

Report of the RLF Persistence Task Force
Phase 2: Implementation Plan
July 21, 2006

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PHASE 2 FINAL REPORT
RLF Persistence Task Force

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RLF Persistence Task Force Phase 2 Final Report

In response to our charge to develop the implementation plan for the UL policy on “Persistent Deposits in the UC Regional Library Facilities,” the RLF Persistence Task Force Phase 2 has developed workflows and detailed policies that will enable the Regional Library Facilities to institute and manage the persistence policy. Included in this Final Report are appendices: 1) original and phase 2 charges to the Task Force; 2) Persistence Task Force Status Report (revised November 2005); 3) Persistence Policy Definitions based on the Phase 1 report; 4) Persistence Policy FAQ’s; 5) Guidelines for Non-persistent Deposits; and 6) Procedures for Recall.

In the Task Force Status Report of July 2005 (revised November 2005), we had proposed an alternative implementation that makes persistence the rule rather than the exception. We also proposed that persistence be applied in a uniform manner to both serial and monographic deposits, with the exception being Special Collections deposits. During a nine-month window, campuses shall be given an opportunity to review existing RLF deposits to identify titles that will be non-persistent, and have those titles identified as such in the respective RLF records and in the Melvyl records.

At the April 2006 UL meeting, the Task Force’s alternative implementation was approved, with an implementation date of September 1, 2006. The University Librarians also approved the nine-month window for non-persistent review, with the start date of April 6, 2006. Depositing libraries have until January 6, 2007 to submit titles that they wish marked as non-persistent.

Section 1 of this report contains procedures and workflow. The Persistence Task Force Phase 2 has developed procedures and workflow for the RLFs that we believe can be effectively and efficiently implemented with little variation between the two facilities. Any variations between the NRLF and SRLF workflows are strictly due to the differences between Gladis (UCB) and Voyager (UCLA) operating systems and how records from these systems are shared with the Melvyl catalog. Procedures have also been developed for recording the non-persistent status of pre-existing deposits, with guidelines to the campuses for identification and notification to the appropriate RLF. Section 2 of this report includes the specifications for systems/online updates of NRLF and SRLF records.

In the Status Report, the Task Force identified a number of additional policies that needed to be developed and articulated for persistence implementation. Included in Section 3, these additional policies are defined for circulation, special collections, affiliated library deposits, non-UC library deposits, recall, non-persistence, physical condition requirements, and replacements for lost or damaged items.

The Task Force was also asked to consider and identify any additional fiscal resources that may be necessary with Persistence implementation. While the Task Force acknowledges that concern, we believe that the revised persistence policy will result in

significantly less impact to fiscal and staff resources. Depending upon the campuses' response to the nine-month review for non-persistent titles, the RLFs may or may not need to make significant changes to existing holdings records. Section 4 summarizes these fiscal uncertainties.

SECTION 1: Procedures and Workflow

1.1 Persistent Deposits

- 1.1.1 As of September 1, 2006, all deposits to the RLFs will be persistent except for Special Collections. Persistent deposits cannot later be withdrawn from the RLF, but they may be recalled to the owning library for an indefinite period of time.
- 1.1.2 Depositing libraries are required to pre-screen deposits for duplication prior to shipment by searching Gladis for NRLF holdings, or by searching the UCLA Library Catalog for SRLF holdings. A preliminary search of Melvyl will confirm if the title already exists at the RLF, but Gladis and the UCLA Library Catalog must be consulted for more detailed holdings.
- 1.1.2a Special Collections are exempted from the non-duplication rule, and a special collections copy may be deposited when there is an existing circulating copy at the RLF. Campuses may send a circulating copy of a title if there is a pre-existing Special Collections copy at the RLF.
- 1.1.3 For serial titles and for multiple-volume monographic titles that are already at the RLF, campuses may deposit any volumes that are not already at the RLF.
- 1.1.4 Deposits at the RLF are considered to be in good condition unless otherwise noted in the RLF record. However, if a campus has a duplicate copy in good condition, and if they are concerned that the RLF copy is incomplete or damaged, they may ask for a condition check by RLF staff before discarding their campus copy.
- 1.1.5 Persistent deposits must have one of two circulation statuses:
 - 1.1.5a Circulate without restriction (Circulating): Items may be loaned by the RLF to any UC library, and subsequently may be checked out to eligible UC borrowers following local circulation policies. Items may be used on-site at the RLF and may be checked out from the RLF to eligible UC borrowers who present a valid UC Library card. Items may be loaned via ILL to non-UC libraries, either directly from the RLF or from a campus ILL center. Existing standard ILL loan periods will apply.
 - 1.1.5b Building Use Only: Items may be loaned by the RLF to any UC library, but must be used only within the library. Items may be used on-site at the RLF, but may not be checked out from the RLF. Building Use Only items are not available for ILL loan to non-UC libraries.

- 1.1.6 Unless otherwise specified by the depositing library, persistent deposits will be given a circulation status of “Circulating”.
- 1.1.7 Persistent deposits may not have restricted circulation to the owning library only. NRLF “limited circulation”, wherein titles can be used only at the owning library or on-site at the NRLF, is not permitted for persistent deposits. Starting September 1, 2006, as persistent “limited circulation” items circulate from NRLF, the owning library will review the material and reassign it a valid circulation status (i.e., “Circulating” or “Building Use Only”). NRLF will make the necessary record changes.
- 1.1.8 Persistent deposits will be processed to show their shelving location at NRLF or SRLF, and they will be given the “Circulating” or “Building Use Only” circulation status. The RLF local record will contain the owning library information. The RLF barcode label will be attached to the outside of the item and recorded in the online record. Items will not be physically labeled “persistent”, nor will their records contain any sort of note or designation identifying them as persistent.

1.2 Non-Persistent Deposits

- 1.2.1 Campuses will be given a nine-month period in which to review existing RLF deposits and identify select titles as “non-persistent”. The review period began on April 6, 2006 and concludes on January 6, 2007. Non-persistent titles may later be withdrawn from the RLF for permanent return to the owning library. Non-persistence shall be assigned at the title level.
- 1.2.1a Deposits to the RLF made after September 1, 2006 cannot be designated as non-persistent.
- 1.2.1b For serial titles or monographic sets where more than one campus has contributed holdings at the RLF, titles may not be designated as non-persistent.
- 1.2.2 The campus is responsible for providing the RLF with specific information regarding the titles they wish to be designated “non-persistent”.
- 1.2.2a For large groups of material, a general description of the group (for example, by call number range, format type, circulation status, and/or owning library) is required. Campuses must work directly with the RLF Director or Operations Manager to provide the specifications necessary to identify records in Gladis or Voyager.
- 1.2.2b For individual titles, campuses must provide the RLF with Excel spreadsheets containing the following information:
- Gladis or Voyager bibliographic record number
 - Title from the 245 field or call number
 - Owning library
 - Preferred circulation status
- 1.2.3 Non-persistent titles may have one of three circulation statuses:

- 1.2.3a Circulate without restriction (Circulating): Items may be loaned by the RLF to any UC library, and subsequently may be checked out to eligible UC borrowers following local circulation policies. Items may be used on-site at the RLF and may be checked out from the RLF to eligible UC borrowers who present a valid UC Library card. Items may be loaned via ILL to non-UC libraries, either directly from the RLF or from a campus ILL center. Existing standard ILL loan periods will apply.
- 1.2.3b Building Use Only: Items may be loaned by the RLF to any UC library, but must be used only within the library. Items may be used on-site at the RLF, but may not be checked out from the RLF. Items are not available for ILL loan to non-UC libraries.
- 1.2.3c Non-circulating: Items may be requested only by the owning library. Ordinarily items may not be used on site at the RLF. Items may not be checked out from the RLF.
- 1.2.4 Upon receipt of the Excel reports, RLF staff will identify the non-persistent titles in Gladis or Voyager. In Gladis, a note will be added to read “NRLF – On Deposit.” In Voyager, the SRLF location name will be changed to read “SRLF – On Deposit.” These notes/location names will display in the UCB OPAC/Gladis, in the UCLA Library OPAC/Voyager, and in Melvyl. The non-persistent designation will appear in Melvyl as “SRLF – On Deposit” and “NRLF – On Deposit” in the “Notes” column. UCD, UCSF, and UCSC must add the “NRLF – On Deposit” note to their local records for loading and displaying in Melvyl. When loaded to Melvyl, the note should appear in the “Notes” column when Details/Locations are displayed. By displaying the “NRLF/SRLF - On Deposit” notes in the catalogs, library staff will easily find the non-persistent titles while they are searching for duplicate deposits.
- 1.2.4a We have purposely avoided using the phrase “non-persistent” in the RLF OPAC displays because we feel the phrase will be confusing and/or meaningless to staff and users.
- 1.2.5 RLF staff will not physically mark or label the non-persistent deposits. RLF staff will change the circulation status in the online record if the campus has requested a change.
- 1.2.6 Post-implementation deposits: As campuses select materials for deposit, they are required to pre-screen deposits for duplication, prior to shipment, by searching Melvyl and **Gladis** for NRLF holdings, or by searching the UCLA Library Catalog for SRLF holdings. If they find a non-persistent copy on deposit at the RLF, they may send their copy as a **persistent** deposit, provided it is in good physical condition. The campus should include a screen print from Melvyl, Gladis, or Voyager with the “NRLF – On Deposit” or “SRLF – On Deposit” record along with the item.
- 1.2.7 Upon receipt at the RLF, the new persistent deposit will replace the existing non-persistent deposit. Processing procedures include the following:
- Check RLF online record to confirm that the existing copy is non-persistent and not Special Collections
 - Pull non-persistent copy from the stacks and confirm that they are an exact match

(if not a match, the new deposit will be processed and the non-persistent copy will remain)

- Compare physical condition and accept new incoming deposit if condition is good
- Mark non-persistent item as withdrawn and remove item barcode label and any other RLF stickers
- At NRLF, remove the “NRLF – On Deposit” note from the record. At SRLF, change location code from “SRLF – On Deposit” to the generic SRLF location code. These changes remove the “non-persistent” designation from the RLF records and, when loaded to Melvyl, remove the “non-persistent” designation from the Melvyl records (except for titles belonging to UCD, UCSF, or UCSC).
- Change online item record to reflect correct owning library; update circulation status if necessary. (At NRLF, may need to key an entirely new inventory control record.)
- Attach barcode label to new incoming deposit and shelve the item
- Return non-persistent item to the original owning library. (UCD, UCSF, and UCSC must remove the “non-persistent” designation from their local records so that the Melvyl records will be updated to remove the “non-persistent” notes.)
- RLF statistics will be recorded to reflect 1) an item added, and 2) an item deaccessioned.

- 1.2.8 Upon return of the non-persistent item to the original owning campus, the campus may choose to withdraw the item and record the action as an “item withdrawn in lieu of storage at NRLF or SRLF”, or they may choose to return the item to their on-campus collections. The record in the local campus system should be updated accordingly.

1.3 Exceptions to Persistence Policy

- 1.3.1 The following types of deposits are exempt from the persistence policy:
- Special Collections, as designated by the campus upon deposit to the RLF
 - Non-UC Library deposits, pending action from the Shared Library Facilities Board
 - Temporary deposits, such as collections that are relocated to the RLF for short-term storage during campus renovation and building expansion projects
- 1.3.2 Such deposits must be clearly identified by the campus or non-UC library, following the existing RLF operating guidelines
- 1.3.3 Special Collections and non-UC deposits are identified in Melvyl and in the RLF local system by the use of distinct RLF location codes or other public notes.
- 1.3.4 Processing procedures and access services for Special Collections and non-UC Library deposits continue to follow existing RLF operating guidelines.

SECTION 2: Specifications for systems/online records

- 2.1 In implementing the Persistence Policy, NRLF will perform three functions affecting records in Gladis and/or Melvyl. NRLF will enter notes or codes online to identify: (1) non-persistent titles; (2) items recalled to campus libraries; and (3) items with the new Building Use Only circulation status.
 - 2.1.1 Identifying non-persistent titles: NRLF will add the shelving note “NRLF – On Deposit” in the Gladis record of each title. The note will display in both telnet Gladis and in Pathfinder. For UCB titles, the updated Gladis records will load to Melvyl where the shelving note will appear in the “Notes” column when Details/Locations are displayed. For UCD, UCSF, and UCSC titles, those campuses will add the “NRLF – On Deposit” note to their local records for loading and displaying in Melvyl. When loaded to Melvyl, the note should appear in the “Notes” column when Details/Locations are displayed.
 - 2.1.1a If NRLF receives campus requests to mark large groups of materials with the non-persistent identifier, some Gladis programming will be necessary to record these changes in a system-driven batch mode. At this time we do not know if such requests will be submitted during the nine-month review period.
 - 2.1.2 Identifying items recalled to campus libraries: NRLF will add the shelving note “NRLF – On Recall to [Campus] [Date]; shelved at [Library]” in the Gladis record of each title. If only a portion of a multi-item title is recalled, those items will be specified in the note. The note will display in both telnet Gladis and in Pathfinder. For UCB titles, the updated Gladis records will load to Melvyl where the shelving note will appear in the “Notes” column when Details/Locations are displayed. For UCD, UCSF, and UCSC titles, those campuses will add the “NRLF – On Recall...” note to their local records for loading and displaying in Melvyl. When loaded to Melvyl, the note should appear in the “Notes” column when Details/Locations are displayed.
 - 2.1.3 Identifying Building Use Only items: NRLF’s circulation procedures will not change from current practice. However, since the “Building Use Only” circulation status is currently not used at NRLF, some reprogramming of Gladis will be necessary before this status can be assigned to deposited items.
- 2.2 In implementing the Persistence Policy, SRLF will perform three functions affecting records in Voyager and Melvyl. SRLF will: (1) identify non-persistent titles; (2) identify items recalled to campus libraries; and (3) circulate both persistent and non-persistent items.
 - 2.2.1 Identifying non-persistent titles: in order to implement the Persistence Policy, SRLF will need two minor programming changes in the Voyager and Melvyl location tables.
 - 2.2.1a SRLF will need a new location code in Voyager that will identify the non-persistent titles. With this new code, the UCLA OPAC display for non-persistent titles will read “SRLF – On Deposit”.

- 2.2.1b The new SRLF location code for non-persistent titles will also need to be added to the Melvyl location tables. When loaded into Melvyl, “SRLF – On Deposit” will appear in the “Notes” column when Details/Locations are displayed.
- 2.2.2 If SRLF receives campus requests to mark large groups of materials with the non-persistent identifier, we may potentially need further Voyager programming to record these changes in a system-driven batch mode. At this time we do not know if such requests will be submitted during the nine-month review period.
- 2.2.3 Circulating persistent and non-persistent items: SRLF’s circulation procedures will not change from current practice.
- 2.3 Recall Requests: Campuses will have the option of recalling persistent items back to the owning library for an indefinite period. The RLFs will need a new mechanism for this type of request, preferably an online form that is available from the NRLF and SRLF websites. Support from library systems staff at UC Berkeley and UCLA will be needed for the design and development of this application, but once tested and available little or no continuing technical support is expected.

SECTION 3: Persistence – Additional Policy Definitions

For consistency in the implementation and management of the persistence policy, the following policy definitions have been written to provide further details on persistent deposit requirements.

- 3.1 **Special Collections.** Because of the expansive variety and specialization of UC Special Collection libraries, identification of special collections materials is the responsibility of the depositing libraries. Special collections may include but are not limited to rare books, manuscripts, photographic archives, music and sound recordings, archival copies of University dissertations and master’s theses, map collections, preservation copies of microfilm, and motion picture film and video collections. All special collection deposits to the RLFs are shelved in separate storage areas with additional security measures and limited staff access.

Special collections deposits are exempt from the persistence policy and the non-duplication policy.

- 3.2 **UC Affiliated Libraries.** Deposits from UC affiliated libraries are included under the persistence policy, and must meet the circulation requirements for persistence. Special collections deposits from affiliated libraries must be identified as such upon deposit, and are exempt from the persistence policy.
- 3.3 **Non-UC Library Deposits.** Non-UC library deposits are exempt from the persistence policy, pending action by the Shared Library Facilities Board.
- 3.4 **Circulation Requirements.** Persistent deposits have one of two circulation statuses:

- 3.4.1 Circulate without restriction (Circulating): Items may be loaned by the RLF to any UC library, and subsequently may be checked out to eligible UC borrowers following local circulation policies. Items may be used on-site at the RLF and may be checked out from the RLF to eligible UC borrowers who present a valid UC library card. Items may be loaned via ILL to non-UC libraries, either directly from the RLF or from a campus ILL center. Existing standard ILL loan periods will apply.
- 3.4.2 Building Use Only: Items may be loaned by the RLF to any UC library, but must be used only within the library. Items may be used on-site at the RLF, but may not be checked out from the RLF. Building Use Only items are not available for ILL loan to non-UC libraries.
- 3.4.3 Non-circulating deposits cannot be designated as Persistent.
- 3.5 **Identification of Non-Persistent Titles.** Non-persistent deposits are those titles that were deposited at the RLF prior to September 1, 2006, and were designated by the depositing campus as non-persistent between April 6, 2006, and January 6, 2007. Non-persistence is not an option for deposits made after August 31, 2006. All non-persistent titles will be identified with the phrase “On Deposit” in Gladis (for NRLF non-persistent titles), in Voyager (for SRLF non-persistent titles), and in Melvyl (for both NRLF and SRLF non-persistent titles). The phrase “NRLF – On Deposit” or “SRLF – On Deposit” will display in the UCB and UCLA OPACs and in Melvyl. Library staff who are searching for titles with the non-persistent status may use Melvyl and either Gladis or Voyager for this information.
- 3.6 **Recall Policy and Obligations for Access.** Recall is the return of a persistent item previously deposited in an RLF to the depositing campus’ library collection for an indefinite period. Depositing libraries will have an occasional need to recall one or more of their own persistent items from an RLF for long-term housing on campus. Even when shelved on campus, recalled items will remain accessioned in the RLF on-line catalog and will retain their persistent status. The depositing library is obligated to maintain recalled items for use by any qualified UC borrower. If requested via interlibrary borrowing by another UC campus, the depositing library will provide access to the recalled items in accordance with the applicable RLF access and loan policies; i.e., access provisions will be the same as if the recalled items remained on deposit in the RLF. In most other ways, the depositing library may use recalled items as they would any other items in their circulating campus collections. Recalled items may be put on reserve, both by the depositing library and by other UC libraries (per the UC Intercampus ILL Code pertaining to RLF circulating materials). However, the depositing library may not withdraw recalled items from their campus collection. Once a recalled item is no longer needed on campus, it must be returned to the RLF as a persistent item.

The Melvyl and RLF online records for recall items will be updated to show that the item has been recalled.

Examples of the UCB or UCLA OPAC displays:

NRLF – On Recall to UCB 02/01/07; shelved in MAIN
SRLF – On recall to UCSB Library 02/01/07

Examples of the Melvyl displays:

| | |
|----------------|---|
| Location: NRLF | Notes: On recall to UCB 02/01/07; shelved in Main |
| Location: SRLF | Notes: On recall to UCSB Library 02/01/07 |

For titles recalled to UCD, UCSF, or UCSC, those campuses will add the “On recall to...” note to their local records for loading and displaying in Melvyl. When loaded to Melvyl, the note should appear in the “Notes” column when Details/Locations are displayed.

- 3.7 **RLF Physical Condition Requirements.** All deposits to the RLFs are required to meet minimal physical condition criteria. Materials must be in good, shelf-worthy condition. Incoming deposits must not have obvious damage such as disintegrating leather covers, missing text block, mold, or other infestation. Fragile items with loose covers or pages that are too brittle for repair or rebinding should be enclosed in preservation-quality boxes or acid-free envelopes that are appropriately sized to fit the dimensions of the item. Under certain circumstances, fragile items may be tied with acid-free ribbon or cloth tape.

The RLFs will include information in the RLF item records for the following conditions:

- . Brittle
- . Damaged
- . Issues missing (when this information is provided by the depositing library)

- 3.8 **Replacement Policy for Lost and Damaged Items.** If a persistent item is lost or damaged, the library whose user lost or damaged the item will make a good faith effort to repair or replace the item.

- 3.8.1 For a persistent item loaned from the RLF to a non-owning UC campus library, the borrowing library will make a good faith effort to replace the lost item. If unable to do so, the RLF will bill the borrowing library for replacement and the owning library will replace the item if possible.

- 3.8.2 For a persistent item loaned from the RLF to an owning UC campus library, the owning library will replace the lost item if possible.

- 3.8.3 For a persistent item loaned from the RLF directly to an eligible borrower (holder of a valid UC library borrowing card), the RLF will bill the user directly, and the owning library will replace the item if possible.

- 3.8.4 For a persistent item loaned via ILL from the RLF directly to a non-UC Library, the borrowing library will make a good faith effort to replace the lost item. If unable to do so, the RLF will bill the borrowing library for replacement and the owning library will replace the item if possible.

- 3.8.5 For a persistent item discovered to be damaged after circulation, the RLF will send the item to the owning library for repair or replacement consideration.

SECTION 4: Additional fiscal resources

Pending feedback on campus selections of non-persistent titles, it is impossible at this time to estimate what additional implementation and processing costs there may be. They would include:

- RLF and campus costs to add the “non-persistent” identifier to RLF OPAC and Melvyl records (Section 1.2.4; Sections 2.1 and 2.2);
- RLF cost to replace existing non-persistent titles with persistent copies offered for deposit by other libraries (Section 1.2.7).

Independent of the number of non-persistent titles identified by the campuses, there will be a cost to the RLFs to check the condition of existing deposits at the request of libraries considering withdrawal of their own duplicate copies (Section 1.1.4). The number of such requests cannot be estimated at this time.

APPENDIX I: Charge to the Task Force

December 18, 2004

To: Claire Bellanti (Chair, SRLF), Julia Kochi (UCSF), Nancy Kushigian (SLP), Gail McClenney (UCSB), Scott Miller (NRLF), Phyllis Mirsky (UCSD), Sara Shatford Layne (UCLA)

From: Bernie Hurley, SOPAG Chair

Re: Charge to the RLF Persistence Task Force

The University Librarians have adopted a new policy entitled, “**Persistent Deposits in the UC Regional Library Facilities**,” which can be found at: http://libraries.universityofcalifornia.edu/planning/RLF_Persistence_Policy.pdf. This policy creates a new class of persistent deposits that will “give all UC campus libraries the assurance that they can withdraw duplicates of deposited items from their campus collections and rely with confidence on access to the copies deposited in the RLFs, and to provide public documentation of the relevant policies and procedures.”

SOPAG is creating the RLF Persistence Task Force to develop an implementation plan for this policy. It is especially important that any implementation be efficient for the staff that must identify duplicates and mark records for partner libraries. Your task force charge has been developed in two parts. The first is an overall planning process to develop a framework that addresses the general workflow and impact on bibliographers, technical service, RLF staff, etc. SOPAG will review this framework and when approved, launch the second phase of your charge – to develop more detailed policies, procedures, costs, etc.

The charge for Phase 1 is to:

1) Create a framework for implementation;

Identify general workflow and responsibilities to: check for duplication with an existing RLF deposit; determine the conditions under which the owning library is willing to partner; identify what system(s) will be used to mark the RLF deposit for a partner library; develop an overview of who will do the marking and how; ensure a physical copy in adequate condition is retained; etc.

2) Recommend additional policies that support the procedures;

Identify policies that may need to be developed, as opposed to developing the policy at this point. For example, a policy to determine the RLF deposit is in adequate condition may be required.

3) Identify major barriers to efficient implementation, if any; and

These may include missing systems support, costs, provisions of the ULs policies that are difficult to implement, etc.

4) Prepare a status report for SOPAG

SOPAG will meet with the Chair of your Task Force to discuss and if needed, amend the plan. Other UC groups that need to be consulted will also be identified at this time.

The second phase of your charge will begin once the plan is approved.

In Phase 2 you will be charged to:

5) Develop detailed procedures, including workflows;

6) Provide more detail to the additional policies approved in Phase 1;

7) Create specifications for systems developments or enhancements, if any;

8) Itemize any additional fiscal resources that are required; and

9) Prepare a final report for SOPAG.

Implementation of the procedures will begin once SOPAG accepts the final report. SOPAG would like your Phase 1 report no later than April 1st and your final report by June 1st, 2005.

For all of SOPAG, let me thank you in advance for your willingness to serve on the RLF Persistence Task Force.

December 1, 2005

Dear Colleen, Julia, Nancy, Phyllis, Sara, Scott and Jon,

Let me start out with a series of thanks! First, for your excellent Phase 1 report that the ULs have now endorsed. Everyone agreed that the RLF persistence path you've mapped out for us is much more practical than the original plan and, in the end, will promote wide-spread adoption of the policy. Great work!

Next my thanks to Colleen for agreeing to chair the TF for the final phase of your work. Finally, a welcome and thanks to Jon Thomas for agreeing to join your TF as a new member.

I've attached your charge and Phase 1 final report to this email. You will remember that Phase 2 calls for....

In Phase 2 you will be charged to:

- 1) Develop detailed procedures, including workflows;**
- 2) Provide more detail to the additional policies approved in Phase 1;**
- 3) Create specifications for systems developments or enhancements, if any;**
- 4) Itemize any additional fiscal resources that are required; and**
- 5) Prepare a final report for SOPAG.**

I'll ask Colleen to work with you all to recommend a completion date for the Phase 2 work and to send this date back to me.

Again, my thanks to you all! ...Bernie, SOPAG Chair

Interim Director for Collections
Director for Library Technologies
Director of the Northern Regional Library Facility

APPENDIX 2: Persistence Task Force Status Report

For the report, please go to:

[http://libraries.universityofcalifornia.edu/sopag/RLF Persistence/Report rev.pdf](http://libraries.universityofcalifornia.edu/sopag/RLF_Persistence/Report_rev.pdf)

APPENDIX 3: Persistence Policy Definitions

Persistence Policy Definitions

(Revised 04/12/06; posted by SOPAG 05/03/06)

http://libraries.universityofcalifornia.edu:8081/sopag/RLF_Persistence/

Persistence: deposits to the RLFs will be considered persistent, with persistence attributed to the title and all its volumes or parts. The depositing library retains ownership of the persistent title.

Persistent titles cannot later be withdrawn from the RLF and discarded by the depositing library.

Persistent titles may be recalled for an indefinite period of time to the depositing campus.

Persistent titles will be equally accessible to all UC libraries and to all on-site users at the RLFs.

Recalled titles must be equally accessible to all UC libraries, with circulation and services to other UC campuses comparable to the level of service provided by the RLFs.

Recalled titles can later be returned to the RLFs as persistent deposits.

Persistent deposits have one of two circulation statuses:

1. Circulate without restriction: the items may be loaned by the RLF to any UC library, and the item may be checked out to eligible UC borrowers following local circulation policies. These items may also be used on-site at the RLFs and may be checked out from the RLF to eligible UC borrowers who present a valid UC Library card. These items can also be loaned via ILL to non-UC libraries, either directly from the RLF or from a campus ILL center. Existing standard ILL loan periods will apply.
2. Building Use Only: the items may be loaned by the RLF to any UC library, but the item must only be used within the library. The items can also be used on-site at the RLFs, but the item cannot be checked out from the RLF. Building Use Only items are not available for ILL loan to non-UC libraries.

Non-circulating deposits cannot be designated as Persistent.

Non-persistence: non-persistence will be attributed to the title and all its volumes or parts. During a nine-month period immediately following implementation of the Persistence Policy, campuses will be allowed to identify selected titles within existing RLF deposits (deposits made prior to September 1, 2006) as non-persistent.

Non-persistent titles, at the request of the depositing library, may be deaccessioned from the RLF and returned to the depositing library.

Non-persistent titles will be removed from the RLF and replaced if another UC library offers their copy, in good condition, as a persistent deposit.

Non-persistent titles will be marked in the RLF local databases (Gladis for NRLF and Voyager for SRLF). Campuses will have access to this information by searching the RLF databases.

Non-persistent titles may have one of three circulation statuses:

1. Circulate without restriction: the items may be loaned by the RLF to any UC library, and the item may be checked to eligible UC borrowers following local circulation policies. These items may also be used on-site at the RLF and may be checked out from the RLF to eligible UC borrowers who present a valid UC Library card. They may be loaned via ILL to non-UC libraries, either directly from the RLF or from a campus ILL center. Existing standard ILL loan periods will apply.
3. Building Use Only: the items may be loaned by the RLF to any UC library, but the item must only be used within the library. The items can also be used on-site at the RLFs, but the item cannot be checked out from the RLF. Building Use Only items are not available for ILL loan to non-UC libraries.
2. Non-circulating: the items may be requested only by the owning library. Ordinarily, they may not be used on-site at the RLF. They may not be checked out from the RLF.

Deposits to the RLFs made after September 1, 2006 may not be designated as non-persistent, except special collections, which are non-persistent by default.

Special Collections: special collection deposits are excluded from the persistence policy. For the purposes of this policy, special collections are those materials that are identified as such by the owning library at the time they are processed into the RLF and housed in the separate high security stack areas.

Special collections are designated as non-circulating. They can only be requested by the owning library for use in that library. Ordinarily, they may not be used on-site at the RLFs.

Libraries may continue to identify future deposits as special collections, and these deposits will be non-circulating.

Non-UC deposits: non-UC deposits are excluded from the persistence policy, pending action from the Shared Library Facilities Board.

APPENDIX 4: Persistence Policy FAQs

Persistence Policy FAQs

(Revised 04/12/06; posted by SOPAG 05/03/06)

http://libraries.universityofcalifornia.edu:8081/sopag/RLF_Persistence/

1. Why the Persistence Policy?

One long-standing policy of the RLF program, the non-duplication policy, has in some instances prevented campus libraries from managing their collections in the most cost-effective manner. The purpose of the Persistence Policy is to correct this problem.

This policy creates a new class of persistent deposits that will, "...give all UC campus libraries the assurance that they can withdraw duplicates of deposited items from their campus collections and rely with confidence on access to the copies deposited in the RLFs..." The full policy can read at:

http://libraries.universityofcalifornia.edu/planning/RLF_Persistence_Policy.pdf

2. Which materials currently on deposit will be made persistent?

All materials except special collections will be assumed to be persistent as of the date this policy is implemented. The campuses will have nine months from that date to identify those collections or titles they wish to be non-persistent, and to provide the RLFs with the necessary information to identify the materials. The RLFs will annotate the storage records to indicate non-persistent status.

[Note: For the purpose of this policy, special collections are those materials identified as such by the owning library at the time they are processed into an RLF and housed in separate high security areas.]

3. May a library declare all of its existing RLF deposits to be non-persistent?

Libraries are encouraged to make persistent as many of their RLF holdings as possible. However, it's understood that there are good reasons to designate certain types of materials or certain titles non-persistent - because of format, fragility, rarity, etc. Nevertheless, libraries should be aware that their non-persistent items will be withdrawn from the RLF and returned to them if other libraries decide to deposit persistent copies of those titles.

4. Who will manage the record keeping needed to indicate that a title is non-persistent?

The staffs at the RLFs will do all record keeping in their systems to indicate non-persistent status.

5. What does this mean for selectors/bibliographers?

In general, collection development staff will be responsible for identifying non-persistent collections/titles from materials already at the RLFs during the nine-month window at policy inception (as explained in #2 above). Following this implementation, all future deposits will be persistent, except for special collections.

6. Will the depositing library retain ownership of materials made persistent?

The original depositing library will continue to own material it has deposited. Ownership is not shared with other UC libraries, nor are persistent collections part of the UC Shared Print program.

7. What does the policy mean to campus libraries?

Persistence will mean that all UC libraries have equal rights of access to any persistent item, but only those libraries that once owned a copy of the persistent item may count it as part of their volume holdings. The original depositing library is the only library that may recall an item back to campus for an indefinite period. In doing so, the library must identify the item as being persistent and must continue to make it available to the other UC libraries under the same conditions as when it was housed at the RLF.

8. Who will put procedures in place to manage the Persistence Policy?

SOPAG has created the RLF Persistence Task Force to develop an implementation plan for the policy.

9. Are there limitations on the use of persistent materials?

Persistent items will be circulated to any UC library. Most items will not have restrictions on their subsequent use. Some items (as designated by the owning library) will be restricted to use within a UC library building. Consistent with existing UC ILL policy, persistent materials may be used for course reserves at any UC library according to the established guidelines and any use restrictions (e.g., building use only). Persistent items that circulate without restrictions may also be loaned via ILL to non-UC libraries, either directly from the RLF or from a campus ILL center. Existing standard ILL loan periods will apply.

APPENDIX 5: Guidelines for Non-Persistent Deposits

Guidelines for Identifying Non-persistent Materials Among Existing RLF Deposits

(Revised April 20, 2006; posted by SOPAG 05/03/06)

http://libraries.universityofcalifornia.edu:8081/sopag/RLF_Persistence/

The following guidelines do not apply to Special Collections, which are exempt from the persistence policy.

A non-persistent title is one that the owning library does not wish to make perpetually accessible to other UC libraries.

During the nine-month window **starting April 6, 2006 and concluding January 6, 2007**, the campuses will be asked to identify any of their materials among those already on deposit at the RLFs that they wish to declare non-persistent. *Beginning September 1, 2006, all new deposits to the RLFs will be persistent.*

Campuses are encouraged to apply the non-persistent status judiciously.

Campus Responsibilities for Identifying Non-persistent Materials: Each campus will be responsible for providing its RLF with specific information regarding the titles they wish to be designated “non-persistent.”

For large groups of material: A general description of the group (e.g., by call number range, format type, circulation status, and/or owning library). For these groups of materials, campuses should work directly with the RLF director or operations manager to provide the information or specifications required to identify the individual records in Gladis or Voyager. If possible, the information will be used to automatically collect the records in Voyager or Gladis and update them as non-persistent.

For individual titles: An Excel spreadsheet containing the following information:

- Voyager (southern UCs) or Gladis (northern UCs) bibliographic record number
- title from the 245 field or call number
- owning library
- preferred circulation status (circulating/unrestricted; building use only; non-circulating)

Example:

| Gladis/Voyager Record Number | Title or Call Number | Owning Library | Circulation status (C, B, N) |
|------------------------------|--|----------------|------------------------------|
| 1650678 | Histoire du commerce et de la navigation | UCLA/YRL | Building Use |
| 3848759 | Journal of British music therapy | UCLA/Music | Building Use |
| 16897282E | DK1.B94 | UCB/Main | Building Use |
| 16869305A | Horizon | UCB/Envi | Building Use |

APPENDIX 6: Procedures for Recall

Guidelines for Recalling Persistent Materials to the Depositing Library Revised 06/14/06

Recall: Return of an item previously deposited in an RLF to the depositing campus' library collection for an indefinite period.

(Note that recall applies to persistent items only. Non-persistent items and special collections items to be removed from an RLF will be deaccessioned, not recalled.)

Depositing libraries will have an occasional need to recall one or more of their own persistent items from an RLF for long-term housing on campus. Even when shelved on campus, recalled items will remain accessioned in the RLF on-line catalog and will retain their persistent status. The depositing library is obligated to maintain recalled items for use by any qualified UC borrower. If requested via interlibrary borrowing by another UC campus, the depositing library will provide access to the recalled items in accordance with the applicable RLF access and loan policies; i.e., access provisions will be the same as if the recalled items remained on deposit in the RLF. In most other ways, the depositing library may use recalled items as they would any other items in their circulating campus collections. Recalled items may be put on reserve, both by the depositing library and by other UC libraries (per the UC Intercampus ILL Code pertaining to RLF circulating materials). However, the depositing library may not withdraw recalled items from its campus collection. Once a recalled item is no longer needed on campus, it must be returned to the RLF.

Recall Procedures

The depositing library will complete a Recall Request Form (available at the NRLF and SRLF websites). If the item to be recalled has been checked out to the depositing library and is in their possession, they will return the item along with a paper copy of the form to their RLF.

Upon receipt of the Recall Request Form, the RLF will re-process the item as follows:

- Add a shelving note to the RLF OPAC record indicating that the item has been recalled and is housed in the depositing library.
 - Examples:
SRLF – On Recall to UCSB 02/01/07
NRLF – On Recall to UCB 02/01/07; shelved in MAIN
- Mark the exterior of the item to clearly indicate that it has been recalled to campus and that it retains its persistent status. (Marking may also include the assignment of a new RLF "recall" barcode label to the item, which would replace the standard RLF barcode.)

If the item had been checked out to the depositing library, it will be discharged from the RLF circulation system. The item will then be shipped to the depositing library as directed on the Recall Request Form. The RLFs will maintain counts of recalled items by campus.

Upon receipt of the recalled item, the depositing library will add a shelving note to their local catalog record indicating that the item has been recalled from the RLF to be housed with their campus collections (i.e., a note similar to the examples above). When the updated local record is loaded to Melvyl, the “On Recall” note may need to display.

UC Access to Recalled Titles

A requirement of Recall is that the depositing library will provide the same level of access to the title as it would have received at the RLFs. Requests that are submitted by eligible users via Melvyl or via the RLF local system will be forwarded to the depositing library by the RLF for interlibrary lending or desktop document delivery (whatever is appropriate).

Every effort should be made to fill UC requests for the Recall title. If the depositing library is unable to immediately fill the request, the depositing library’s ILL staff is responsible for notifying the user of the delay or the “not filled” status, in accordance with existing UC ILL policies.

Items that are lost or damaged while on Recall to the depositing library will be replaced or repaired by the depositing library.

APPENDIX 6: Procedures for Recall

NRLF/SRLF Recall Request Form

- Only the owning library may request recall of its material. Items must be re-processed at the RLF before being released on recall to the owning library.
- Submit one form per title to be recalled.

I have the item(s). (Instructions: Complete this form and click the “Submit” button. You’ll receive a confirmation via e-mail. Print a copy of the e-mail, insert it in the item, and return the item to the appropriate RLF.)

I don’t have the item(s). (Instructions: Complete this form and click the “Submit” button. You’ll receive a confirmation via e-mail.)

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Person requesting recall (Should be the owning library unit head or a bibliographer):

Address, including Library and Campus:

E-mail:

Phone:

Ship Items To:       Check if same as above

Name:

Address, including Library and Campus:

E-mail:

Phone:

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Title to be recalled:

Call number of title to be recalled:

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Item(s) to be recalled:

| Volume or Box # | Item Barcode |
|------------------------|---------------------|
| | |
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If more than five items of the title are to be recalled, specify continuous ranges of volume/box #'s and item barcodes **or** submit additional form(s).

| |
|---------------|
| SUBMIT |
|---------------|