

ACCESS ALL AREAS

King's College London

**July 2nd—July 4th
2007**



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INTERLEND

2007

Editorial

Until recently Interlibrary Loans was doomed to live in the Dark Ages, with cupboards stuffed full of boxes of paper. Admittedly, some authorities such as the University of Derby have actively promoted Secure Electronic Delivery, thereby reducing the piles of paper and speeding up the transmission of articles. However, for the most part, the development of a full electronic delivery service is still being hampered by the unwillingness to “go for” electronic signatures. If we can conduct our banking by means of PIN numbers, why can't we “sign” a declaration electronically also? The University of Plymouth is one of a growing number of institutions who have broken free from these paper mountains and embraced the concept of electronic signatures.

Still, even in this rapidly expanding electronic environment, we should not forget the original physical items, and so institutions such as the London Library remain as important as ever to research.

Nowadays, email communication is so important. However what can replace face-to-face interaction? Come and join us at Interlend 2007, hosted by King's College London. This year's theme “Access for All” brings a variety of speakers covering access for the Blind, ILLs for Distance Learners and many more topics. We also have the added attraction of an evening cruise and meal on the Thames.

See you in London!



Access All Areas

Equality and Access in Document Delivery

2nd – 4th July 2007
King's College London

Details and booking form on the FIL website at

<http://www.cilip.org.uk/groups/fil/index.html>

Sessions include.....

John Vincent of The Network – tackling social exclusion in libraries, museums, archives and galleries. ***Libraries and social inclusion: how are we doing?***

Alan MacDougall, City of London guide and former librarian of King's College London ***Historical London***

Chris Urquhart of University of Wales, Aberystwyth
Distance Learning for Library Management Students

Jenny Craven of Manchester Metropolitan University
Accessibility issues from the user perspective

Helen Brazier of RNIB National Library Service
I want to carry on reading: the right to read for people who can't read print

Jane Smith of the British Medical Association
The rise and fall of the BMA's ILL service

Stephanie Taylor of Critical Eye Communications
E-journal and access

ILLs for socially excluded groups - speaker to be confirmed

Optional visit to one of the following local libraries British Library (St Pancras site), Lambeth Palace Library, The London Library, Freemason's Library, Natural History Museum Library, Library of the RNIB

And the social event of the conference.....

An Evening Thames Boat Cruise, including a hot buffet meal



PUBLIC PRIVATE PARTNERSHIP?

The untapped potential of the London Library

Bridie Macmahon

'A good book is the purest essence of the human soul' Thomas Carlyle, founder of the London Library



"...a cost-effective way of supplementing our stock, and a useful component of our inter-library loan services. We have subscribed for many years and are very satisfied with the service provided by the London Library..." Cambridgeshire Libraries, Inter-Library Loan Department

The London Library is the largest independent subscription library in the world. It has over many generations built up and maintained a collection that now numbers over 1 million volumes covering all aspects of the humanities. We have particular strengths in history, biography, literature and art, and over 98 per cent of the books and bound periodical volumes are available for loan. The collection includes material dating from the 16th century, and about 8,000 new titles are added each year, but it is particularly rich in hard-to-find books (fiction and non-fiction) and periodicals from the Victorian period onwards.

The Library's founding in 1841 pre-dated by almost a decade the first Public Libraries Act. It came about as a result of the frustration of the historian Thomas Carlyle, who chafed at the restrictions and difficulties of using the reference-only British Museum Library, and who was determined that there should be based in central London a comprehensive humanities library supplying books for use at home. He famously declared that 'for getting the mere facts which a book contains, a man can do more with it in his own apartment, in the solitude of one night, than in a week

in such a place as the British Museum'¹. This is a sentiment with which most readers can still identify. Carlyle may seem an unlikely precursor of the current devotion to the concept of Lifelong Learning; but the London Library provides a unique setting for precisely this activity, as well as for a more relaxed pursuit of reading for its own sake. It therefore mirrors the fundamental aims of the public library service by providing access to a wealth of material that no individual could possibly own, and that can be used for whatever end the users themselves define.

There is a general misconception that membership of the Library is restricted to a small number of favoured individuals. In fact, it is open to all, including institutions, and at subscription rates that are deliberately kept to reasonable levels. Many public libraries take advantage of our unique collection and flexible borrowing policies in order to augment the stock available to their own members quickly and economically. The annual subscription payable by public libraries is determined by the number of books the public library wishes to have on loan at any one time – the aim is to keep it as flexible as possible.

Our postal loans department deals with the task of fulfilling requests from our members for books and photocopies to be posted out to them – wherever they live. It also deals with requests from other libraries of all kinds for our material to be sent out on inter-library loan. ILL is therefore one way that public libraries can access our stock; but ‘representative’ membership of the Library is a quicker and more economical option. All our stock is on site in our historic building in St James’s Square, and there is therefore no delay in fetching and posting out books; requests are generally dealt with on the day of receipt, and the only charge for this service is the cost of the postage itself. If not requested by another member of the London Library, books may be kept out on loan for extended periods of time; our books are subject to the public library’s own rules during the period of loan.



The postal loans service is the benefit of membership most heavily used by our public library members; but representative membership also allows three named people at any one time to come to the Library and browse the bookstacks and use our spacious, comfortable Reading Room overlooking St James’s Square.

The Library’s online catalogue, accessible from our recently re-launched website, now lists all items acquired by the Library since 1950 and is therefore a useful resource for members wishing to check holdings and availability remotely. However we also offer a comprehensive book enquiry service and will gladly source material from our printed catalogues for members contacting us by email, phone, fax or letter.



We hope that the work of the Library will become more widely known, and that its unique collection will be made available to more and more users. The public library network can play a crucial role in making this aspiration a reality.

¹ Speech by Thomas Carlyle reported in the *Examiner* in 1840

The London Library’s website can be found at www.londonlibrary.co.uk; membership enquiries are welcome, by email to membership@londonlibrary.co.uk, or by telephone to 020-7766 4720

What developments have there been with SED at the University of Derby?

**SED AND ONLINE ILL
REQUESTING
AT THE UNIVERSITY OF
DERBY
an update**

by
**Tim Peacock,
E-Resources and Interlending
Administrator,
University of Derby**



The University of Derby introduced Secure Electronic Delivery (SED) to academic and research staff on 1st June 2005.

Further to my report in the last issue of the *FIL Newsletter* (#47), a number of developments continue at Derby:

- We are undertaking an SED Pilot Project with students this Spring to assess the effectiveness of seamless opening of SED and the printing of articles on networked pcs.
- The SED service is expected to be expanded to include all staff and students from September 2007
- Derby is gathering information regarding authentication and e-signatures.
- I am looking at ways of using our LMS ILL request form as an interim in-house measure towards complete authentication and online requesting.

Users at Derby continue to be greatly impressed by the SED service. There have been instances where documents have

been received by requesters within the day of request. The maintenance of the cheaper price for SED for 2006-7 is also a particular advantage.

Although we had many questions about the SED service when it was first introduced by the British Library, our experience, since its introduction here at Derby, has allayed all concerns.

Support from the BLDSC has only been occasionally required and is always consistent and hugely supportive, not only with readers' requests but also with advice and help in Derby's work towards online requesting.

If any folk would like to correspond on any of the issues and items above, then please don't hesitate to contact.

T.Peacock@derby.ac.uk

***Read on for more electronic,
paper-friendly developments,
this time at the University of
Plymouth.....***

SACK THE PAPER MOUNTAIN

It's time for Document Delivery to become carbon friendly too!

A look at Electronic Signatures and
Copyright
by

Graham Titley,
Document Delivery and Copyright
Librarian



Disclaimer

This article does not constitute legal advice. The article is based on the experiences and challenges faced by staff at the University of Plymouth, and the solution achieved is based on their understanding of the law. The law itself may require more, or less, than that delivered by this solution. If in doubt, readers are encouraged to seek such advice for themselves.

In the modern electronic environment many Document Delivery staff have been looking at their procedures and processes seeking ways to streamline the requesting process, the amount of administration time it consumes and the amount of paper used, whilst at the same time looking for ways to accommodate the needs of a much more geographically spread clientele. For many years library management systems have been capable of providing an electronic requesting process, but full realisation of the potential has been hampered by the requirement in law to obtain a personally signed Copyright Declaration for each photocopy request the library staff handle. Many solutions have been tried to improve turn round time, the most popular of which has been to allow the request to be made and then hold the copy to ransom for the signature. This 'get-a-signature' restriction has hampered Document Delivery from achieving a truly electronic service - a service that can treat all people equally, rather than penalising those based at a distance from the library.

Three key developments have altered the playing field.

The first a Statutory Instrument set out a framework for electronic signatures; the second the development, by the British Library, of the Secure Electronic Delivery (SED) service for article reproductions; and the third a recent court judgement that has established the principle of 'cognitive action' in that, if you type your name at the bottom of an email you have 'signed' the document (Pelling, 2006).

The authority to accept electronic signatures, "SI 2002 No. 318 "Electronic Communications: The Electronic Signatures Regulations 2002", has been in place since the Statutory Instrument was enacted and published in 2002. So what has stopped Document Delivery services reaping the benefits over the past 5 years? Mainly it has been the pressure of considered professional opinion, which fell firmly against the easy, obvious solution - Personal Identification Numbers (PINs). Admittedly, this was principally because the PIN solutions offered were too simplistic and didn't meet the criteria, expressed and inferred, set out in the S.I. But also in those early days there was no electronic end product to deliver to users, which

meant there was little or no benefit to be gained through change and also, therefore, no pressure on services to properly investigate their systems and procedures. There was also certainly a distinct reluctance to 'trail blaze'. SED changed that in 2004.

".. A distinct reluctance to trail-blaze....."

The SI set out some conditions that had to be met in order for an advanced electronic signature to be established, one which would be acceptable in law. There are 4 key tenets to the signature:

- Uniquely linked to the signatory
- Capable of identifying the signatory
- Created using means that the signatory can maintain under their sole control
- Is linked to the data to which it relates

There is also the need to consider the veracity and security of the systems used to deliver these actions. This involves not only investigating how information travels between systems, but also how access to the information is controlled, where and how it is stored and the security involved in these processes. This technical investigative nature has also proved to be a barrier to development. However, if you can negotiate with your ICT technicians and then devise a system that meets these demands, then what's to stop you accepting an electronic signature?

Case: University of Plymouth

In 2004 Plymouth moved from Libertas, a DOS-based library management system (LMS), to Voyager, a window-based system. Because the Inter-library Loans had been handled electronically by the old LMS, the University also purchased the associated ILL module (Voyager-ILL, also available as a stand-alone ILL product called CLIO). This change meant that for the first time electronic request forms could be made available via the Library

OPAC. The common problem was faced—"What to do about signing a Copyright Declaration?" In the interests of efficiency, an electronic copyright signature was needed—one that could be given at the time of making the request.

For a brief time a hybrid solution was utilised. Paper-based, signed-at-time-of-request, requests were phased out during June 2004, thereby removing the time-consuming keying-in of requests by ILL staff. This then meant that the ILL Office accepted only electronic requests via the Library OPAC. A copyright declaration was placed in the header of the form and the submission of the request taken as an agreement with the terms specified. The staff could then act on the request, with a formal signature being obtained upon collection of the article from the library. After a visit from the British Library early in 2005, the ILL Office downloaded Adobe 7.0 (the University was using version 6 as its standard) and switched to SED as their default delivery method, printing out all the requests in the ILL Office and attaching the Declaration for signing upon collection. In July 2005, the University agreed to roll-out Reader 7.0 as the standard pdf reader.

By now the 'new' LMS had been thoroughly tested so it was decided to utilise some of the more advanced features such as self-issue, and offer more library account security to patrons. This required the instigation of the Personal Identification Number (PIN) feature, which took place in August 2005. This was the last key step needed to move to an electronic signature. Our three request forms were redesigned to add, immediately below the Copyright Declaration in the header, a mandatory field requiring the response "YES". Although the signature is not required for loans, it has had the unexpected benefit of allowing us to proceed with requests accidentally placed on the wrong form!

All ILL operators were instructed to make the 'Verified' field the first check when reviewing requests. (We have yet to fail a

a request for an incorrect response!).

Initially, the British Library emails containing the link to the SED documents came to the ILL Office where the documents were printed off for collection at the counter, minus the attached Declaration Form. However in April 2006, after a short pilot and a period of staff training, we began forwarding the email to the requestor's email account for them to action, download and print themselves.

“.....around 95% have been received by SED...”

We developed a local 'signature' which we insert at the top of the BL email which provides a link to our guidance leaflets and a link to the British Library's SED Test Document. This ensures that 'good practice' of "test, download, print and delete" within the same log-in session can be reinforced. It also allows us to respond to common issues as they arise (e.g.: users using open access computers cannot re-open a SED document after they have logged out, even though they are supposed to have 14 days of access. This is because each log-in session is uniquely identified within our computing system so the authentication profile is always different). Of the approximate 13,000 copy requests made since April 2006, around 95% have been received by SED, with our fault rate currently running at 4.5% - mostly due to patrons not reading either the signature we add or the available guidance notes!

There are two more steps for us to consider as possible service improvements. One is direct mailing of the end product to the user by BL. However, the ILL software we use is currently unable to support British Library's AddAddress feature. We would also lose the benefit of the added signature, and the vast pool of local staff knowledge about the process and their ability to trouble-shoot. Instead, it would pass, what are often local technical or network issues, to a remote third party who would have to constantly refer back to us!

The other change would be to move to unmediated requesting - user requests passing direct to the British Library without any checking. Currently this is not an option as ILL Staff are failing requests at a rate of 1 in 4, mainly because users are not searching local holdings first!

So how does all this meet those tenets?

1. Uniquely linked / Identifies / Sole Control.

When logging in to the LMS you are required to input three identifying pieces of information:

- Your unique numeric identifier. Either your ID card number or your personal ID number - both issued centrally by the University.
- Your surname.
- Your PIN - a number between 5 and 8 digits created by yourself. A default PIN (11111) is issued to all accounts upon creation, but this will not allow the use of many of the functions available (e.g.: self-issue; room bookings; requesting). The PIN must be changed by the user (NB: users cannot select 11111 - in some systems the "act" of changing the PIN is registered, not the fact that the PIN is changed) Additionally, in Voyager, the PIN cannot be seen by library staff using the Circulation client.
- Upon completion of the request form you are required to re-identify yourself using the same unique numeric identifier used to log into the account. If they don't match the request cannot be submitted!

So we have 3 pieces of data which are uniquely linked to the user, one of which is solely under their control. Users must also re-identify themselves to the system before they can submit a request.

Additionally, if the request form is accessed via any computer other than the OPAC kiosks within the library, the user will have had to log-in to the University Portal using their computing account name and "strong" password which is alpha-numeric with at least one other character.

2. Data Linking

The 'signature' consists of all the above to get to the form. But all that is recorded in the ILL database is the response "Yes". This response is then stored in the same ILL record as the user and bibliographic details.

Because the ILL data is stored and archived, independently of the Library Management System (LMS) there are no concerns about the information being affected by changes made to the LMS (e.g. the deletion of a user because their time at the University has been completed).

What else is there to consider?

As already mentioned, it is generally accepted that you should also consider system and information veracity when looking at an electronic signature solution. Ask yourself questions like:

- "How does the request reach ILL?"
- If it is by email "Does it travel outside the University network?"
- "How secure is it in transit?"
- "If intercepted and altered could I tell?"
- Once the request has been received "How secure is it in my database?"
- "Can I find out who has accessed data?"
- "Can I find out if any changes have been made?"

To meet your legal obligations you also need to ask yourself:

- "Is a request date generated that can be used to purge data at the appropriate time?"
- "What happens to the ILL data

if an account is deleted in the LMS?"

- "What are the implications for records if we change LMS?"

In Plymouth's case, the LMS generates an email for each request and sends it via the University network to the ILL account. This means that no matter where you are when you generate the request, it remains inside a generally safe network environment. If the request is altered in anyway it cannot be 'read' by the ILL software, even if you only change one letter or manually create a new request in Microsoft Outlook (our internal email system) using the same template! The ILL database itself is stored on a restricted access server, with read/write access controlled via membership of a specific user group. Should anyone outside that group find and download the ILL software, any actions or alterations would not be saved as the database opens in 'Read Only' mode. A separate log file of direct server log-ins is maintained on the server, allowing track back if necessary.

The last 3 bullet points above are also very important because you must store request information for the regulatory period - six years plus one day from the end of the year in which the form is signed (usually simplified to seven years!). You must ensure that a request date is generated and stored and you must discover what happens to the data if an element is deleted. In many integrated LMS's the removal of a user record will leave 'divorced' ILL requests - the request data is retained but the user data is missing. If this happens you are not meeting your legal obligations to retain information. This may mean a policy change, e.g. you agree to not delete users for 7 years after they have finished, this in turn having implications for database size!

In Plymouth's case there is a date generated upon creation of the request and a second date generated when the request is actually read into the ILL system. Further dating is added or amended upon any updating action and a final date added upon completion of the request. All

the data is stored in a database that is entirely separate from the LMS database, although some fields are replicated to allow communication.

However any action, such as deleting a patron, does not affect existing ILL records. Finally, you need to remember your legal obligations if your service is proposing to change LMS. You must be able to retain your request data and so must ask difficult questions about data conversion and/or data retention, possibly in a different, but readable, format.

“...electronic signatures are not unachievable. The biggest challenge, though, is to change attitudes towards obtaining them!”

Conclusion

Everything, legally, is now in place to allow you to consider gathering an electronic signature for copyright purposes, . What you need to do is investigate how you might do it locally using your own LMS/ILL software and then provide your own answers to the questions posed above. Other questions might arise; the list is by no means exhaustive!

The results of this process and the answers discovered must give you the confidence to support the change and will provide evidence of 'due diligence' if challenged. The end of the paper mountain and its subsequent storage is in sight - electronic signatures are not unachievable. The biggest challenge, though, is to change attitudes towards obtaining them!

Graham Titley
Document Delivery and Copyright Librarian
University of Plymouth
Drake Circus
Plymouth
PL4 8AA

Tel: 01752 233776 or 232303
Email: graham.titley@plymouth.ac.uk

Reference:

Pelling 2006
Case Number [2006] EWHC813 (ch),

The judgement of His Honour Judge Pelling QC in the case of J. Pereira Fernandez, SA versus Nilesh Mehta, rreported by Pinsent Masons, 2006 "Court rules that an e-mail address is not a signature" Out-Law News 13th April, available at: www.out-law.com/page-6839 (accessed 26th October 2006).

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Page 1 and 2: King's College London, courtesy of King's College

Page 2: Thames Cruise Boat, courtesy of Riverthamesboathire.co.uk

Page 5: London Library from St James's Square Gardens, courtesy of Lottie Cole

London Library: Reading Room circa 1935, courtesy of Sylvia Lewes

FIL Committee 2006-7

Rose Goodier - Chair

Head of Document Supply
John Rylands University Library
University of Manchester
Oxford Road
Manchester
M13 9PP
Tel: 0161 306 4930
Rose.goodier@manchester.ac.uk

Graham Titley - Deputy Chair

Document Delivery and Copyright Librarian
Library
University of Plymouth
Drake Circus
Plymouth
PL4 8AA
Tel: 01752 233776 or 232303
Graham.titley@plymouth.ac.uk

Sarah Washford - Secretary

Interlibrary Loans
Southampton Central Library
Civic Centre
Southampton
SO14 7LW
Tel: 02380 832 596
Sarah.washford@southampton.gov.uk

Carol Marshall - Treasurer

Inter-library Loans
Hampshire County Library HQ
81 North Walls
Winchester
Tel: 01962 826640
Carol.marshall@hants.gov.uk

Tracey Jackson - Membership Secretary

Inter-Library Loans
Hertfordshire Libraries
New Barnfield, Travellers Lane
Hatfield
Hertfordshire
AL10 8XG
Tel: 01707 281509
Tracey.jackson@hertscc.gov.uk

Mike McGrath - Marketing Officer

Editor Interlending and Document Supply
11 Regina Drive
Leeds
LS7 4LR
Tel: 0113 262 2800
Mike.mcgrath@britishlibrary.net

Marjory Lobban - Co-editor, Newsletter

Document Delivery Supervisor
Edinburgh University Library
George Square
Edinburgh
EH8 9LJ
Tel: 0131 650 3377
Marjory.lobban@ed.ac.uk

Peter Robinson - Co-editor, Newsletter

Customer Services
The British Library
Boston Spa
Wetherby
West Yorkshire
LS23 7BQ
Tel: 01937 546606
Peter.robinson@bl.uk

Gillian Wilson - Web editor

Libraries North West
Lancashire County Libraries
Bowran Street
Preston
PR1 2UX
Tel: 01772 534047
lnw@lancscc.gov.uk

Joanne Findlay

Document Delivery Service
Glasgow University Library
Glasgow
G12 8QE
Tel: 0141 330 1895
J.findlay@lib.gla.ac.uk

Observers

Betty Lowery - British Library Representative

Customer Services Development Manager
The British Library
Boston Spa
Wetherby
West Yorkshire
LS23 7BQ
Tel: 01937 546339
Betty.lowery@bl.uk

Alan Cooper - CILIP Representative

CILIP
7 Ridgmount Street
London
WC1E 7AE
Tel: 020 7255 0500
Alan.cooper@cilip.org.uk

Pennie Street - IFLA Representative

Harold Cohen Library
University of Liverpool
PO Box 123
Liverpool
L69 3DA
Tel: 0151 794 5418
pstreet@liverpool.ac.uk