

OCLC Policies Directory Quick Reference

Introduction

The OCLC Policies Directory is the repository of lending and copying policies of libraries participating in WorldCat Resource Sharing.

This document provides an overview of the OCLC Policies Directory as well as a list of information you should bring to your workstation when preparing to enter your policies, contacts, and institution information into the Policies Directory.

The location of the OCLC Policies Directory is: <https://illpolicies.oclc.org>. There is also a link to the Policies Directory from WorldCat Resource Sharing and the WorldCat Services Administrative Module. Using your OCLC ILL authorization and password, log on to either WorldCat Resource Sharing (<http://www.firstsearch.org>) or the WorldCat Services Administrative Module (<http://www.firstsearch.org/admin/>), and click the **Policies Directory** link at the upper right of any screen.

Overview

The Policies Directory provides two main functions to enhance your workflow. First, it provides a way to search resource sharing libraries by OCLC institution symbol or name and group symbol or name. **Note:** The Policies Directory contains only groups profiled by OCLC.

The second function of the Policies Directory is to enable you to enter and display information about:

- Your lending, copying and deflection policies
- Your resource sharing supplier status
- Your library collections
- Your library schedules
- Contacts at your library

Help System

The Policies Directory contains a help system, available at the Help link in the upper right corner of each screen.

When not logged in, the help is available here:

<http://www.oclc.org/support/help/policies/>.

Browser Requirements

Internet Explorer: The Policies Directory supports versions 7 and higher.

Firefox: The Policies Directory supports versions 3.5 and higher.

If you are operating with an older version than those listed, upgrade your browser.

Logging On

Log on to the OCLC Policies Directory at <https://illpolicies.oclc.org/>. You need an OCLC ILL authorization and password to use the Policies Directory.

You may be prompted to update your policies periodically.

Searching

You can search by any combination of criteria (you are not required to search by institution or group). For example, you can search for all OCLC suppliers that support rush handling in California and bill with OCLC IFM.

WorldCat Registry data is updated hourly

If you change any data in the WorldCat Registry, users searching the Policies Directory will not see the changed data until after the hourly update.

Institution or group

Choose the type of search from the **Search by** list, then type the corresponding name of the institution or group or the symbol of the institution or group.

Search by	Description	Note
Name (institution or group)	The name of the institution or group	Due to the variety of abbreviations used in names, wildcards are recommended when searching by name. For example, Ohio State univ*
Institution symbol	The three-five character OCLC symbol of the institution	Only exact matches are retrieved. Searching for ORE results in ORE, not VOREL, OREVE, FORES, etc.
Group symbol	The four-character OCLC symbol of the OCLC-profiled group	

Search guidelines

Search phrases are case-insensitive. Articles and most punctuation are ignored. Special characters (such as (and &)) are treated as spaces.

Wildcard characters

? matches any single character

* matches zero or more characters

Search strings that do not contain wildcards search for that string anywhere within the result (not just a result that begins with that string).

How to Search

Note: The options in steps 3 and 4 do not apply to group name searches.

Step	Action
1	From the Search by list, choose what you want to search for (institution symbol or name, group symbol or name). Note: Symbol searches retrieve exact matches only. If a group symbol is found, all its members are listed on the search results screen.
2	Type the name or symbol of the institution or group (based on your choice in step 1).
3	Geography. (Country; State (USA)/province (Australia, Canada); City) Institution Type. Each library can choose a single type to describe itself. OCLC supplier. Libraries that lend using the OCLC ILL system. Rush Supported. Libraries that will expedite requests. Note: Rush handling often costs more than normal handling. International lender. Libraries that lend to countries other than their own. Group affiliation. To limit search by group, the group must be profiled by OCLC. Note: These options do not apply to group name searches.
4	Policy Information options. Format. Limit search by material type or physical manifestation of the item. Request Method. Limit search by request method (means by which ILL requests are accepted by the library). Delivery Method. Limit search by delivery method (service used or means by which items are delivered to a library). Billing Method. Limit search by billing method (service used or means by which a library will request payment for ILL transactions). Note: These options do not apply to group name searches.
5	Click the Search button. Click Reset to clear all data you entered.
6	The Search Results screen displays. Note: The maximum number of search results is 5000.

Search results

This screen lists any matches from a search, up to 5000. Search results display as follows.

Hourly update of WorldCat Registry data. Fields marked with an asterisk (*) in the Profile Information section contain data from the WorldCat Registry. The Policies Directory updates this data on an hourly basis. If you change any data in the WorldCat Registry, users searching the Policies Directory will not see the changed data until after the hourly update.

Display symbols

Search results screens that list institution symbols have a **Display Symbols** button (above and below the search results table) that displays all retrieved institution symbols in a window from which you can copy them.

Symbol search results

Search	Type of matching	Kind of search result displayed	Display symbols on search results screen?
Institution symbol	Exact match (one result or nothing)	Institution profile displays, if found	No
Group symbol		If group found, all symbols of group members displayed	Yes

Name search results

Search	Type of matching	Actions	Display symbols on search results screen?
Institution name	List of results	Click institution name to display profile	No
Group name	List of results	In institution column, click number to display all symbols of group members	Yes (if number in institution column has been clicked)

Return to tabs from search results

To return to the Profile tab (and the other tabs), click the institution name in the upper right corner of the screen.

Profile Information

The Profile tab provides a summary of your institution's information. The table below indicates where the information is stored. Asterisks (*) indicate that data in the field comes from the WorldCat Registry (*Not Defined* indicates the data is absent). To change this data, log on to the Registry.

Summary fields

Field	Description
Name (symbol)*	Library's name, as it would appear on a shipping label or billing address.
Also called*	Library is also called by this name.
Location*	City, state/province, postal code, country
Shipping Address	The library's mailing address, as defined on the Contacts tab
Institution Type*	The library's description of itself (one type per library)
OCLC Supplier	Indicates whether the library lends through WorldCat Resource Sharing. Possible conflict between statuses: See Changing Supplier Status section on page 8.
Non-circulating	Materials, formats, or collections that are not lent out.
Periods	Length of time items are loaned or renewed, as defined on the Policies tab. The shortest and longest periods on the Policies tab show up here.
Fees	The range of costs to the borrower of loans or copies, as defined on the Policies tab.
Request method	Methods used by borrower to request loan or copy of an item, as defined on the Policies tab.
Delivery method	Methods used by lender to send requested item, as defined on the Policies tab.
Group affiliation	Groups of which the library is a member. Defined by OCLC and the library.
International Lender	Countries the library will lend to (in addition to the country in which the library is located), as defined on the Policies tab.

Details fields

Asterisks (*) indicate that data in the field comes from the WorldCat Registry (*Not Defined* indicates the data is absent). To change this data, log on to the Registry.

Field	Description
Ariel® address	The library's Ariel FTP and email addresses, as defined on the Contacts tab.
Illiad Odyssey address	The library's Illiad/Odyssey FTP address, as defined on the Contacts tab.

Additional Symbols*	OCLC symbols of libraries within or affiliated with the institution.
Library Catalog (URL)*	The institution or library's Web-accessible catalog.
Library Homepage (URL)*	The institution or library's main Web site address.
Lending URL*	The internet address of the part of the library responsible for lending.
FEIN*	Federal Employer Identification Number (also known as Federal Tax Identification Number). A nine-digit number issued by the Internal Revenue Service to track a business's tax returns.

Collections

You can create descriptions of each collection that you supply (or do not supply) to borrowing libraries. If you have a URL link to a collection's description, enter it on the Collection tab.

If you enter collections on the Collections tab, they are also available on the Policies tab for selection in creating copy and loan policies.

Contacts

You can create multiple contacts. We highly recommend that you maintain current contact information.

Have the following information available:

- A list of contacts for interlibrary loan or document delivery. List contacts for lending and borrowing. In many cases, this contact may be one person. Other contacts might be in billing, returns, general, etc. A complete list of contact types is located in the drop-down box on the Add Contacts workflow.
- Each contact's phone, e-mail, fax or other communication numbers or addresses.
Note: You may list as much contact information as each contact wishes to be made public.
- Addresses for each contact, if they differ from the main shipping address.

Schedules

List your department's normal operating hours and any closures, such as holiday breaks, regular "closed" days, etc.

Possible conflict between statuses. See Changing Supplier Status section on page 8.

Creating Copy or Loan Policies

Use the OCLC Policies Directory to explain your lending policies. For example, you can create a loan policy for libraries within your state or consortia for which you have a special reciprocal relationship. You may also list a copy policy for libraries outside your state with which you may not have any lending relationship. In that case, charges may apply and can be included.

Tip: If you are a reciprocal lender, enter **Reciprocal Lender** as the policy name so that other lenders can find this information easily.

When entering your policies, have the following information available:

- The different groups to whom you lend. Include them in your policies. Only groups that have been profiled by OCLC will display.
- The fees that you charge to libraries for your ILL services. These may include flat or per item/page/exposure charges, taxes, shipping, service or rush fees. You may always indicate a zero charge in any policy. Enter 0.00 in the fee field if there is no fee.
- The billing methods that you support. These may include IFM or “invoice with item” methods, for example. If you have more than one method, they are listed in order of preference, with the first being the most preferred.
- The delivery methods that you support. These could include USPS, courier or commercial services, such as UPS or FedEx.
- Specific loan and renewal periods.

To add or edit a copy or loan policy:

Step	Action
1	Click the Policies tab.
2	Click either Copies or Loans for which type of policy you would like to create.
3	Click Add or Edit . The workform appears.
4	Type the policy name.
5	<p>Copies</p> <p>Copy type. The type of copy the policy applies to. Note: Policies based on a single copy type are often easier to understand than those that apply to multiple copy types.</p> <p>Loans</p> <p>Loan item maximum. The maximum number of items loaned.</p> <p>Loan period. The length of the loan.</p> <p>Loan fee. The cost of the loan to the borrower.</p> <p>Renewal maximum. The maximum number of times a loan can be renewed.</p> <p>Renewal period. The length of the renewal period.</p>
6	Fees

	<p>Increment. The unit of measurement (page, exposure, item)</p> <p>Minimum/maximum. The number of copies available per Fee. Note: To indicate a flat fee, fill in Fee, but leave Minimum and Maximum blank.</p> <p>Currency. The monetary unit used to charge fees.</p> <p>Tax included. Indicates if tax is part of fee or not.</p> <p>Tax type. Rate (per cent) or fee.</p> <p>Tax. The amount of the tax.</p> <p>Reciprocal. The kind of reciprocal agreement (fee vs. free), if any.</p> <p>Example</p> <p>A policy for copying the first 10 items at \$2 and the next 10 at \$8 would be recorded in two rows: Increment: Item; min: 1; max: 10; fee: \$2 Increment: Item; min: 11; max: 20; fee: \$8</p>
7	<p>Borrowers</p> <p>Groups. The groups the policy applies to and any exceptions.</p> <p>Library type. A description chosen by the library.</p> <p>Locations. The locations the policy applies to and any exceptions.</p>
8	<p>Items</p> <p>Collections. The collections the policy applies to and any exceptions.</p> <p>Formats. The formats the policy applies to and any exceptions.</p> <p>Restrictions. Any conditions that restrict the use of the item.</p>
9	<p>Details</p> <p>Methods and their fees are listed in order of preference.</p>
10	Click Save .

Creating Deflection Policies

Deflection is applied to the lender string to ensure that an unfilled request does not remain in Request Manager in WorldCat Resource Sharing as **Pending**, waiting for potential lenders to manually deny the request. Deflection is not the same process as filtering.¹

If the borrower returns to the request after it has been placed, the asterisk indicating the current lender will have moved to the next lender. The Request History will indicate the Reason for No:

- Auto-Deflection: Format Type
- Auto-Deflection: Profiled Group (covers profiled groups and Custom Holding Groups)
- Auto Deflection: Maximum Cost
- Auto Deflection: Age of Material
- Auto Deflection: Multiple Reasons
- Auto Deflection: Request Type

Deflection may be based on the request service type, local holdings, format type, OCLC profiled group membership, Custom Holding Group, maximum cost and material age in years. Exceptions can also be set, based on format type, OCLC profiled group membership, and Custom Holding Group. The default setting is for no deflection policies to be set.

If you have multiple deflection policies, requests will be processed in the order the policies are created.

The hierarchy for deflection is:

1. Non-supplier status—if a lender is a non-supplier, nothing can be loaned or copied
2. Local Holdings Record (LHR)—bytes 20 and 21 override deflection settings
3. Deflection Type—enabled or disabled
4. Deflection Profile—deflection by policies set up in the Policies Directory

¹ Filtering is a process that chooses lenders based on holdings data and other information from the holdings record before the request is created (produced). It takes place before the lender string is built. The Policies Directory is not involved with this processing.

Note: Filtering impacts the lender string that is created, i.e., a symbol can be excluded from the lender string based on the filter that is applied. The only filtering that WorldCat Resource Sharing supports is the filtering of custom holdings paths/groups based on volume and year data in the local holdings record.

How it works

A simple scenario for deflection by format would be:

1. The borrowing library creates a request choosing lenders that appear to be suppliers for the material.
2. WorldCat Resource Sharing (WCRS) searches the first lender's policies in the Policies Directory to see if they will loan that format. For example, the format is "musical score" and the first lender has created a deflection policy to indicate that it does not loan musical scores.
3. WCRS gets that answer from the Policies Directory, and instead of the lender getting the request as Pending, it skips that lender and automatically deflects to the next lender.
4. WCRS goes back to step 2 above, and the request moves through the string until it identifies a lender that might supply it.

Deflection Exceptions

If you select Format, OCLC Group (profiled group), or Custom Holding Group as deflection criteria, you cannot select those criteria as exceptions.

Example policy	Deflection option(s) selected	Exception criteria available
I do not loan e-serials.	Format	OCLC Group
I do not loan e-serials to profiled group XXXX.	Format OCLC Group	
I do not loan to profiled group XXXX.	OCLC Group	Format
I charge \$15.	Borrower Maximum Cost	Format OCLC Group
I loan books only.	Format ²	OCLC Group
I loan books only.		Format ³ OCLC Group
I only loan to all members of group XXXX.		Format OCLC Group ⁴

² **Note:** There are two ways to create this policy. Here all formats are selected for deflection except for "book." This is a listing of all formats not loaned.

³ No deflection criteria are selected. Service type "loan" with no deflection criteria indicates that no formats are loaned. However, the exception format "book" indicates that only books are loaned.

⁴ The institution only loans material to a selected profiled group. Choosing the exception eliminates the selection of the (long list of) individual profiled groups.

Example Deflection Policies

Policy	Policy field	What you enter
I will not copy or loan e-Serials to anyone	Policy Name	E-Serials
	Service Type	Copy or Loan
	Deflection Type	Enable Real Time Deflection
	Deflect	
	Format	E-Serial
I charge \$10 for DVDs, and \$0 for everything else	Policy Name	DVD at \$10
	Service Type	Loan
	Deflection Type	Enable Real Time Deflection
	Deflect	
	Format	Visual Material – DVD
I charge \$25 for libraries not in ILLD	Policy Name	\$25 not in ILLD
	Service Type	Copy or Loan
	Deflection Type	Enable Real Time Deflection
	Deflect	
	Borrower Maximum Cost	25
I will not loan materials less than three years old or more than 100 years old	Policy Name	No lend new and old
	Service Type	Loan
	Deflection Type	Enable Real Time Deflection
	Deflect	
	Format	N/A
I don't loan or copy serials unless I'm the last in the lender string	Policy Name	No Serials
	Service Type	Copy or Loan
	Deflection Type	Enable Real Time Deflection – except when I am last in the lender string
	Deflect	
	Format	Serial

Note: Fields not listed are left blank.

Deflection Policy Formats

Deflection Format	Description	Bibliographic Definition of Formats
Archival/Mixed Material	Materials in two or more forms that are usually related by virtue of their having been accumulated by or about a person or body. This category includes comprehensive archives and manuscript collections of mixed forms of materials, such as text, photographs, and sound recordings.	Leader/06 is "p"
Book	Books, pamphlets, technical reports, typescripts, theses, dissertations, manuscripts and other written works.	Leader/06 is "a" or "t" AND Leader/07 is "a" or "c" or "d" or "m"
Computer File	Items in the following classes of electronic resources: computer software (including programs, games, images, graphics, sounds, and fonts), numeric data, computer-oriented multimedia, interactive multimedia, computer-oriented documents.	Leader/06 is "m"
E-Audio Book	Leader value of sound recording and cataloged as website with no dimension (300/c) information provided.	Leader/0t is "i" (lower case letter i) or "j" AND material type is "url" AND no 300/c is in the record.
E-Serial	Serial material cataloged as a website.	Leader/06 is "a" or "t" AND Leader/07 is "s" or "b" AND material type is "url"
E-Text	Non-serial material cataloged as a website.	Leader/06 is "a" or "t" AND Leader/07 is "a" or "c" or "d" or "m" AND material type is "url"
Government Document	Any material type code for Government publication.	Material type is "gpd"
Integrated Resource	Continually updated resources.	Leader/06 is "a" or "t" AND Leader/07 is "i"
Kit	Mixtures of various components issued as a unit and intended primarily for instructional purposes.	Material type is "kit"
Manuscript	Any material type code for Government publication.	Material type is "mss"
Map	Maps, map manuscripts, globes, atlases, aeronautical charts, navigational charts, celestial charts, remote-sensing images, computer-generated maps, and other cartographic material.	Leader/06 is "e" or "f"
Microform	Original microform publications.	Material type is "mic"
Musical Score	Printed music materials, including full score, choirs score, close score, condensed score, miniature score, part, music manuscript, books of musical studies and exercises.	Leader/06 is "c" or "d"
Newspaper	Serial publications in newspaper format.	Material type is "new"
Serial	Serial publications such as periodicals, newspapers, annuals, journals, memoirs, proceedings, monographs.	Leader/06 is "a" or "t" AND Leader/07 is "s" or "b"
Sound Recording	Both musical and non-musical sound recordings. Nonmusical sound recording may include sound effects; bird calls; physical exercise recordings (for example, aerobic workouts) that consist of spoken, shouted, sung, or chanted instructions over musical accompaniment; stories read over incidental music accompaniment; and plays with incidental music.	Leader/06 is "i" or "j"
Sound Recording – Cassette	Material type: cassette recording.	Leader/06 is "i" or "j" AND material type is "cas"
Sound Recording – CD	Material type: CD audio.	Leader/06 is "i" or "j" AND material type is "cda"

OCLC Policies Directory Quick Reference

Sound Recording – LP	Material type: LP records.	Leader/06 is "i" or "j" AND material type is "lps"
Visual Material	<p>Projected media—Motion pictures, videorecordings, filmstrips, slides, transparencies, and overhead projections or projected images.</p> <p>Two-dimensional nonprojected graphics—activity cards, charts, collages, drawings, duplication masters, flash cards, graphics, original artwork, paintings, photonegatives, photoprints, pictures, postcards, posters, prints, spirit masters, study prints, technical drawings, transparency masters, photomechanical reproductions, and reproductions of any of these.</p> <p>Three-dimensional artifacts and naturally occurring objects—models, dioramas, games, puzzles, simulations, sculptures, and other three-dimensional art works, exhibits, machines, clothing, toys, and stitchery. Also may include microscope specimens (or representations of them) and other specimens mounted for viewing.</p>	Leader/06 is "g" or "k" or "o" or "r"
Visual Material – DVD	Material type: videodisc.	Leader/06 is "g" or "k" or "o" or "r" AND material type is "vdc"
Visual Material – VHS	Material type: VHS.	Leader/06 is "g" or "k" or "o" or "r" AND material type is "vca"

Changing Supplier Status

You may want to change your supplier status for periods of time when you are unable to fill requests. These situations might include vacations, library holidays, or situations when your collections will be inaccessible, such as when a library or collection is being moved, or during renovations.

Possible conflict between statuses. Changing Supplier status on the Policies tab overrides any Supplier status you may have set on the Schedule tab (under Closures). However, during Closure periods Supplier status is checked on the Schedule tab every midnight (Eastern Standard Time). If the two statuses conflict, the status on the Policies tab is changed to match the status on the Schedule tab. The only time the two statuses might conflict is during a Closure period.

Note: Changing OCLC Supplier also changes supplier status in FirstSearch. See table for when changes take effect.

Tab from which supplier status is changed	Timing of change to supplier status in FirstSearch databases	
	WorldCat	All other databases
Profile	Real time	Midnight (EST)
Schedule	Midnight (EST)	Midnight (EST)

Support

OCLC support staff:

E-mail: support@oclc.org

Telephone: 1-800-848-5800 (USA) or +1-614-793-8682 (7:00 a.m. to 9:00 p.m., U.S. Eastern time, Monday–Friday)

Ordering copies of this publication

	Action
1	To order additional copies of this publication, send an e-mail request to orders@oclc.org . Include the product code (REF1089).
2	You may also use the OCLC Index of Documentation at https://www3.oclc.org/documentation/ . If the Order hard copy link is available, you may use it to request a printed copy.



ISO 9001 Certified

The following OCLC product, service and business names are trademarks or service marks of OCLC, Inc.: OCLC, WorldCat, WorldCat Resource Sharing and "The world's libraries. Connected."

In addition, the WorldCat symbol and OCLC symbol are service marks of OCLC. Third-party product and service names are trademarks or service marks of their respective owners. OCLC grants permission to photocopy this publication as needed.

Product Code REF1089
1112/2000157W, OCLC