
**Information and documentation —
Interlibrary Loan Transactions**

Information et documentation — Transactions de prêt interbibliothèques

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Foreword

ISO (the International Organization for Standardization) is a worldwide federation of national standards bodies (ISO member bodies). The work of preparing International Standards is normally carried out through ISO technical committees. Each member body interested in a subject for which a technical committee has been established has the right to be represented on that committee. International organizations, governmental and non-governmental, in liaison with ISO, also take part in the work. ISO collaborates closely with the International Electrotechnical Commission (IEC) on all matters of electrotechnical standardization.

The procedures used to develop this document and those intended for its further maintenance are described in the ISO/IEC Directives, Part 1. In particular the different approval criteria needed for the different types of ISO documents should be noted. This document was drafted in accordance with the editorial rules of the ISO/IEC Directives, Part 2 (see www.iso.org/directives).

Attention is drawn to the possibility that some of the elements of this document may be the subject of patent rights. ISO shall not be held responsible for identifying any or all such patent rights. Details of any patent rights identified during the development of the document will be in the Introduction and/or on the ISO list of patent declarations received (see www.iso.org/patents).

Any trade name used in this document is information given for the convenience of users and does not constitute an endorsement.

For an explanation on the meaning of ISO specific terms and expressions related to conformity assessment, as well as information about ISO's adherence to the WTO principles in the Technical Barriers to Trade (TBT) see the following URL: Foreword - Supplementary information

The committee responsible for this document is ISO/TC 46, *Information and documentation*, Subcommittee SC 4, *Technical interoperability*.

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Introduction

This International Standard will at first, supplement and eventually succeed the old ISO interlibrary lending protocol (consisting of ISO 10160, ISO 10161-1, and ISO 10161-2). Unlike its predecessor, this International Standard is well suited to the modern, Web-based technological environment which is based on XML and Web services. Another important difference between the two standards is that, while the old standard is based on a 1980s model of ILL transactions, its successor is based on and supports a much simpler exchange of transactions.

ISO TC 46/SC 4 made an attempt to revise ILL standards in 2007. The chosen policy, careful revision of the existing International Standard, failed, since for some SC 4 P-members the revision was too radical, whereas some other P-members indicated that it was not thorough enough. In order to avoid a similar deadlock, SC 4 plenary meeting chose a different strategy in 2012. The committee will keep the old standard alive as long as necessary by, for example, making the editorial changes needed. But SC 4 also decided to start the development of a new, Web-enabled ILL standard.

The new International Standard specifies three simple messages: a request, a supplying library message, and a requesting library message. The protocol is stateless, which means that there will be no need to maintain the interconnected state tables in the client and server applications (and the connections to the state tables in applications behind them). The new ILL protocol will be much easier to implement than the old one, while still retaining the essential functionality of its predecessor.

This International Standard is the first part of a more general strategic initiative to standardize resource sharing in ISO/TC 46/SC 4 *Technical interoperability*. As part of this intention, the editors have aligned element names, transport, and XML schema with similar functions in ANSI/NISO Z39.83 *NISO Circulation Interchange Protocol*.

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Information and documentation — Interlibrary Loan Transactions

1 Scope

This International Standard specifies the transactions between libraries or libraries and other agencies to handle requests for library items and the following exchange of messages.

2 Normative references

The following documents, in whole or in part, are normatively referenced in this document and are indispensable for its application. For dated references, only the edition cited applies. For undated references, the latest edition of the referenced document (including any amendments) applies.

ISO 2108, *Information and documentation — International standard book number (ISBN)*

ISO 3166-1, *Codes for the representation of names of countries and their subdivisions — Part 1: Country codes*

ISO 3166-2, *Codes for the representation of names of countries and their subdivisions — Part 2: Country subdivision code*

ISO 3297, *Information and documentation — International standard serial number (ISSN)*

ISO 4217, *Codes for the representation of currencies*

ISO 8601, *Data elements and interchange formats — Information interchange — Representation of dates and times*

ISO 10957, *Information and documentation — International standard music number (ISMN)*

ISO 15511, *Information and documentation — International standard identifier for libraries and related organizations (ISIL)*

3 Terms and definitions

For the purposes of this document, the following terms and definitions apply.

3.1

agency

library, library-related organization, or other agency such as an archive or a museum, or a commercial document supplier

3.2

library

organization, or part of an organization, the main aim of which is to maintain a collection and to facilitate by services of a staff, the use of such documents as are required to meet the informational, research, educational, or recreational needs of its users

3.3

requesting agency

agency which can send requests for library items and receive them from the supplying agency

**3.4
supplying agency**

agency which receives requests for library items and delivers them to the requesting agency

**3.5
library-related organization**

institution, company, consortium, or other organization which handles ILL requests and/or receives requested library items on behalf of one or more libraries

**3.6
library items**

books, journals, articles, music, etc., or copies of these in physical or digital format

4 Messages

4.1 General

This International Standard specifies three messages and responses to them for handling interlibrary loan transactions:

- Request and Request Confirmation;
- Supplying Agency Message and Supplying Agency Message Confirmation;
- Requesting Agency Message and Requesting Agency Message Confirmation.

For Request, Supplying Agency Message, and Requesting Agency Message, a confirmation message is sent immediately (see 4.3, 4.5, and 4.7). The Request Confirmation message is not a positive or negative response to the Request; it indicates only that the Request message has been received. If the Request message contains problems, the Request Confirmation message shall include Error Data (see 4.10).

The following are the codes used in the tables:

- R: Repeatable;
- M: Mandatory;
- CT: Complex Type;
- OC: Open Code List (i.e. Scheme Value Pair);
- CC: Closed Code List (i.e. the code list is part of the ILL standard);
- SC: Standard Code List.

Open Code lists are predefined schemes, consisting of an enumerated list of possible values for a given data element that should be supported by applications conformant with this International Standard. The Open Code lists of values are not comprehensive and implementer groups can develop additional schemes for these enumerated types to cover their implementation requirements. Thus, an application can choose to support additional schemes for one or more Open Code lists. Core lists of values to be supported by all implementations are defined in Annex B.

Standard Code Lists are based on code lists published in International Standards or other normative documents.

New schemes and values can be added to the Open Code List as described in Annex B.

Complex Types are listed and defined in 4.8.

Closed Code Lists (see 4.9) are a normative part of this International Standard and shall be supported by applications conformant with this International Standard. They are similar to Open Code Lists, except

that Closed Code lists of values are expected to be relatively comprehensive and stable. Therefore, no online version of these lists shall be made available. However, new Closed Code scheme elements and code values can be added to the future versions of this International Standard.

Date and time shall always be provided in the format of YYYY-MM-DDThh:mm:ssZ, as specified by ISO 8601. When time is not significant, e.g. when a due date is given, use 23:59:59Z to indicate the time. For example: 2013-05-15T23:59:59Z.

4.2 Request

The Request contains information about the item and service requested.

The Request is sent from the requesting agency to the supplying agency.

The Request contains some or all of the following groups of data elements:

- Header: Administrative information;
- BibliographicInfo: Details of the item being requested;
- PublicationInfo: Information about the publication;
- ServiceInfo: Details of the service being requested;
- SupplierInfo: List of potential suppliers;
- RequestedDeliveryInfo: Where and how to send the item;
- RequestingAgencyInfo: Details about the requesting agency;
- PatronInfo: Details about the patron;
- BillingInfo: How to charge the requesting agency.

Table 1 — Request

| Element | Definition | Codes |
|--------------------------------|---|---------|
| Header | <i>Administrative information</i> | M |
| SupplyingAgencyId | Identification of supplying library (Complex Type AgencyId) | M CT |
| RequestingAgencyId | Identification of requesting library (Complex Type AgencyId) | M CT |
| Timestamp | Date and time of the transaction Ref. ISO 8601 Format: UTC: YYYY-MM-DDThh:mm:ssZ | M |
| RequestingAgencyRequestId | Requesting library's request identification or number | M |
| RequestingAgencyAuthentication | Authentication in supplying library system of the requesting library (Complex Type) | CT |
| BibliographicInfo | <i>Bibliographic Information about the requested item</i> | M |
| SupplierUniqueRecordId | <i>SupplierUniqueRecordId</i> should be used for the Supplying library's internal unique identifier for the requested item, acquired from a preceding automatic holdings request. If this identifier is used, there should be no other identifiers in <i>BibliographicInfo</i> . More information is provided in Annex E . | |
| Title | Title of the requested item | |

Table 1 (continued)

| Element | Definition | Codes |
|------------------------------------|---|---------|
| Author | Author of the requested item | |
| Subtitle | Subtitle of the requested item | |
| SeriesTitle | Title of the series | |
| Edition | Number of the edition | |
| TitleOfComponent | Title of the component part (e.g. article) | |
| AuthorOfComponent | Author of the component part | |
| Volume | Volume number | |
| Issue | Issue number | |
| PagesRequested | Page from and page to | |
| EstimatedNoPages | Expected number of pages | |
| BibliographicItemId | Identification of a physical or electronic object (Complex Type) | R CT |
| Sponsor | Person or organization sponsoring the publication | |
| InformationSource | Description of where bibliographic information was found | |
| BibliographicRecordId | Identification of a bibliographic record (Complex Type) | CT R |
| PublicationInfo | <i>Information about the publication</i> | |
| Publisher | Name of the publisher | |
| PublicationType | Type of publication | OC |
| PublicationDate | Date of publication NOTE For serials and serial articles, this should be the publication date of the component part such as issue, not the date when the serial was first issued. | |
| PlaceOfPublication | Place of publication, e.g. a city | |
| ServiceInfo | <i>Information about the requested service</i> | M |
| RequestType | Type of request (new, retry, or reminder) If no request type is specified, the default is "new". | CC |
| RequestingAgencyPrevious-RequestId | Requesting Agency's previous request number when a retry is sent with updated data based on ReasonRetry | |
| ServiceType | Type of service. Values: Copy, Loan, or CopyOrLoan. If Copy is requested, then the requesting library is interested only in a copy. If Loan is requested, then the requesting library is interested only in a loan. If CopyOrLoan is requested, then the requesting library is willing to accept either a copy or a loan. | M CC |
| ServiceLevel | Level of service | OC |
| PreferredFormat | Format of medium requested | OC |
| NeedBeforeDate | The request is not relevant after the stated date/time. Ref. ISO 8601 Format: UTC: YYYY-MM-DDThh:mm:ssZ | |
| CopyrightCompliance | The requesting library's copyright compliance | OC |
| AnyEdition | Values: Y or N. Yes, for yes to any edition. No, if only the specified edition is acceptable. | |
| Note | Human-readable note | |

Table 1 (continued)

| Element | Definition | Codes |
|------------------------------|--|---------|
| SupplierInfo | <i>When a request is sent to a brokering institution, the requesting library can provide a list of potential suppliers (in preference order). Intended primarily for requests sent to brokers, but can be used in other circumstances as well.</i> | R |
| SortOrder | Value from 1 to 99 defining the order of preference of use | |
| SupplierCode | Code defining a potential supplier (Complex Type AgencyId) | CT |
| SupplierDescription | Textual information about supplier | |
| BibliographicRecordId | Identification of a bibliographic record used (Complex Type) | CT |
| CallNumber | Indication of the shelf position of the resource | |
| SummaryHoldings | Textual description of summary level holdings | |
| AvailabilityNote | Information about availability | |
| RequestedDeliveryInfo | <i>A prioritized list of suggested delivery methods, each with its own delivery address</i> | R |
| SortOrder | Value from 1 to 99 according to the order | |
| Address | Description of the delivery address (Complex Type ElectronicAddress or PhysicalAddress) | CT |
| RequestingAgencyInfo | <i>Details of the Requesting Agency</i> | |
| Name | Name of the Requesting Agency | |
| ContactName | Name of contact. For example, ILL staff member | |
| Address | Description of how to contact the Requesting Agency (Complex Type ElectronicAddress or PhysicalAddress) | CT R |
| PatronInfo | <i>Details of the patron for whom the request is being made. Only used according to 5.3 Data privacy protection.</i> | |
| PatronId | Identification of the patron | |
| Surname | Surname of the patron | |
| GivenName | First name of the patron | |
| PatronType | Type of patron | OC |
| SendToPatron | Only used with value "Y", if requesting library asks the supplying library to send the requested resource directly to the patron | |
| Address | Description of how to contact the patron (Complex Type ElectronicAddress or PhysicalAddress) | CT R |
| BillingInfo | <i>Information about how the requesting agency expects to be billed for and pay for the item</i> | |
| PaymentMethod | The preferred payment method | OC |
| MaximumCosts | The highest amount the requesting agency is prepared to pay for the service (Complex Type Costs) | CT |
| BillingMethod | Preferred billing method | OC |

Table 1 (continued)

| Element | Definition | Codes |
|-------------|---|-------|
| BillingName | Name of person in finance department, etc. | |
| Address | Description of the billing address (Complex Type ElectronicAddress or PhysicalAddress) | CT |

4.3 Request Confirmation

Table 2 — Request Confirmation

| Element | Definition | Codes |
|---------------------------|--|-------|
| Header | <i>Administrative information</i> | M |
| SupplyingAgencyId | Identification of the supplying library (Complex Type AgencyId) | CT |
| RequestingAgencyId | Identification of the requesting library (Complex Type AgencyId) | CT |
| Timestamp | Date and time of the confirmation transaction Ref. ISO 8601 Format: UTC: YYYY-MM-DDThh:mm:ssZ | M |
| RequestingAgencyRequestId | Requesting library's request identification | |
| TimestampReceived | Date and time of the confirmed Request transaction Ref. ISO 8601 Format: UTC: YYYY-MM-DDThh:mm:ssZ | M |
| MessageStatus | Value: "OK" or "ERROR" | M |
| ErrorData | If there are any errors, an error message is included; refer to 4.10 . | |

4.4 Supplying Agency Message

Supplying Agency Message is a message sent from the supplying library to the requesting library. The message could be in response to a request or a message from the requesting library or a message initiated by the supplying library. In all these cases, the same message is used.

The message contains the following groups of data elements:

- Header: Administrative information;
- MessageInfo: Responses and notes;
- StatusInfo: Current status, i.e. status after any changes because of the message being sent;
- DeliveryInfo: Information about shipped item;
- ReturnInfo: If the Supplier asks the requesting library to return the item to another address.

Table 3 — Supplying Agency Message

| Element | Definition | Codes |
|-------------------|--|---------|
| Header | <i>Administrative information</i> | M |
| SupplyingAgencyId | Identification of the supplying library (Complex Type AgencyId) | M CT |

Table 3 (continued)

| Element | Definition | Codes |
|---------------------------|--|---------|
| RequestingAgencyId | Identification of the requesting library (Complex Type AgencyId) | M CT |
| Timestamp | Date and time of the transaction Ref. ISO 8601 Format: UTC: YYYY-MM-DDThh:mm:ssZ | M |
| RequestingAgencyRequestId | Requesting library's request identification or number | M |
| SupplyingAgencyRequestId | Supplying library's request identification or number | |
| MessageInfo | <i>Message from the supplying library to the requesting agency</i> | M |
| ReasonForMessage | A code defining the reason for the message | M CC |
| AnswerYesNo | Values: Y or N, for <u>Y</u> es or <u>N</u> o to respond Mandatory when ReasonForMessage is RenewResponse or Cancel-Response | |
| Note | Human-readable note | |
| ReasonUnfilled | The reason why the request cannot be filled | OC |
| ReasonRetry | The reason why the request cannot be filled, unless it is modified or repeated at a future date | OC |
| OfferedCosts | Applied when ReasonRetry is used because actual costs exceed the <i>MaximumCosts</i> of the requesting library. The supplying library indicates what the actual cost shall be. (Consists of Complex Type Costs) | CT |
| RetryAfter | The date and time after which the retry request can be sent Ref. ISO 8601 Format: UTC: YYYY-MM-DDThh:mm:ssZ | |
| RetryBefore | Date and time before which to send the retry request Ref. ISO 8601 Format: UTC: YYYY-MM-DDThh:mm:ssZ | |
| StatusInfo | <i>Status information</i> | M |
| Status | Actual status of the request in the supplying library | M CC |
| ExpectedDeliveryDate | Date and time the supplying library expects to deliver the item Ref. ISO 8601 Format: UTC: YYYY-MM-DDThh:mm:ssZ | |
| DueDate | Date and time the item is expected to be back at the supplying library Ref. ISO 8601 Format: UTC: YYYY-MM-DDThh:mm:ssZ | |
| LastChange | Date and time of the last status change Ref. ISO 8601 Format: UTC: YYYY-MM-DDThh:mm:ssZ | M |
| DeliveryInfo | <i>Information about the delivery</i> | |