

Regional library facility annual allocation and exceptional deposit process

Approved by SLFB – December 15th, 2017

Introduction

This procedural document details the annual allocation process that the RLF directors will use to set allocations and defines the exceptional deposit guidelines and policies that apply to the RLFs and campuses. This document should be reviewed one year after the implementation of this process to set allocations for FY2019 (i.e. evaluate in spring 2019) as well as every five years to ensure that the allocation model continues to meet campus needs. At the time of writing current RLF deposit capacity is projected to be 270,000 annually for the next few years.

The allocation procedure is effective for FY 2019 meaning that the RLF directors should use this process in the spring of 2018 to identify and set allocations in conjunction with the SLFB.

Allocation process:

UCLA and UCB are to receive a set allocation each year maintained at the levels of the current allocations to UCLA and UCB. Then the remaining allocation would be divided among the remaining campuses. Table 1 shows these allocation levels as well as the historic allocations for 2016/17 which supported this determination.

Table 1: Example FY2018 distribution of regular RLF allocations as well as an averaged projected allocation for FY2019 for UCLA/UCB¹

Campus/Collection	2016/17 Allocation (Includes JACS)	Total % of Deposits	Proposed base UCLA and UCB allocation
UCB	106,560	39.50%	106,560
UCD	19,200	7.12%	
UCI	10,240	3.80%	
UCLA	87,040	32.27%	87,040
UCR	10,240	3.80%	
UCSB	10,240	3.80%	
UCSC	12,800	4.74%	
UCSD	10,240	3.80%	
UCSF	3,200	1.19%	

¹ For historical data five northern campuses were measured in volume equivalent units and five southern campuses were measured in work units.

Total	269,760	100%	193,600
Remaining allocation for distribution			76,400

Distribution of remaining allocations

Step 1: Call for need (February)

RLF directors do an annual call for need (broken out between archival boxes and non-archival boxed materials such as monographs, serials, microfilm, etc.).

Step 2: Review of campus identified need (March)

Once the call for campus needs is complete the RLF directors will make this information available to the SLFB for consideration. At that point campus University Librarians may decide to adjust/trade allocations. The RLF directors will proceed to step 3 with adjusted allocations agreed on by the SLFB.

Step 3: Determination of allocations (April)

If the call for allocations from everyone but UCLA and UCB results in a total less than capacity, each campus gets their fully requested allocation and UCLA and UCB can use up the remainder.

If the call from everyone (including UCLA and UCB) is over annual capacity we calculate the percentage that the total request is over with everyone (including UCLA and UCB) getting that % reduction (e.g. we have a capacity of 100,000 work units and we get requests for 120,000 work units representing a 20% excess request, everyone gets a 20% reduction to their requested allocation). Campuses can then use the exceptional deposit policy (see exceptional deposit policy in this document) to send additional items.

Because we are considering RLF capacity as a total number, campuses may have to send circulating materials to a different RLF than they have historically.

Step 4: Approval by SLFB (May)

The SLFB retains final approval rights over the allocations determined by this process

Policy on tracking allocation utilization

To ensure equity in allocation across campuses, the RLFs will transition to a “work unit” method for tracking allocation use and continue to use a “volume equivalent” method for tracking used vs. available shelving space.

1. Materials processed at the RLFs will count against campus allocations whether or not the item is accessioned, discarded or returned to campus. This has been standard practice at SRLF for many years.
2. Recognizing that archival boxes consume approximately 20 volumes worth of space, the SLFB should review and discuss the space implications of archival box storage. **No more than 10% of systemwide deposits in a given year (measured in work units) may be in the form of “archival box” collections.** This model is based on a review of historic data that indicates that campuses have roughly deposited less than 4% of collections as archival boxes. To assess “systemwide deposits” the RLF directors should include a call for estimated box deposit in the annual call for deposits. Archival box deposit levels may be adjusted independently of overall campus deposit levels.

Table 2 shows the ratio of formats deposited (measured in work units) at NRLF and SRLF over the past ten years. Acknowledging that historic deposit levels of archival boxes have been considerably lower than 10% over the last decade, the RLF directors ask that campuses consider the space use implications of increasing high-space utilization materials.

Table 2: Ratio of format types deposited (in work units) at NRLF and SRLF 2007-2017

Format	NRLF	SRLF
Books	91.65%	89.15%
Manuscripts/archives in boxes or cartons	1.64%	4.02%
Maps	2.77%	0.39%
Newspaper	0.15%	0.00%
Audio-visual, slides, CD-Rom Discs, etc.	1.98%	1.29%
Microfiche	0.22%	0.37%
Microfilm, Microprint	1.59%	4.78%

Total	100.00%	100.00%
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Exceptional deposit policy

UC Libraries can request to deposit more than their annually allocated amount of materials. This is known as an exceptional deposit request. Exceptional deposit requests are subject to review by the Shared Library Facility Board (SLFB) with one exception. **RLF directors, at their discretion can grant exceptional deposit requests of up to 1,000 volume equivalents (e.g. 1,000 book-like items or approximately 100 archival boxes) to any campus once in a fiscal year.** When campuses exceed their deposit targets by a small amount, typically less than 100 volume equivalents, the RLFs will not use the exceptional deposit process to evaluate deposits, the RLF directors will simply accept, accession and charge campuses the exceptional deposit fee. These exceptions are intended to simplify campus accounting for shipped materials and to assist campuses in small-scale excess deposits. Typically campuses should consider making an exceptional deposit request no more than once in a fiscal year.

Is there a fee for exceptional deposits?

The fee for exceptional deposits is determined by the SLFB and is currently \$2.95 per volume. This fee does not include shipping or transportation charges. Each depositor is responsible for shipping the additional items to the RLFs. If the SRLF truck is used to pick up exceptional deposits, transportation and other fees for that service will apply.

Suggested procedures and guidelines for requesting an exceptional deposit

- Please alert an RLF Director as soon as it is determined that an exceptional deposit situation is emerging at your campus. They can aid appropriate library staff to follow the process outlined below.
- Determine which collection(s) you would like to deposit and if they meet existing RLF deposit guidelines
- Check for duplicates against the holdings of both Regional Library Facilities. Some options for duplicate checking include:
 - Using the current RLF tool, Melvyl, and the UCLA and UCB OPACs,
 - Using OCLC's Sustainable Collection Services (SCS) GreenGlass,
 - *A possible option with journals is to contact Emily Stambaugh at CDL to see if titles can be run through AGUA to determine which volumes/issues are lacking at the RLFs.*
- The RLF director engages with the campus in an interactive process to define the boundaries and need of the exceptional deposit request. The RLF Director will review staff and shelving capacity analysis.
- If RLF has the capacity to accept the exceptional deposit request, the request is forwarded to the Shared Library Facility Board for discussion and vetting.

Once the RLF has the exceptional deposit information, what is the next step?

The RLF directors will work with the campus to identify and complete the needed process for a given request. Once that process is complete the depositing library and the RLF Directors will present the request to the SLFB. Upon review, the SLFB will take a vote. If passed, planning for the exceptional deposit itself will commence.

More questions on exceptional deposits?

For questions concerning deposits to the Southern Regional Library, contact Cathy Martyniak (cmartyniak@library.ucla.edu) at 310-206-2012. For questions regarding deposits to the Northern Regional Library, contact Erik Mitchell (erik@berkeley.edu) at 510-768-7680.