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WorldCat Navigator: Circulation-ILL Lending Agency Profile

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1. Introduction

The NCIP Circulation/Interlibrary Loan Interaction: Lending Agency Profile of the NISO Circulation Interchange Protocol (NCIP) is designed to provide one coherent, agreed-upon set of behaviors, options, and parameters to support the exchange of messages between circulation and Interlibrary Loan (ILL) applications on the lending side of the 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 defines the exchange of messages between a borrowing agency's circulation and Interlibrary Loan applications.

1.1 Application Profile Type Value Not Applicable

2. Description of Application Area

This profile is designed to support the exchange of messages between a lending 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 lending agency's requirements for the interaction between its OCLC application and an associated circulation application. Both the circulation and Interlibrary Loan applications deal with items from their own agency.

This profile allows for the following Circ/ILL interactions:

- The ILL application can place a hold against a requested item in the circulation application,
- The ILL application can checkout an item (For ILL) to a requesting library
- The ILL application can checkin an item that was loaned for ILL.

This profile does not allow for circulation initiated ILL recalls or overdues to be passed to the borrowing agency via ISO-ILL.

4. References

- NISO Z39.83-2002, NISO Circulation Interchange Protocol
- Implementation Profile 1, a Profile of the 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
- Interlibrary Loan Protocol Implementors Group. IPIG Profile for the ISO ILL Protocol, Version 2, 10 April 2001
- OCLC Circ/ILL Borrowing Agency Application Profile
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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.

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 an ILL request 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 Lending Agency

6.1.2 Statements of Conformance

Both applications referred to in this profile are fulfilling the Lending 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

OCLC implements a subset of the full NCIP CILL-2 Lending Agency Application Profile, based on the minimum interactions necessary to enable an ILL application to inform its local circulation application of ILL activity associated with a circulatable item.

- Reserve the requested item for use by the ILL department

- Tell the circulation application that the requested item has been issued to the borrowing agency for Interlibrary Loan.
- Tell the circulation application that the loaned item has been returned to the Lending agency.

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 responding to 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.

The Interlibrary Loan application operates on behalf of the lending agency. This application manages ILL requests, including the setting of ILL lending fees, transmitting overdue notices to the borrowing agency's Interlibrary Loan application, etc.

The circulation application also operates on behalf of the lending agency. It manages the loan of local items to the borrowing agency via the ILL application.

7.3 Business Rules

The Interlibrary Loan application defines and applies its business rules regarding ILL requests, including determining whether an ILL request should be filled, the amount of the fee for filling the request, etc.

Transfer of control moves to the circulation application at the point at which the item is ready to be checked out. The circulation application defines and applies its business rules regarding the circulation of items to users. Depending on local policy, the item may be checked out to the lending agency's ILL department or the library that initiated the ILL request. These rules may include setting the period for the loan, determining use restrictions, permitting renewals, etc. In this profile, it is the ILL staff who is responsible for shipment and receipt of the item.

The Circulation application is also responsible for determining whether a renewal of the loaned item is possible or not, and if it is, what the new due date should be.

7.4 Management of User and Staff User Interaction

The Interlibrary Loan application manages the Interlibrary Loan staff user interface.

The circulation application manages the circulation staff user interface.

All Circ / ILL interactions are triggered from the Interlibrary Loans application.

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)
Request Item	R
Checkout Item	R
Checkin Item	R

7.5.2 Required and Conditionally Required Data Elements

The following table defines those Messages/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
Request Item	Unique Request Id	Always Present. This is ILL application's identifier for this ILL request.
Request Item	Bibliographic Record Id	Always Present This is the OCLC record number for the bibliographic record identified by the ILL application. This will include the UniqueAgencyID which should match the ToAgencyId used in the header for this message.
Request Item	Unique User Id	Always Present This is either a pseudo-patron that represents the lending agency's ILL dept, or this is a pseudo-patron that represents the borrowing library.
Request Item	Request Type	Hold
Request Item	Request Scope Type	Title
Request Item	Need Before Date	Conditionally included if ILL Expiry Date is known.
Request Item Response	Unique Request Id	Circ's unique request id for this hold
Checkout Item	Unique Request Id	Always Present
Checkout Item	Unique Item id	Always Present
Checkout Item	Unique User Id	Always Present
Checkout Item	Response Date Due	Always Present
Checkin Item	Unique Item Id	Always Present
Checkin Item	Mandated Action	Always Present
Checkin Item Response		It should be noted that the ILL application does not honor Routing instructions and Fiscal Transaction information that may be returned by Checkin 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 agrees to process the ILL request.	ILL	Request Item	Circulation	
ILL ships the item to the requester	ILL	Check Out Item	Circulation	
ILL receives the Item from the Borrower.	ILL	Check In Item	Circulation	

NOTE: There is no action associated with request expiry because when OCLC places a hold on the circulating item, it also sends an ILL-Will-Supply message which turns off the automatic expiry timer.

7.7 Lookup Service Table

There are no lookup services used by this profile

8. 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.

9. Security and Privacy

All user authentication and authorization is considered out of scope for 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 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

10. 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.

11. 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.