DIRECT ACCESS PROGRAM

GUIDELINES

AND

BEST PRACTICES MANUAL

FOR

PARTICIPATING LIBRARIES

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CDLC Direct Access Program

WHAT? CDLC Direct Access Program is a direct borrowing program in which CDLC members may voluntarily participate. The CDLC Direct Access Program is one of a variety of services developed by the Capital District Library Council to help library users get the information resources they need.

WHO? It is available to current faculty, graduate students, undergraduate students, professional and research staff of participating institutions, serious researchers through their public library, and selected high school students. The card is non-transferable.

WHERE? CDLC Direct Access Cards are issued by the patron’s participating home library. Direct Access Cards are not available to CDLC personal members unless granted through their participating home library. The Direct Access Card may be used at the libraries listed in the Directory of Participating Libraries, which also lists levels of access and lending policies of libraries.

WHEN? CDLC Direct Access Cards are issued to eligible users needing extensive use of other participating libraries only after the home library’s resources have been fully utilized. They are not designed for use when interlibrary loan would suffice.

Questions, comments, or concerns should be directed to:

Capital District Library Council
Direct Access Program Administrator
dap@cdlc.org
518-438-2500
About the Program

The CDLC Direct Access Program was started in 1974 and is based on the premise that participating libraries will translate their commitment to cooperation and service into library access for users of other libraries in the region, even though their collections may not otherwise be open to the public. The program is meant to provide serious library users with access to resources not available in the library with which they are primarily affiliated.

The Direct Access Program is particularly helpful to users who need something from another collection immediately, who need to browse through a specialized collection, who lack sufficient bibliographic information for effective interlibrary loan, or who need to use resources which cannot be borrowed or photocopied.

This program is open to institutional members in good standing with CDLC. Personal members are not eligible except through a participating Issuing Library. Participation in the Direct Access Program is voluntary and supports the cooperative spirit of library access.

The CDLC Direct Access Program is an official program of CDLC, authorized and supported by the CDLC Board of Trustees. Unlike regional interlibrary loan, participation in the Direct Access Program is voluntary.

Definitions

Directory of Participating Libraries: A publically accessible online resource, updated by CDLC, which lists participating libraries, their loan policies and access restrictions.

Direct Access Program: A voluntary, direct borrowing program in which participating member extend access to their collections to one another. Alternatively referred to as DAP throughout.

DAP Card: The card issued to a patron by their home library which allows them to utilize the program.

Institutional Members: Organizations who renew their membership with CDLC on an annual basis. This includes Public Library Systems and by extension their member libraries. Individual school libraries may also participate but must request access to the program through their School Library System.
Issuing Library: The home library that issues a Direct Access Program Card to their faculty, students, staff, or eligible patrons.

Lending Library: The library that lends books and other materials to individuals who hold a Direct Access Program Card.

Personal Members: Individuals who renew their membership with CDLC on an annual basis.

Serious User: A faculty member, graduate or undergraduate student, corporate researcher, health science professional, lawyer, teacher, writer, genealogist, or advanced studies high school student who need to have broader access to regional collections in order to complete research.

The use of MUST and SHOULD throughout the document: Must is used to clarify actions that are required of participating libraries and the DAP Card Holders. Should is used to denote suggested best practices.

CDLC Responsibilities

CDLC will:
1. Provide and maintain a Directory of Participating Libraries which will include contact information, access policies, and lending policies on the CDLC website.
2. Periodically review and update the program guidelines and best practices.
3. Produce promotional materials used with the program.
4. Conduct training programs on DAP use as needed.
5. Host a yearly DAP Participants Information Meeting.
6. Monitor any issues/problems that arise.
7. Provide access to a Google Group for ease of communication.
8. Maintain a secure Borrower Database. Select information gleaned from patron applications will facilitate communication between participating libraries in the event of lost items and problem patrons.
Participating In The CDLC Direct Access Program

Administration Procedures

Eligibility and Terms of Participation

1. Any Institutional Member in good standing of CDLC may participate in the Direct Access Program (DAP). This includes public and school libraries that are members of CDLC member library systems.
   a. DAP is free to participate in;
   b. Individual school libraries must request access through their School Library System offices;
   c. Individual public libraries must participate directly;
   d. CDLC Personal members are not eligible except through a participating Issuing Library;
   e. Neither Issuing nor Lending Libraries may charge patrons for using the Direct Access Program.

2. DAP Cards are to be issued only after the resources of the Issuing Library have been exhausted. Issued DAP Cards are a privilege granted to library patrons in good standing with the Issuing Library.

3. Eligible categories of patrons from participating libraries/systems include the following as long as the patron is in “good standing” at the Issuing Library:
   a. Faculty/Staff/Graduate Student;
   b. Undergraduate Student;
   c. Professional Researcher from a CDLC Member Institution;
   d. Public Library Card holders, age 19 or older;
   e. Advanced Studies High School Student.

4. Issuing Libraries acknowledge that the Lending Libraries determine the level and extent of access allowed to DAP Card holders.

5. Participation in DAP is reciprocal. That is, for an Issuing Library to participate, they must extend some form of access to their collections to other participating libraries.

6. Issuing Libraries must be prepared to pay for lost materials incurred by patrons to whom they have issued cards. This is in adherence with sections 4.10 and 4.11 of the Interlibrary Loan Code for the United States as approved by the
Reference and User services Association (RUSA) on January 11, 2016.

7. Lending Libraries assume the responsibility for notifying the Issuing Library of any overdue items circulated to the Issuing Library's patrons in a timely fashion and no later than 3 months beyond the item’s due date.

8. The Issuing Library is responsible for the safekeeping of all unused DAP Cards.

Completing Annual Library Application

1. In order to have accurate, up-to-date information about participating libraries’ policies in regard to the CDLC Direct Access Program, CDLC requires participating libraries to complete the Direct Access Program Library Application annually. The form requests information on the:
   a. Categories of patrons the Lending Library will extend access to (e.g. faculty and graduate students; any adult over the age of 19);
   b. Lending policies and restrictions of the library;
   c. Contact information for the staff person responsible for administering DAP.

2. Libraries must fill out and sign the form and mail, email, or fax the completed form to CDLC.

3. Public Libraries that are members of the Mohawk Valley (MVLS), Southern Adirondack (SALS), or Upper Hudson (UHLS) Library Systems and wish to participate in DAP must complete individual Direct Access Program Library Applications.

Obtaining Direct Access Cards

1. Once a library decides to participate, CDLC will send the following documents:
   a. Username and password to access the Direct Access Program Administrator Webpage;
   b. An initial supply of Direct Access Program Patron Applications;
      i. After which the library may print out their own supply by accessing the document through the Direct Access Program Administrator Webpage.
   c. An initial supply of Patron Cards.
      i. DAP Cards cannot be copied and must be requested from CDLC through the online request form. Contact CDLC for
assistance if access to the online form is restricted.

ii. When possible, cards will be sent through the local courier. Otherwise cards will be sent through the United States Postal Service.

Statistic Submission

1. Because CDLC operates on a July 1-June 30 fiscal calendar, statistics must be submitted by August 1. These will include:
   a. Total number of DAP Card holders registered at a lending library;
   b. Number of items circulated to DAP Card holders;
   c. Number of lost items associated with DAP Card holders;
   d. Any issues with borrowers or other institutions.

2. Some statistics will be possible for CDLC to gather based on information entered with the Patron Borrower Data Entry Form including the number of patrons who were issued cards and how many were renewals versus new borrowers.

3. The Statistics Form is accessible through the Direct Access Program Administrator Webpage.

Participating Library’s Contact Responsibility

The Participating Library’s Contact Person

1. Will provide support and instruction to other members of the library staff.

2. Will be responsible for notifying Issuing Libraries of overdue and lost material.

3. Will regularly check and post to the Google Group to read program updates or learn about problems in the program.
   a. Any Contact Person can post to the group by emailing: dapcontacts@cdlc.org
   b. All topics can be viewed by Contact People through the forum which is accessible through the Direct Access Program Administrator Webpage.

4. Will submit statistics on an annual basis through the Annual Statistics Form.

5. Will order new cards and other promotional material as necessary.
6. Will maintain a local file containing completed Direct Access Program Parton Applications.

7. Will make sure necessary information is added through the Patron Borrower Data Entry Form.

8. Will update their profile annually using the Direct Access Program Directory Update Form.

Operational Procedures

Issuing a Direct Access Program Card

1. It is the responsibility of the Issuing Library to determine whether a patron needs a DAP Card or if the needed information may be obtained through other methods like interlibrary loan.

2. After the need for an DAP Card has been determined by the Issuing Library, the staff person issuing the DAP Card should explain the options and limitations of the Direct Access Program to the patron.
   a. When checking to see if the needed material is available at a participating library, staff should check the CDLC Directory of Participating Libraries to verify the Lending Library’s participation level, lending policies, and access restrictions.
   b. It should be explained to the patron that licensed online research databases will probably not be available to them because of licensing restrictions. They can verify this with the lending library.

3. If the patron agrees to the responsibilities of holding a DAP Card, the staff person should verify the patron’s library record with the circulation department.
   a. IMPORTANT: Patrons with poor borrowing history should not be offered a DAP Card.

4. Once the patron understands the details of the Direct Access Program, the Issuing Library and the patron must complete the Direct Access Program Parton Application. The following information is required:
   a. Patron’s name and permanent address, phone number, email, and local library ID, and signature;
   b. Issuing Library Name;
   c. Issuing Librarian’s Name;
d. Unique Direct Access Card Number (preprinted on card);
   e. Issue Date;
   f. Expiration Date (no later than a year from the issue date. If the case of
      academic libraries, it is advised to issue a card for no longer than the
      end of the current academic semester);
   g. Patron Status;
   h. Patron Category.

7. The Issuing Librarian should ask for appropriate ID to verify the identity of the
   patron (e.g. a driver’s license, school ID.)

8. The applying patron must read and agree to the conditions stated in the
   agreement at the bottom of the application form and sign it.

9. The paper application form must be kept by the Issuing Library.
   a. Parts of the application must be submitted to CDLC through the Patron
      Borrower Data Entry Form. The entered information will populate a
      password protected database which will facilitate communication
      between participating libraries in the event of lost items and problem
      patrons. CDLC staff will maintain the database and provide information
      to libraries as necessary.
   b. The decision of who will enter the information into the database is left to
      the discretion of the Issuing Library. However, it is recommended that a
      single person at the Issuing Library be responsible for the task to help
      create efficient workflows.

10. The DAP Card holder should be made aware that for the Card to be used at a
    Lending Library, it will need to be validated through the Lending Library with some
    patron information being entered into the user database of that Library.
    a. NOTE: It is important to notify the patron about this as staff that can
       perform this validation at the Lending Library may not always be
       available. Patrons should be advised to call ahead.

11. The DAP Card holder should also be provided with a copy of the Guidelines for
    Users which is available on the CDLC website.

12. When issuing the card, it is important to print clearly in ink (preferably with a
    ballpoint pen) being sure to fill out all sections of the card or the card may not be
    accepted at the Lending Library.
Lending Materials to Direct Access Card holders

- All eligible persons will be allowed to borrow materials upon presentation of the CDLC DAP Card within the restrictions set by the Lending Library. However, Lending Libraries may choose to not honor a DAP card holder’s request based on card holder’s outstanding obligations to the lending library or history of being delinquent with material.

- No library will charge any initiation fees to a DAP Card holder.

- Eligible borrowers must produce a non-transferable, current, and valid DAP Card, issued by a borrower’s home library (i.e., the Issuing Library.) The Lending Library may also ask for additional photo ID. If this is necessary, it should be noted in the Lending Library’s Directory Listing.

1. It is the responsibility of the Lending Library to:
   a. Check the EXPIRATION DATE on the DAP Card to be sure it is valid.
      i. Lending Libraries should not extend borrowing privileges to any DAP Card holder beyond the expiration date noted on the card. The Issuing Library is only responsible for materials borrowed by their patrons using valid DAP Cards.
   b. Check the PATRON STATUS to be sure the Lending Library lends to that category of patron.
      i. Patron status should be clearly marked on the DAP Card.
      ii. NOTE: If it is not, the Lending Library should ask for some other form of ID that indicates the person’s status (e.g., Academic or School ID card, Public Library Card.)
c. If required, check the **SIGNATURE** on the DAP Card against the signature on a second form of identification.

2. Once it is determined that the DAP Card holder may use the Lending Library's collection, the Lending Library should inform the DAP Card holder of the policies of the library.
   a. The DAP Card holder is governed by the regulations of the Lending Library which should be clearly stated on the Lending Library's Directory Listing.

3. The Lending Library should then register the DAP Card holder in their local patron database.

4. When checking out, clearly state the date on which the item is due.
   a. **NOTE:** Materials must be returned to the library from which they were borrowed.

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**Overdue/Recalled Library Materials and Payment Terms**

1. It is the responsibility of the Issuing Library to assist the Lending Library in effecting a return of overdue material.

2. Any fines or replacement costs for materials lost or damaged are the responsibility of the individual borrower.
   a. In the event that the borrower does not pay replacement fees associated with his/her account, reimbursement for these items becomes the responsibility of the Issuing Library.

3. The Lending Library should follow the overdue procedures normally used by that library.

4. When normal overdue procedures do not result in the return of the borrowed materials, the Lending Library should contact the Issuing Library as soon as possible but no later than **4 weeks** of the borrowed material’s due date.
   a. The Issuing Library will need to know both the identity of the borrower and the material borrowed.
   b. **NOTE:** Prompt notification is extremely important, especially for academic institutions where student borrowers may have graduated and left the institution.
   c. **NOTE:** If the Lending Library does not provide the initial notification within **3 months** of the borrowed material’s due date, the Lending
Library assumes fiscal responsibility for replacing the items, assuming the failure of further attempts to retrieve the material.

5. If the DAP Card holder still has not returned the materials borrowed from the Lending Library within **3 months** of the borrowed material’s due date, the Lending Library must send a final notification to the Issuing Library.

6. The Issuing Library assumes fiscal responsibility for the unreturned items and will either replace them or reimburse the Lending Library the amount due according to the preferences and policies of the Lending Library. The Issuing Library may then seek to reclaim their losses from their patron (e.g., billing the patron directly, placing the charges on their student record, blocking their account.)

7. Lending libraries should notify CDLC of unreturned materials and final outcomes of the situation. Historically, losses through the Direct Access Program have been minimal. Successful operation of the program continues to depend on reasonable screening by the Issuing Library, responsible use of the Direct Access Program and a prompt follow-up by the Lending Library. If a problem does occur, immediate communication between staff of Lending and Issuing Libraries may be the most effective action.

**Misuse of the Direct Access Program**

1. When there is evidence of misuse of a DAP Card (e.g., transfer of card to another person, borrowing materials for the use of others), the Issuing Library will be responsible for recovering the misused DAP Card and blocking their patron from participating in the program.

2. If a DAP Card holder is no longer eligible for any reason (except expiration of the Card), the Issuing Library should notify CDLC who will then email the contact persons at all Direct Access Program participating libraries.