

Report of the RLF Persistence Task Force
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Rev. 11/10/05

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STATUS REPORT

RLF Persistence Task Force

In response to our charge to develop an implementation plan for the UL policy on “Persistent Deposits in the UC Regional Library Facilities,” the RLF Persistence Task Force has developed workflows, identified a list of additional policies that need to be created and considered the major barriers that would need to be overcome to institute the policy. Attachment 1 is the original charge to the Task Force; Attachment 2 compares ILL and RLF service policies ; Attachment 3 outlines the workflows for monographs under the original charge; Attachment 4 lists the needed policies for the original charge. The workflows for serials under the original charge were so complex that we did not complete the outlines.

As the Task Force developed these workflows, we discovered how very complex they would need to be to fully address all the aspects of the ULs’ policy and would impose a heavy workload on both the campuses and the RLFs. These workflows require that persistence be the exception, rather than the rule. Thus, whenever a second campus wanted to deposit a duplicate, communication would be required to determine whether the original deposit was to be made persistent. Record-keeping regarding the partnership on individual items would also be required. However, since persistence becomes meaningful only when a campus wishes to recall an item to the campus, it thus introduces a level of complexity that we think would not be needed. This complexity and the workload of record keeping are the major barriers to implementing the policy as originally outlined by the ULs.

We believe that the number of items de-accessioned from the RLFs would make a good predictor for just how many items might need to be recalled under the persistence policy. Over the last five years, 1,317 items per year on average have been de-accessioned from both NRLF and SRLF. (See De-accessioning Statistics, Attachments 5A and 5B) Because this is such a small number of items, we decided to rethink the approach that could be taken to implement the persistence policy with a much simpler workflow.

PROPOSED ALTERNATIVE IMPLEMENTATION

We believe that it would be much more efficient to implement the persistence policy by making persistence the rule rather than the exception. We propose that campuses should be prepared to declare all past and future deposits persistent, except special collections materials. Campuses would be given a nine-month window to identify materials already on deposit that they did not wish declared persistent and notify the RLF to record its status. After the nine-month window, if a second campus subsequently wishes to replace a duplicate of an item not persistent, the original depositing campus would need to withdraw its copy from the RLF.

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 can permanently recall an item back to a campus.

No partners would be established and record changes/additions would be reduced dramatically.

PROPOSED ALTERNATIVE PROCEDURES

PROCESSING: When Campus B finds that it has a second copy of some volume already stored at an RLF by Campus A, it would check to determine that the stored copy is persistent.

- If the stored copy from Campus A is persistent, Campus B discards its copy in lieu of deposit (see sections on Statistics and on Condition and Completeness below)
- If the stored copy from Campus A is **not** persistent, and Campus B is willing to make its copy persistent, it verifies that its copy is complete and in adequate condition.
 - If its copy is complete and in adequate condition, Campus B then deposits its copy and indicates that it is a persistent copy being deposited to replace a non-persistent copy. When the RLF receives this copy it processes it, and returns the non-persistent copy to Campus A.
 - If its copy is not complete nor in adequate condition, Campus B may not deposit its copy.
- If the stored copy from Campus A is **not** persistent, but Campus B is not willing to make its copy persistent either, it may not deposit its copy.

See Figure 1 (page 5) for an outline of the Universal Persistent Workflow.

ACCESSIBILITY: When an original depositing campus needs to recall a persistent item and return it to campus, the campus would provide RLF level response to requests from all campuses. The major difference between RLF level response and regular ILL is that RLFs will lend the physical volume of a journal when it is requested. (See Attachment 2 for a comparison of ILL and RLF service policies.)

With this approach, all campuses will benefit from the continued availability of the “recalled” material, and the original depositing library will be able to continue to count it as its own. This means a recalled persistent volume may not be withdrawn from the campus library; it must be returned to an RLF when no longer required on campus.

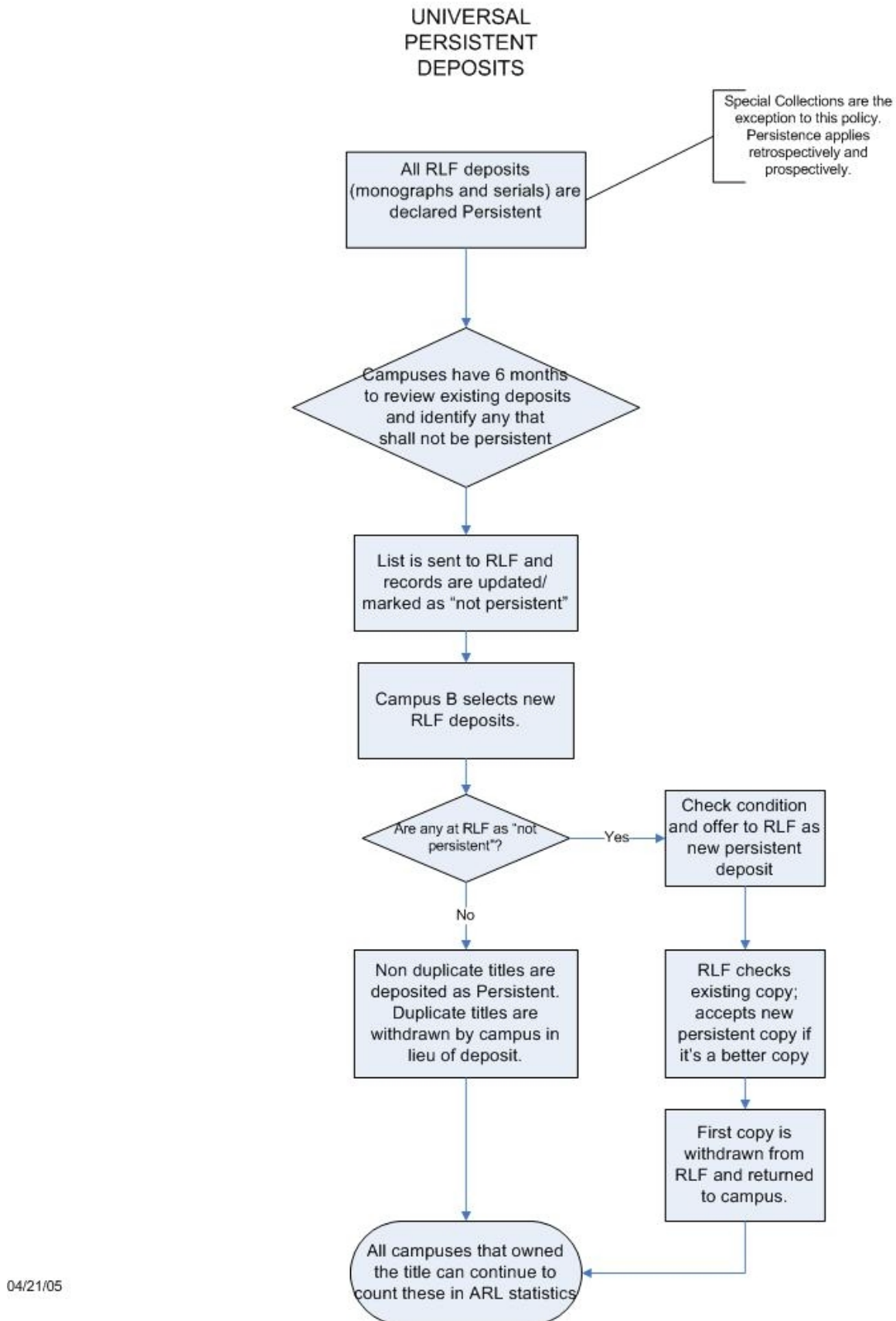


FIGURE 1: UNIVERSAL PERSISTENCE WORKFLOW

COMPLETENESS AND CONDITION: When Campus B has a copy to discard in lieu of deposit, we believe that procedures should be put in place to keep the copy that is most complete and in the best condition. We have identified four levels of action that could be carried out:

- ignore completeness and condition, accepting the first item that is deposited as persistent (least costly, not recommended by this task force);
- if a discarding campus is concerned, it asks the RLF to check whether there is a full and usable copy at the RLF, and then adds note: to “condition and holdings verified”;
- whenever a campus discards an item, the RLF assesses the RLF copy and adds a note or replaces its worn copy with a better copy;
- survey the entire collections in the RLFs and track condition and completeness on all new deposits (most costly, not recommended by this task force).

We recommend the second approach to condition, but CDC and the UC Preservation Advisory Group should be consulted as well. Also, the RLF Operating Principles should be revised to make this policy clear.

CONCLUSION:

We believe that this approach will be much less costly than actively identifying only certain materials as persistent. The process of identifying certain materials as persistent involves convoluted communications, marking, and record keeping, as indicated in the attached documents. Making everything persistent reduces the record keeping and communication drastically. Recalls are few and far between, so the new proposal allows us to handle only those few, and not the thousands that would be identified if persistence were implemented as the exception rather than the rule.

It should be noted as well that a workable policy will greatly increase trust in the entirety of RLF collections and will reduce the need to assemble discrete shared print collections for non-rare materials (i.e. those collections broadly available in other US research libraries).

There may be unidentified barriers to carrying out the policy in this manner, and we need to explore the workflows further. At this point, however, we believe that this is the most streamlined way to implement the RLF Persistence Policy and move toward achieving the larger goals of trusted and “shareable” collections.

ATTACHMENT 1: 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.

ATTACHMENT 1: Charge to the Task Force, p. 2

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.

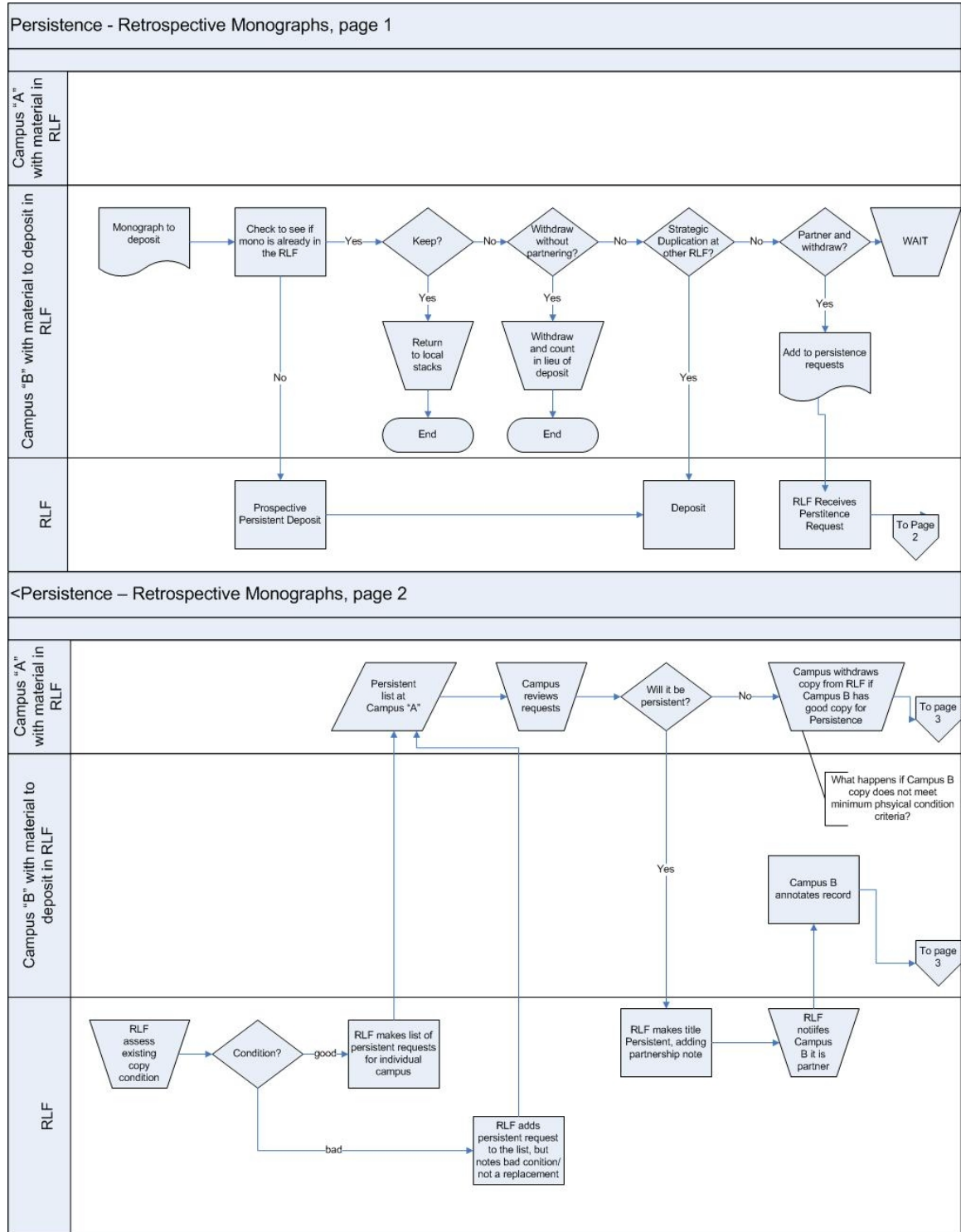
ATTACHMENT 2: Comparison of Access Provisions in the UC Intercampus ILL Code, RLF Operating Principles, and RLF Practices; May 2005

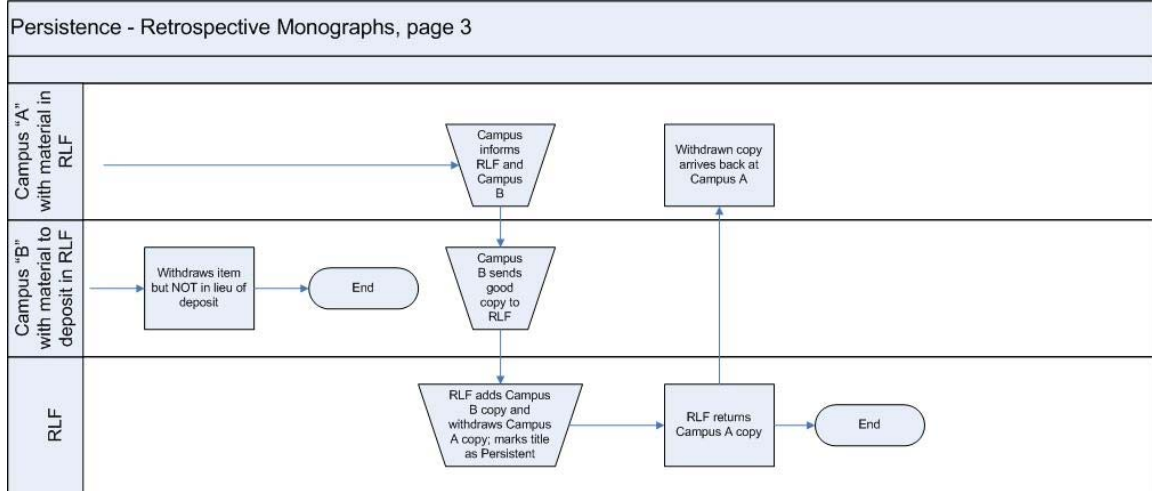
UC ILL Code	NRLF Operating Principles	SRLF Operating Principles	NRLF Practice	SRLF Practice
<p>Promptness of Response: The supplying library should process requests promptly, giving University of California requests priority over all non-patient care requests. Material that is immediately available should be dispatched within two working days from receipt of the request at the supplying library. Requests for material not immediately available or not owned should be reported as soon as its status is determined or within two working days. Requests marked as Rush should be processed and dispatched on the day of receipt or within the timeframe specified on the request.</p>	<p>3.1.1 Lending: The target period for delivery of requested material to UC libraries in the northern region is no more than two working days from receipt of the request at the library location, as designated by the library, to availability of the material at the requesting library. The target turnaround time for delivery of material to the UC libraries in the southern regions and to non-UC depositing libraries is no more than five working days from receipt of the request at the Facility to receipt of the item at the requesting library.</p>	<p>3.1.1 Lending: The target period for delivery of requested material to depositing libraries from UCs in Southern California is no more than two working days from receipt of the request at the SRLF to availability of the material at the requesting library. The target period for delivery of requested material to libraries in Northern California and to non-UC depositing libraries is no more than four working days from receipt of the request by the SRLF to receipt of material by the requesting library.</p>	<p>Requested materials are available for delivery to library service locations within one working day of receipt of the request at NRLF. Electronic documents are usually transmitted within one working day of receipt of the request at NRLF.</p>	<p>Requested materials are available for delivery to library service locations within one working day of receipt of the request at SRLF. Electronic documents are usually transmitted within one working day of receipt of the request at SRLF.</p>
<p>Decision to Loan: The decision to loan or supply material in original format is at the discretion of the supplying library. Each library should be as liberal as possible in making materials available to other University of California patrons with due consideration to the interest of its own primary clientele. Conditions of the loan should be clearly stated...</p>			<p>The decision on how an item is to be lent is made by the owning library at the time of deposit in NRLF. That lending status is recorded in the item record. Unrestricted items are lent to all UC libraries & ILL units and directly to individuals with a UC borrowers card. Items that have been designated Limited Circulation are lent only to the owning library.</p>	<p>The decision on how an item is to be lent is made by the owning library at the time of deposit in SRLF. That lending status is recorded in the item record. Unrestricted items are lent to all UC libraries & ILL units and directly to individuals with a UC borrowers card. Items that have been designated Building Use Only are lent to all UC libraries and ILL units for in-building use at the campus library.</p>

UC ILL Code	NRLF Operating Principles	SRLF Operating Principles	NRLF Practice	SRLF Practice
Renewals: Renewal requests should be timely. The supplying unit should be as generous as possible in granting renewals.			Same as the UC ILL Code	Same as the UC ILL Code
Recalls: Material on loan is subject to immediate recall. Supplying libraries should transmit recall notices electronically in a format that calls attention to them. Borrowing units should respond promptly to recall notices and impose local blocks on their patrons who do not comply. Supplying units may impose local rules regarding non-returned recalled material.	3.1.2 Photocopy: Photocopies of material deposited at the Facility may be requested by a library... 3.1.3 Telefacsimile: Telefacsimiles of material deposited at the Facility may be requested by a library...	3.1.2 Photocopy: Photocopy of material deposited at the SRLF may be requested by a library... 3.1.3 Electronic Transmission: Electronic transmission of material deposited at the Facility may be requested by the library...	Same as the UC ILL Code	Same as the UC ILL Code
Provision of Copies: The supplying library should provide copies of periodical articles and book chapters in lieu of a loan when requested. Whenever possible, and at the discretion of the supplying library, electronic copies should be supplied. Copies may also be delivered via courier or USPS. Limits may be imposed by the supplying library. Copies delivered by fax or electronic transmission may be limited to 30 pages or scans. At the discretion of the supplying library, these limits may be exceeded.			Same as the UC ILL Code	Same as the UC ILL Code
Duration of Loans: Whenever possible, University of California patrons should be given the same loan periods they would receive if borrowing the item in person. However, generally items circulating for one month or more to local faculty and graduate students will be sent to the requesting library on a three-month loan. Items circulating less than one month locally, will be loaned for their actual loan period.			1-year loans to UC libraries, some UC ILL units, and UC faculty, academic staff, and library staff borrowing directly from NRLF. 3-month loans to most UC ILL units. 2-month loans to UC grad & undergrad students borrowing directly from NRLF and to other individuals with a UC library card borrowing directly from NRLF.	1-year loan to all UC libraries. Quarter loans to all UC grad and undergrad students borrowing directly from the SRLF. Semi-annual loans (Nov. 1 or May 1 depending) to all UC Academics borrowing directly from the SRLF. 2-week loan to all other borrowers with UC library cards borrowing directly from the SRLF.

UC ILL Code	NRLF Operating Principles	SRLF Operating Principles	NRLF Practice	SRLF Practice
<p>Transportation of Materials: Means: Tricor should be used to transport returnable interlibrary loan materials between campuses... When necessary returnables may also be sent via UPS or first class mail. Non-returnable materials should be delivered using the most expeditious method for the patron, weighing existing variables (length of article, tight binding, pictures, dense text, etc.) alongside the variety of delivery methods (e.g. ARIEL, fax, e-mail, Tricor, post to the web, US Mail). When specific delivery methods are requested, reasonable efforts will be made to deliver the materials in the requested format. Frequency: ILL materials should be sent at least daily. All units are encouraged to check OCLC, DocLine or routing software daily. Attempts should be made to reduce turn-around-time whenever possible.</p>			Same as the UC ILL Code. Some campuses provide their own means of delivery.	Same as the UC ILL Code. Some campuses provide their own means of delivery.
<p>Limitations on Group Use: Material borrowed on interlibrary loan cannot be placed on reserve, nor used by theatrical, musical, or study groups unless special arrangements have been made in advance with the supplying library. An exception to this policy should be made when the material being requested is housed at a Regional Library Facility and is needed for course reserves at any UC institution, according to the [accompanying] guidelines... (e.g., the first option should be to scan or photocopy the material).</p>			Same as the UC ILL Code	Same as the UC ILL Code

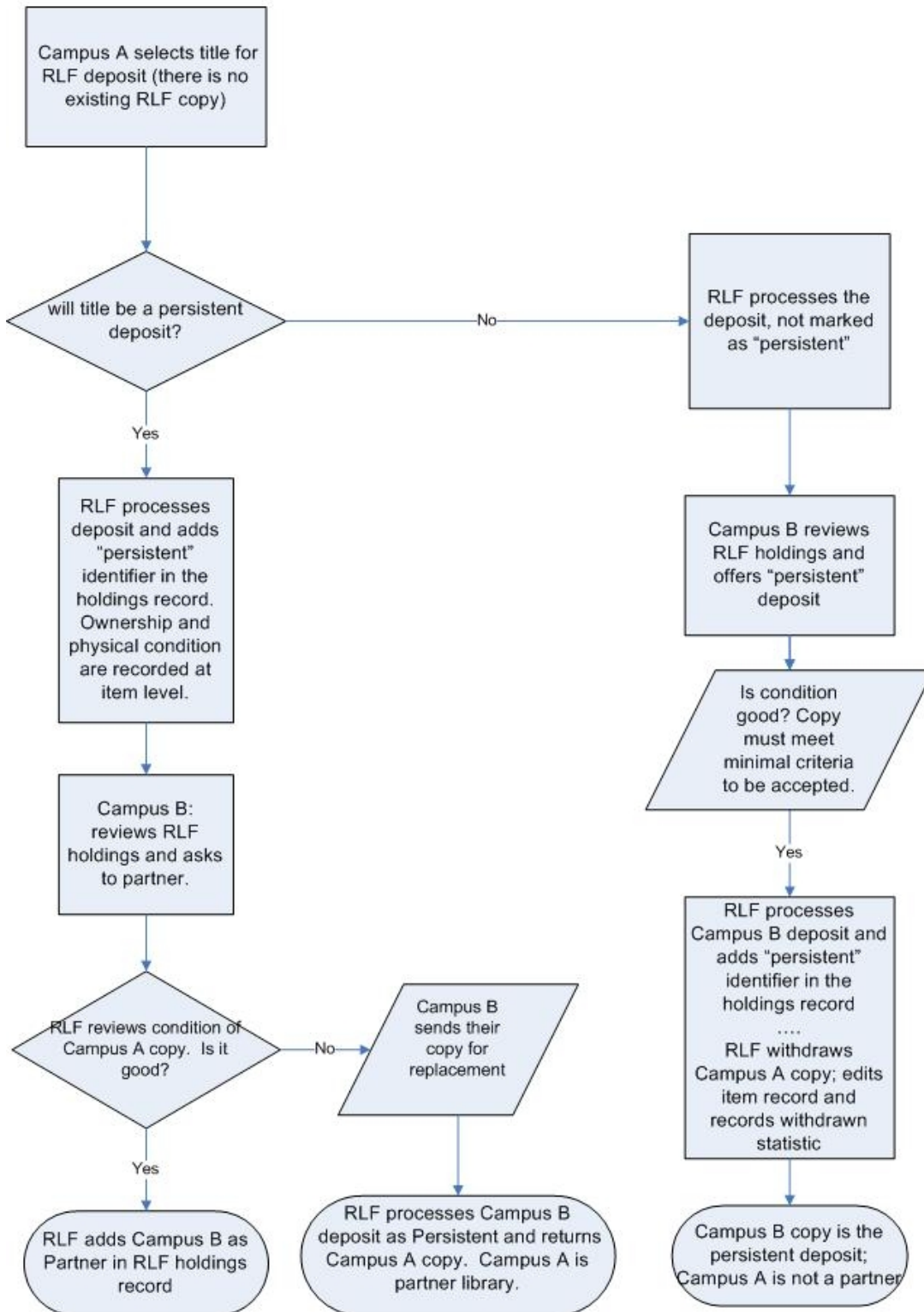
ATTACHMENT 3: MONOGRAPH WORKFLOWS RESULTING FROM THE ORIGINAL CHARGE





Rev. 03/17/05

Monographs: Prospective Persistent Deposit



Rev. 03/17/05

ATTACHMENT 4: POLICIES NEEDED TO IMPLEMENT CHARGE

Persistence Task Force

Recommended Policies for Persistence Proposal

1. Policy needed stating that anything declared persistent should circulate unless it is from a special collection.
2. Policy defining what materials are considered special collections. (Note: this was suggested since someone had a question if multimedia collections are considered special.)
3. Policy on “recall” needs to be reiterated as part of a larger education document for library staff. Need to insure that staff understand that libraries which maintain the persistent copy may recall the copy to the campus, i.e. when a new program is created. The recalling campus is however obliged to provide equitable circulation rules and RLF level turn around time for partner campuses.
4. Policy needed on the status of materials owned by non-general libraries. Is it possible to duplicate such deposits or can such deposits be declared persistent? (e.g. can shared collections be created from materials purchased on different funding sources? What happens to non-general library materials should a non-general library close)
5. Policy on non-UC deposits.
6. Policy stating that campuses may provide broad categories of materials that they will automatically agree to make persistent when a request is made to duplicate them.
7. Policy stating that a persistent copy must be easily identifiable by library staff in the RLF catalog and in the local catalog. Policy stating that the material will be physically marked.
8. Policy stating that if a campus wants its copy considered, it must meet minimum physical condition criteria.
9. Policy stating the minimal physical condition criteria.
10. Policy stating if a persistent item is lost or damaged, the library who lost or damaged it would make a good faith effort to fix or replace the item.

3/26/05

ATTACHMENT 5A: NRLF De-Accession Statistics

Deaccessions from NRLF (excluding special collections)

1999/2000 - 2003/2004

(Items)

	<u>UCB</u>	<u>UCD</u>	<u>UCSF</u>	<u>UCSC</u>	<u>Total</u>
1999/2000	2,208	473	0	17	2,698
2000/2001	2,261	101	1	38	2,401
2001/2002	1,459	78	0	39	1,576
2002/2003	2,815	185	3	28	3,031
2003/2004	1,267	46	16	174	1,503

Annual average over the last 5
years: 2,242

ATTACHMENT 5B: De-Accession Statistics for SRLF

1999/2000	
Irvine	0
Los Angeles	193
Riverside	0
San Diego	0
Santa Barbara	0
TOTAL	193
2000/01	
Irvine	0
Los Angeles	29
Riverside	3
San Diego	147
Santa Barbara	2
TOTAL	181
2001/02	
Irvine	1
Los Angeles	30
Riverside	19
San Diego	0
Santa Barbara	1
Total	51
2002/03	
Irvine	7
Los Angeles	379
Riverside	10
San Diego	32
Santa Barbara	32
Total	460
2003/04	
Irvine	0
Los Angeles	111
Riverside	6
San Deigo	144
Santa Barbara	816
Total	1,077
5 year total: 1,962	
5 year annual average: 392	