

PERSISTENT DEPOSITS IN UC REGIONAL LIBRARY FACILITIES

Endorsed by the University of California University Librarians

May 6, 2004

Background

To enable the University of California to continue to excel in its instructional, research and service missions, each UC campus library builds and manages distinctive collections of information resources and provides leading-edge information services, all tailored to the campus academic program and the needs of its faculty and students. These campus-based collections and services satisfy the vast majority of the information needs of their respective campus communities, and they are essential to the academic quality of the University.

Over a 25-year history, the libraries have built upon and supplemented campus resources by sharing collections, leveraging technology and pooling financial and facilities resources. One such strategy is the Regional Library Facility (RLF) program, established by the University's 1977 Library Plan, which supplements the campus library space resources with secure, environmentally-controlled, shared off-campus facilities in which campus libraries can deposit infrequently-used materials of enduring research value that cannot be accommodated in campus space. The RLFs have been governed by Operating Principles adopted upon the opening of the respective facilities in the 1980s and revised in 1995.¹

The RLF program supports the goals of:

- Cost-effective management of collections and space by the UC libraries
- Universitywide retention of and persistent access to the broadest, deepest and most diverse possible collection of information resources needed for research and teaching by UC faculty and students
- Equitable access to and use of shared facilities

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 this statement on Persistent Deposits is to correct that problem.

As shared systemwide resources, the Regional Library Facilities have been supported as part of UC's Universitywide capital program. To ensure equitable Universitywide access to RLF deposits, longstanding policy has required that a bibliographic record be included in the Melvyl Universitywide online library catalog for each item deposited in an RLF, and the respective Regional Library Boards have developed and maintained mutually consistent policies and practices for access to and lending of deposited materials to all UC campuses. To ensure cost-effective management of collections and facilities, policy has required that no campus can deposit in its RLF a duplicate copy of an item previously deposited by another campus. In this event, the campus seeking to deposit the duplicate item can either retain the item in its local collection or discard the item and rely instead on the RLF copy.

The Operating Principles provide that campus deposits in RLFs are intended to be permanent. However, provision is made for a depositing campus to recall some deposits to the campus

collection. This may be justified, for example, when growing demand by the depositing campus' library users calls for the material to be available locally (as might be the case when a new academic program or major research project is established), or in the event of an unforeseen opportunity to expand campus library space (e.g., through construction of a new branch library), when recall of previously-deposited materials is necessary to provide an on-campus collection of value to the new facility's users.

While only modest numbers of deposited items have been returned to campus libraries under the provisions for recall of previously-deposited material, the fact that a depositing campus could elect to recall some of its deposits, and subsequently manage the recalled material in a way that would affect access by other campus libraries (including the possibility of subsequently discarding the items from the local collection) has deterred other UC libraries from choosing to discard their duplicate items and rely on the RLF copy to meet local campus needs.

To address this issue, the University Librarians propose to establish a narrow category of RLF deposits that shall be designated as "persistent deposits." The establishment of the category of persistent deposits is intended to 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. Implementation of persistent deposits does not require fundamental changes to the well established Operating Principles, and continues the primacy of the depositing campus as the owner and manager of all its deposits, including the "persistent deposits".

Implementation procedures for persistent deposits shall be developed effective with the date of adoption of this statement by the University Librarians. The persistent deposit category and associated procedures will apply for items withdrawn and discarded by Partner Libraries after June 30, 2004. The University Librarians will consider the application of the persistent deposits category to items that were withdrawn in lieu of storage prior to this date after implementation procedures are in place. It is the intent of the University Librarians that the persistent deposit category and associated procedures be evaluated after a period of experience not to exceed five years.

Persistent Deposits in UC Regional Library Facilities

1. Definitions

- 1.1. **Persistent deposit, persistent item.** An item deposited in an RLF by a campus library shall be marked as "persistent" when another campus library discards a duplicate of that item from its local collection and registers as a *partner library* for that item. The "persistent" designation, once made, is itself persistent, and remains with the item thereafter regardless of its location within the UC library system.
- 1.2. **Partner library.** The library or libraries that discard their duplicate copies of the *persistent deposit* (q.v.) and elect to register as "partner libraries" for that item.
- 1.3. **Recall.** Permanent return of an item previously deposited in an RLF to the depositing campus' library collection

- 1.4. **Withdrawal.** Deaccessioning and discarding an item from a campus library collection.
2. Consistent with current practice, a persistent item will continue to be owned and managed by the depositing campus library, which will also retain responsibility for the item's preservation and for the management of its bibliographic record
3. Recall of persistent items
 - 3.1. The depositing library may recall persistent items to its campus collection, subject to advanced notice to and consultation with partner libraries.
 - 3.2. The depositing library shall provide access for partner libraries to the recalled persistent item in accordance with the applicable RLF access and loan policies, i.e., access provisions for partner libraries shall be the same as if the recalled persistent items remained on deposit in the RLF.
 - 3.3. Except for the provisions for partner libraries set forth here, the depositing library may manage the recalled persistent item as a part of its campus collection, and provide access for other UC libraries consistent with prevailing policies for intercampus loan of library material.
 - 3.4. A recalled persistent item cannot be withdrawn from the campus collection by the depositing library without the consent of all partner libraries. Optionally, a depositing library may, in lieu of withdrawal, transfer a recalled persistent item from its custody to the custody of one of the partner libraries with the consent of the partner libraries. Items so transferred will retain their persistent deposit designation. The partner library to which custody is transferred will thereafter be considered the “depositing library,” and the original depositing library can elect to register as a partner library for that item.
4. Libraries may decline to have items that they have deposited in the RLF designated as persistent items. In that case, they will recall their RLF deposit back to campus, and it will be replaced by the items from the library that was blocked from making the deposit because of the non-duplication policy. The volumes removed by the original depositing library will be recognized within the calculation of deposit allocations being used at the time.
5. Procedures for implementing the persistent deposits category and monitoring compliance with those procedures will be developed by the governing board or boards of the Regional Library Facilities, in consultation with the University Librarians’ group, and the Operating Principles will be updated to reflect the establishment of the persistent deposits category and incorporate the associated procedures as required.

¹ <<http://www.lib.berkeley.edu/NRLF/oppr1.html>>, <<http://www.srlf.ucla.edu/Deposit/OpPrinciples/OperatingPrinciples.htm>>