the request as a routine duplication transaction between the researcher and the lending institution's special collections unit and to cancel the initial interlibrary loan request.
 - iii. Unless reproductions are specifically delivered as loans, neither the borrowing institution nor the researcher should be placed under an obligation to return the reproductions to the lending institution.
3. Indicate any special conditions governing the use of loaned materials, clearly stating in the written loan agreement any restrictions or limitations on research use, citation, publication, reproduction or other forms of dissemination.
 - a. Lending institutions may limit the volume of loaned materials and the duration of the loan period.
 - b. Lending institutions are encouraged to set due dates that allow for at least thirty days' use at the borrowing institution excluding transit time.
 - c. Lending institutions may require that a use copy be made for local use while the original materials are on loan. The lending institution may choose to charge the borrowing institution for the creation of the use copy.

4. When refusing to lend or copy an item, include a specific reason (e.g., local demand, fragility, extraordinary rarity or value, too large to ship safely, etc.).

B. Preparing and delivering materials

1. Determine the means that are required to safely pack, ship, and unpack the materials.
 - a. If special means of transport, such as a fine arts handler or courier service, are required, or if special precautions must be observed in packaging or handling the materials, the lending institution should specify those terms in the written loan agreement and ensure that the borrowing institution is willing and able to comply with all such special arrangements and instructions.
 - b. The lending institution may specify that the material be returned directly to its special collections department.
 - c. The lending institution may require the borrowing institution to pay for special insurance or provide a certificate of insurance coverage.
2. Prepare and pack the items appropriately and require that all items be repacked in exactly the same manner as when they were sent to the borrowing institution.
3. Document the condition of the materials before shipment, and, if desirable and feasible, provide the borrowing institution with a written condition report for each loaned item.

LOANS FOR EXHIBITION

The following guidelines are specific to inter-institutional borrowing and lending of special collections for exhibition. They should be understood and applied in concert with the principles and general guidelines above.

Exhibitions of special collections materials enable institutions to promote awareness of their rare and unique collections, to engage new audiences, and to contribute to scholarship and lifelong learning. To convey the excitement and essence of primary sources, exhibition curators usually choose to show objects in their original form, although they may choose an appropriate and acceptable alternative in some cases.

With the focus of exhibitions on display of the artifact, practices for lending special collections materials for exhibition have developed in a different context than the interlibrary loan-influenced lending for research use. Exhibition loans for special collections materials have been strongly influenced by museum exhibition loan practices.

Guidelines for Borrowing Institutions

A. Initiating an exhibition loan request

1. Allow sufficient time for the lending institution to consider a loan application, to negotiate conditions, and to carry out the required activities, such as conservation work, appraisals, and board approval.

- a. Typically, the lending institution will require loan requests to be submitted six months in advance of date required, sometimes twelve months in the case of larger institutions and loans involving numerous items.
 - b. Additional time may be required if formal approval of a board or committee is required or if the item(s) requested must be conserved or restored.
 - c. For international loans, a minimum of one year is recommended (see Additional Considerations, below).
2. Obtain information from the lending institution to facilitate the preparation of the loan request.
 - a. Before officially initiating an exhibition loan request, exhibition staff from the borrowing institution may make informal inquiries about the exhibition loan process and the materials to be requested. They may also make arrangements to view and study the materials firsthand at the owning institution or request reproductions for local review.
 3. Be prepared to assume responsibility for all potential costs associated with the loan prior to initiating a formal request (see Additional Considerations, below).

B. Preparing the request letter and loan agreement

1. Make the request for the exhibition loan in writing.
 - a. The request letter should be signed by the director, department head, or curator of the borrowing institution, as appropriate, and addressed to the appropriate staff member of the lending institution (see Appendix III for outline of suggested information to include—[not yet included]).
2. Include a document describing the institution's exhibition program and facilities (typically called a facility report).
 - a. The facility report should use or follow the standard form published by the American Association of Museums (see Appendix II for a sample facility report outline and information on how to obtain copies of the standard facility report published by the American Association of Museums).
 - b. For traveling exhibitions (i.e., those involving multiple venues), a separate report should be submitted for each host institution.
3. After establishing mutual agreement on all the elements of the loan, have a formal loan agreement form signed by appropriate representatives from each institution.
 - a. Whether the loan agreement form is provided by the borrowing or lending institution, the choice of which loan agreement form to use should be governed by the lending institution's preference.
 - b. Before adopting any loan agreement form, an institution should have it reviewed by its legal counsel and risk management office or insurer (see Appendix III for a sample loan agreement form).

C. Handling loaned materials

1. Follow the instructions and requirements of the lending institution for security, care, and handling of the materials during transport, storage, and exhibition.

2. At the lending institution's request, insure the object at the value specified by the lending institution on an all-risk, wall-to-wall basis.
 - a. The borrowing institution's insurance policy normally will specify that the insured sum represents the true replacement value and that in case of damage, depreciation, or loss there will be no recourse rights in the law to packers and carriers.
 - b. The insurer will also typically be required to issue a certificate of insurance naming the lending institution as an additional insurer before the objects will be released to the borrowing institution.
 - c. Many potential scenarios may arise, ranging from outright total loss of an object to varying degrees of damage to it. In the best interests of both institutions, it is advisable that they agree to an arbitration procedure to cover such eventualities before the loan is made. The arbitration procedure should be specified in the loan agreement.
 - d. Because of potential conflicts of interest, the borrowing institution should not accept an insurance appraisal made by the lending institution's staff and should instead insist on having an appraisal performed by a qualified outside appraiser.
 - e. Indemnity for domestic and international loans may be secured through the National Endowment for the Arts Arts and Artifacts Indemnity Program (see Appendix I and Additional Considerations, below).
3. Inspect the materials upon receipt, comparing them with the condition report provided by the lending institution, and record the condition of the materials.
 - a. Any damage or discrepancies must be reported immediately by telephone and subsequently in writing to the lending institution.
 - b. If no condition report is provided by the lending institution, the borrowing institution should create one for each item upon receipt.
 - c. This process should be repeated at each venue for traveling exhibits.
4. Do not alter, clean, or repair items in any way, unless specific advance permission has been obtained in writing from the lending institution.
5. Mount and display the loaned materials in accordance with the terms and instructions specified in the loan agreement. If any modifications to those terms are desired, the borrowing institution must request and obtain in writing permission to perform the modifications in advance of performing them.

D. Returning loaned materials

1. Promptly de-install, pack, and return the loaned materials in accordance with local policies and procedures and any other specifications stated in the loan agreement.
 - a. The loaned materials should not be left unsupervised in any unsecure area during preparation for shipment or transit to the shipping point.
2. Prior to packing, inspect and verify that the loaned materials did not suffer any damage during the term of the loan period and document the results of the inspection in a condition report or other appropriate loan document.

Guidelines for Lending Institutions

A. Determining loan conditions

1. Determine whether the requested materials can be safely and appropriately lent for exhibition.
 - a. Any number of factors may be considered, such as fragility, the home institution's simultaneous need for the item, etc. Typically, staff members with curatorial and conservation responsibilities will consult and weigh the factors.
 - b. Others, such as senior administrators and the institution's governing board, may also need to be involved in approving exhibition loan requests.
2. [add something about determining the conservation and other exhibit-preparation work that the lending institution must accomplish before the item is lent.]
3. Specify in the written loan agreement all of the conditions required to ensure the appropriate security, care, and handling of the materials during transport, storage, and exhibition.
 - a. The lending institution will normally request the borrowing institution to make appropriate transportation arrangements. Full details of transportation should be determined in advance and documented in the loan agreement. The lending institution may refuse to send material with a carrier if it is not satisfied that the carrier can meet its transportation requirements.
 - b. Depending on the value and condition of the loaned materials, the lending institution may allow them to be sent by a standard or overnight carrier so long as the carrier can provide full tracking, delivery confirmation, and insurance services..
 - c. For larger, more fragile, or more valuable items, the lending institution may require that a qualified fine arts shipping agency be used, providing specially trained personnel and equipment such as temperature- and humidity-controlled trucks with adequate theft protection.
 - d. The lending institution may determine that the loaned materials need to be accompanied by a designated courier, such as a staff member from the lending institution. The lending institution may also require that the courier be present at all times during the transport, unpacking, mounting, installation, removal, and repacking of the borrowed material.
 - e. [add something here about exhibition conditions – i.e., general statements about the need to specify the lighting, temperature, humidity and other conditions under which each item may be displayed and the length of time that time may remain on exhibit, making reference to conservation guidelines cited in Appendix I—not currently included.]
 - f. [add something here about specifying the loan term and the process for requesting extensions.]
 - g. Require that the loaned materials be repacked in exactly the same manner as the original shipment.
4. The lending institution should also specify any other loan requirements, such as:
 - a. whether the loaned materials may be cited or published, and under what conditions,
 - b. whether the loaned materials can be reproduced in any way for publicity or other purposes while under the care of the borrowing institution (see Additional Considerations, below).

- c. whether the borrowing institution may make the loaned materials available for consultation by scholars prior to or following their display in the exhibition, and under what conditions,
- d. whether to require a study copy be made for use in the lending institution while the original is on loan,
- e. whether it reserves the right to recall an item before the agreed-upon return date and under what circumstances it may do so,
- f. whether to require that the borrowing institution provide information pertaining to accreditation and governance, policies concerning public access to exhibitions, and compliance with the Americans with Disabilities Act.

B. Preparing and delivering materials

1. Prepare the materials appropriately for travel and exhibition.
2. Document the condition of the materials before shipment.
 - a. [Create a condition report for each item and include it with the loan agreement and documentation.]
 - b. [The condition report should describe the overall condition of each item with a detailed description of the condition of that portion of the material that will be on view. If possible, a current photograph should be attached to the condition report.]
 - c. [Cite an Appendix for a sample Condition Report form – not yet added]
3. Assign a confidential valuation to each loaned item for insurance purposes.
 - a. The lending institution may require that the borrowing institution pay for an appraisal by a qualified outside appraiser.
 - b. Before shipping or releasing the item, the lending institution should receive a certificate of insurance from the borrowing institution's insurance company, indicating that insurance coverage is and will remain in full force for the duration of the loan period. The certificate should include a statement of the policy's standard exclusions.

Additional Considerations Regarding Loans for Exhibition

A. International loans

Lending to countries outside the United States will require the assistance of a reputable customs broker who should be contacted well in advance of the loan arrival date. Customs formalities and the provision of export licenses are the responsibility of the borrowing institution. Objects should not be unpacked in transit for customs inspection, but passed through in bond to the exhibition site.

When borrowing from a foreign country, it is the borrowing institution's further responsibility to meet the courier upon arrival, to have a customs broker on hand, and to escort the courier to the exhibition site.

Indemnity for international loans may be secured through the National Endowment for the Arts. Arts and Artifacts Indemnity Program (see Appendix I).

B. Acknowledgements, Reproduction, and Permissions

The borrowing institution should give full credit to the lending institution in all interpretive materials and publicity concerning the exhibition, such as labels, printed or digital catalogs, brochures, Internet distribution, press releases, and announcements. Lending institutions may require specific wording of credit lines, possibly including donor information. The borrowing institution should properly describe each object and correctly use the citation text provided by the lending institution.

The borrowing institution should be certain to obtain written permission in advance from the lending institution before any lent material is reproduced, distributed, transmitted, or used in any way other than being placed on exhibition. Some institutions insist that all reproduction work, such as photography or digitization, be done before the material is released for loan. If reproduction by the borrowing institution is permitted, the lending institution may set specific conditions for the handling of materials. All plans for Internet reproduction of exhibited materials should be discussed with the lending institution as early as possible in the loan request process. The lending institution may require that links be created from the borrowing institution's exhibition web site to their own web site as appropriate and may specify a resolution limit or watermark protection for images.

For printed exhibition catalogs, it is a common courtesy to provide the lending institution with a complimentary copy. Some institutions may require that one or more copies be provided as a condition for making the loan.

In authorizing the reproduction of material from its collections, the lending institution should specify that it does not surrender its own right to reproduce an image or to grant permission to others to do so. The borrowing institution should be aware that in most cases the lending institution is the owner of the physical object only and does not own copyright or other intellectual property rights to the lent item. The borrowing institution, therefore, may need to secure permission from persons, corporations, or other legal entities that may own or claim such rights.

C. Expenses

The borrowing institution should be prepared to assume all costs of the loan. It is, however, the responsibility of the lending institution to give the borrowing institution a reasonable estimate of all of the costs involved in the loan of each item. This should be done as soon as possible after the request has been received. These may include:

- **Transportation costs:** The borrowing must generally pay all packing and crating fees, freight, customs charges and broker fees, and courier expenses.
- **Insurance:** If a lending institution will not accept the borrowing institution's insurance coverage and requires that the loan be insured under the lending institution's own policy, the borrowing institution may be charged for a pro-rata share of the premium.
- **Security/study copy:** The lending institution may require that a reproduction, such as microfilm, digitized copy, photographic negative, slide or transparency, be made at the

borrowing institution's expense before material is removed from the lending institution's institution. It may also charge a reproduction fee, according to its stated policies. Lending institutions are advised to develop a policy and fee schedule for the reproduction of material from their collections that can be used in this instance.

- Conservation and mounting: The borrowing institution may be expected to pay for any conservation and mounting work deemed necessary by the lending institution to make the material ready for exhibition and/or for travel, including repairs, rebinding, matting and framing, the manufacture of special boxes, packing mounts, and display cradles.
- Loan fees: Lending institutions may impose administrative loan fees to offset direct and indirect costs associated with processing loan requests. Lending institutions should develop and publicize a schedule of any such fees and apply them equitably. The fees may vary depending on the number of items requested and may be differentiated according to lender categories (e.g., public vs. private institutions, consortial vs. non-consortial partners, etc.).
- Other fees: The borrowing institution may be required to pay for lending institution staff time involved in the selection of material, for insurance appraisals by outside experts, for a site visit by the lending institution to view the facilities of the borrowing institution, and other administrative costs as determined by the lending institution. A lending institution may also charge a cancellation fee if the borrowing institution withdraws its request once the loan agreement has been signed. Additionally, in the event of a cancellation, the borrowing institution may also be required to reimburse the lending institution for any direct item preparation and conservation costs incurred up to the time of cancellation.

APPENDIX I

Interlibrary Loan Code for the United States

ALA/RUSA, *Interlibrary Loan Code for the United States*, prepared by the Interlibrary Loan Committee, Reference and User Services Association (RUSA), 1994, revised 2001. Revised 2008, by the Sharing and Transforming Access to Resources Section (STARS):
<http://www.ala.org/ala/mgrps/divs/rusa/resources/guidelines/interlibrary.cfm>

Explanatory supplement:

<http://www.ala.org/ala/mgrps/divs/rusa/resources/guidelines/interlibraryloancode.cfm>.

Other Resources

ACRL Code of Ethics for Special Collections Librarians:

http://www.rbms.info/standards/code_of_ethics.shtml

ACRL Competencies for Special Collections Professionals:

<http://www.ala.org/ala/mgrps/divs/acrl/standards/comp4speccollect.cfm>

ACRL/RBMS Guidelines Regarding Security and Theft in Special Collections:

http://www.ala.org/ala/mgrps/divs/acrl/standards/security_theft.cfm

These guidelines identify important issues that collection administrators should address in developing adequate security measures and a strategy for responding to thefts. While directed primarily toward special collections in the U.S., many topics are also applicable to general collections and to special collections in other countries.

ALA-SAA Joint Statement on Access to Research Materials in Archives and Special Collections.

Hosted on the websites of the Society of American Archivists and the American Library Association at:

<http://www.archivists.org/statements/ALA-SAA-Access09.asp>

<http://www.ala.org/ala/mgrps/divs/acrl/standards/jointstatement.cfm>

(see section 4.f: “Repositories may, under special circumstances, lend or place on deposit with another repository part or all of a collection. In such cases, repositories have the responsibility to publicize the unavailability, including length of time, of collections due to loans.”)

Code of Ethics of the American Library Association

American Association of Museums. *General Facility Report* (formerly *Standard Facility Report*). / AAM Registrars Committee, 2008. Available for purchase from the AAM web site (<http://www.aam-us.org>).

Environmental standards for exhibitions may be consulted in *Environmental Conditions for Exhibiting Library and Archival Materials*. ANSI/NISO Z39.79-2001. Bethesda: NISO Press, 2001. ISBN: 10880124-44-0; ISSN 1041-5653. Available on-line at: <http://www.niso.org/standards/resources/Z39-79-2001.pdf>.

International Federation of Library Associations (IFLA), *International Resource Sharing and Document Delivery: Principles and Guidelines for Procedure* (rev. Feb. 2009): <http://www.ifla.org/files/docdel/documents/international-lending-en.pdf>

National Endowment for the Arts. Arts and Artifacts Indemnity Program: Domestic Indemnity. <http://www.nea.gov/grants/apply/Indemnity/Domestic-Indemnity.html>

National Endowment for the Arts. Arts and Artifacts Indemnity Program: International Indemnity. <http://arts.endow.gov/grants/APPLY/Indemnity/indemnityInternational.html>

NISO Physical Delivery Working Group website: <http://www.niso.org/workrooms/physdel>

OCLC Policies Directory: <https://illpolicies.oclc.org>.

The OCLC Policies Directory is the repository of lending and copying policies of libraries participating in WorldCat Resource Sharing. You need an OCLC ILL authorization and password to use the Policies Directory.

OCLC SHARES, *Wrapping and Packaging Guidelines*: (SHARES is currently working on an updated version of this document). <http://www.oclc.org/programs/shares/packaging.pdf>.

APPENDIX II

Standard facility report

The American Association of Museums (AAM) has adopted a General Facility Report (formerly, *Standard Facility Report*) that borrowers are encouraged to use or adapt (978-1-933253-10-7). The current edition includes a PDF version of the Report on CD-Rom and is available for purchase from the AAM web site (<http://www.aam-us.org>).

Outline for facility report prepared by borrowing institution

The report can be organized under eight basic headings:

1. The borrower

State full name of institution, address, fax and telephone numbers. Briefly describe the nature of institution. Indicate size of the staff and name(s) of staff member(s) in charge of the exhibition.

2. The building

Indicate date and type of building construction, size of the exhibition space, and its location within the building.

3. Fire protection

Describe in detail the fire detection and fire extinguishing/suppression system. The lending institution should decide what kinds of fire alarm systems and fire extinguishing/suppression systems are acceptable. For example, most institutions will not lend rare materials if an exhibition area fire alarm signal does not go directly to a central station. Some will not lend if it is protected by a sprinkler system; gas or dry powder systems may be preferred.

4. Security

Describe how items on exhibition will be properly safeguarded against theft or damage. Describe the exhibition cases and locks and the method by which framed items are mounted on the wall. Describe the intrusion alarm system in the exhibition area. If security staff are employed, give the number of security staff employed and the number on duty at any time. Indicate the days and hours that the exhibition will be regularly open. Indicate whether food and drink are ever allowed in the exhibition area, whether the space is rented to outside organizations, and if any other use is made of the space other than for exhibition viewing.

5. Environment

Indicate the range of temperature and relative humidity in the exhibition areas and the areas for packing and storage. Indicate the maximum variation percentage within a 24-hour period for

temperature and relative humidity in those areas and how the readings were measured. Describe the types of monitoring equipment used, giving evidence of specific and well-calibrated measurements. The borrowing institution may be required to provide dated temperature and humidity records before and/or throughout the loan period.

Describe the lighting in the exhibition area. Identify the types of lighting fixtures in the exhibition and work areas and provide the exact light levels in foot-candles, indicating how these readings were taken. Explain how items on exhibition will be protected from ultra-violet radiation from natural or artificial sources in the exhibition and work areas.

6. Handling the lent objects

Indicate that the institution will use proper, accepted, professional standards at all stages of the exhibition process, including meeting lender's requirements concerning such matters as matting, framing, or the fabrication of custom cradles.

7. Insurance

Describe the borrowing institution's fine arts insurance coverage and give the name of the insurer and broker. Offer to provide a copy of the policy if requested.

8. References and Loan History

Give a list of other institutions, with names of contacts, that have lent items to the borrowing institution for recent exhibitions.

APPENDIX III

MODEL FOR LOAN AGREEMENT FORM

This form should be on letterhead—or give borrower's name, address, phone, fax, email address in a heading--and provide ample space in which to type information requested.

EXHIBITION:

Specify title, location(s), inclusive dates of loan.

LENDER:

Name;

Address;

Contact person (with telephone at work and home, fax, email address);

Exact form of lender's name for catalog, labels, and publicity.

ITEM(S) TO BE LENT:

Author/artist (with dates, if known);

Title or description (as appropriate);

Imprint and date(s) (as appropriate);

Lender's call number or accession number;

For art work, location of date (if any);

For art work, form and location of signature (if any);

Medium/material and support;

Specify how you wish to exhibit the item, such as the page opening for bound material.

Dimensions of item alone (height, width, depth, weight);

Dimensions of item with mat, frame, base or required cradle, if any (height, width, depth, weight);

Condition, noting existing breaks, tears, scratches, abrasions, paint losses, other insecurities or defects in the work (if necessary a separate sheet of paper can be attached to form).

SPECIAL INSTRUCTIONS:

For art work, may borrower reframe or remat? (yes/no);

Substitute Plexiglas for glass? (yes/no);

Date by which loans are to reach the borrower (borrower will be in contact with lender regarding shipping arrangements);

Other instructions for packing, transport, and installation.

INSURANCE

Also see Legal Conditions, stated below.

Does lender prefer to maintain insurance? (yes/no); If yes, state the estimated premium to be charged to borrower; If no, state the insurance value (fair market value) in U.S. currency.

PHOTOGRAPHS AND REPRODUCTIONS

Unless permission is declined here, it is understood that this item may be photographed, digitized, videotaped, telecast, and reproduced for publicity purposes connected with this exhibition and for illustrations in a catalogue or other publication, printed or electronic, and that reproductions of it may be made and distributed for educational use;

May borrower reproduce item in a catalogue or brochure? (yes/no); a web site? (yes/no); for publicity? (yes/no); for educational purposes? (yes/no);

Which of the following are available from the lender: black and white photographs? (yes/no); color transparencies? (yes/no); digital file? (yes/no); slides, postcards, or other reproductions for public sale? (yes/no);

Does lender hold exclusive copyright? (yes/no); if no, whom might borrower contact to acquire reproduction rights?

LEGAL CONDITIONS OF THE LOAN AGREEMENT

1. [Insert name of borrowing institution] (the “Borrower”) will exercise the same care with respect to the object referred to (the “work”) as it does in the safekeeping of comparable property of its own.
2. The work shall remain in the possession of the Borrower and/or the other institutions participating in the exhibition for which it has been borrowed (the “participating institutions”) for the time specified, but may be withdrawn from such exhibition at any time by the Borrower and/or of any of the participating institutions. The work will be returned only to the Lender at the address stated unless the Borrower is notified by the Lender in writing to the contrary. If the legal ownership of the work shall change during

the duration of the loan, whether by reason of death, sale, insolvency, gift or otherwise, the new owner or agent may, prior to its return, be required to establish this legal right to receive the object by proof satisfactory to the Borrower.

3. Unless the Lender chooses to maintain insurance, the Borrower will insure the work on a wall-to-wall basis under a fine arts policy for the amount specified above by the Lender against all risk of physical loss or damage from any external cause while in transit and on location during the period of this loan. Note that the Borrower's fine arts policy may contain the usual exclusions for loss and damage to the work due to wear and tear, gradual deterioration, insects, vermin, inherent vice, damage resulting from any repairing, restoration, or retouching process, nuclear reaction, radiation or radioactive contamination, and risks of war and that, in the event of loss or damage, recovery may be limited to such amount, if any, as may be paid by the insurer, hereby releasing the Borrower, each of the participating institutions, and the Trustee officers agents and employees of the Borrower and of each of the participating institutions from liability for any and all claims arising out of such loss or damage.
4. If the Lender chooses to maintain insurance coverage, then, prior to the shipment of the work the Borrower must be supplied with a certificate of insurance naming the Borrower and each of the participating institutions as an additional insured or waiving subrogation against the Borrower and each of the participating institutions. If the Lender shall fail to supply the Borrower with such a certificate, this loan agreement shall constitute a release of the Borrower and of each of the participating institutions from any liability in connection with the work. The Borrower cannot accept responsibility for any error or deficiency of information furnished to the Lender's insurer or for any lapses in coverage.
5. It is understood that the Borrower will not unframe, clean, restore, or otherwise alter the work without the express consent of the Lender. Evidence of damage to works in transit or while in the Borrower's custody will be reported immediately to the Lender.
6. The Borrower's right to return the work shall accrue absolutely at the termination of the loan. If the Borrower, after making all reasonable efforts and through no fault of its own, shall be unable to return the work within sixty days after such termination, then the Borrower shall have the absolute right to place the work in storage, to charge regular storage fees and the cost of the insurance therefore, and to have and enforce a lien for such fees and cost. If, after five years, the work shall not have been reclaimed, then, and in consideration for its storage, insurance, and safeguarding during such period, the work shall be deemed an unrestricted gift to the Borrower.
7. The Borrower accepts this agreement on the understanding that the Lender has full authority to enter into such an agreement as the legal owner of the work or authorized agent of the owner.

THE CONDITIONS OF THIS LOAN AS STATED ABOVE, ARE ACCEPTED:

[To be signed and dated by representatives for the Lender and the Borrower.]

APPENDIX IV

The present guidelines are the result of the merger and revision of two earlier guidelines that were developed and approved by ACRL: *Guidelines for the Interlibrary Loan of Rare and Unique Materials* (2004; 1994) and *Guidelines for Borrowing and Lending Special Collections Materials for Exhibition* (2005).

ACRL/RBMS, *ACRL Guidelines for the Interlibrary Loan of Rare and Unique Materials*, published in *C&RL News* in October, 2004:

<http://www.ala.org/ala/mgrps/divs/acrl/standards/rareguidelines.cfm>

ALA/ACRL, *Guidelines for Borrowing and Lending Special Collections Materials for Exhibition* (rev. Jan. 2005): <http://www.ala.org/ala/mgrps/divs/acrl/standards/borrowguide.cfm>

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