

University of California
Shared Library Facilities Board

Procedures for Annual Management of Deposits to the UC Regional Library Facilities

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1. BACKGROUND

The purpose of this document is to establish consistent Universitywide procedures for the annual management of deposits to the UC Regional Library Facilities by UC campus libraries in a fashion that equitably balances:

- The capacity of each RLF to conduct *routine processing operations*
- The space and materials storage needs of the campus libraries
- The University’s library storage commitments to the State, when these intersect with planned State-funded campus or shared library capital projects
- The anticipated growth, storage requirements, and funding options for *shared collections*

This document addresses only deposits by UC campuses. Requests for deposit in Regional Library Facilities by non-UC libraries are governed by the *Operating Principles* for the RLFs.

2. DEFINITIONS

- Elective Deposits. Items selected independently by each eligible campus library from its local collection for deposit in an RLF. Elective deposits are subject to the Shared Library Facility Board’s procedure on *Persistent Deposits*.
- Shared Collections. Shared collections are developed and managed collaboratively by the UC Libraries and composed of varying combinations of newly-acquired materials and items voluntarily contributed from existing campus library collections. In addition to the procedure on Persistent Deposits, shared collections may be required to adhere to additional defined behaviors, and will frequently require additional processing work by one or more campuses and/or the hosting RLF.
- Routine Processing Operations. The processing steps normally required for an RLF to receive, process and manage an elective deposit.
- Total Deposit Allocation. The total amount of RLF stack space, expressed in volume-equivalents, reserved to each campus for elective deposits over the expected capacity lifetime of the RLFs.
- Annual (Equivalent) Deposit Allocation. The total deposit allocation divided by the number of years of applicable expected RLF capacity lifetime.
- Exceptional Deposits. A request for deposits from a campus that (a) exceeds the *annual deposit allocation* for that campus; **and** (b) constitutes a request for or may result in an increase in the campus *total deposit allocation* and/or (c) results in an increase in annual

deposits that exceeds capacity for *routine processing operations* at the receiving RLF and is not otherwise covered by the procedures set out in Section 3.3, Management of Annual Deposits, below. An exceptional deposit request may be a one-time or a multi-year request. The Board must approve all exceptional deposits.

- **Planned Deposits.** The number, format, storage destination and other characteristics of the material that each campus plans to deposit each year, as reported in a coordinated annual poll of the campus libraries conducted by the RLF directors.

3. ELECTIVE DEPOSITS BY UC CAMPUS LIBRARIES

3.1. Responsibilities

3.1.1. Shared Library Facilities Board

3.1.1.1. The University of California Shared Library Facilities Board is responsible for establishing policies and plans and approving procedures for the management of all deposits to UC shared library facilities, including the Regional Library Facilities.

3.1.1.2. The Shared Library Facilities Board reviews and approves all requests for exceptional deposits by UC campuses.

3.1.2. Campus Libraries

3.1.2.1. All deposits from the collections of a UC campus, including those from libraries that do not report to the University Librarian (generally referred to as “affiliated libraries”) or from other campus units, are considered to be part of the total deposit allocation for that campus for the purposes of these procedures. It is the responsibility of each campus’ University Librarian, as the campus chief library officer, to plan, coordinate and manage all deposits from that campus.

3.1.2.2. Each campus library is responsible for local campus processing costs for deposits from its campus, as well as for the costs of RLF *routine processing operations* for approved deposits that exceed the campus *annual deposit allocation* (i.e., *exceptional deposits*).

3.2. Initial and Annual Planning

3.2.1. The Shared Library Facilities Board will establish *total* and *annual equivalent deposit allocations* in volume equivalents for each campus. Total annual allocations to be housed in each RLF cannot exceed the core-funded capacity for routine processing operations of each RLF (currently approximately 220,000 volume-equivalents at each facility).

3.2.2. On an annual basis, prior to the start of each fiscal year:

3.2.2.1. The Shared Library Facility Board will review the total and annual deposit allocations for all campuses and make any required adjustments.

3.2.2.2. RLF Directors will review their current capacity to conduct routine processing operations and report any changes to the Board

3.2.2.3. The RLF Directors will report to the Board on

- (a) cumulative deposits received from each campus projected to the end of the current fiscal year

- (b) space remaining in the RLF and projected fill date based on (i) annual deposit allocations and (ii) actual deposit rates during the current fiscal year, if different
 - (c) the amount of the total allocation remaining for each campus, and the number of years of storage remaining in that allocation based on (i) the campus annual deposit allocation and (ii) the campus actual deposit rate during the current fiscal year, if different.
- 3.2.2.4. The RLF Directors will conduct a coordinated systemwide poll of the campuses to determine their planned deposits for the coming year and the proposed location of those deposits. Campuses will be asked to provide information about the numbers of items that they plan to deposit in several format categories. The RLFs will make sure that the volume equivalence of the mix of material to be deposited by the campuses in each region does not exceed the RLF capacity for routine processing operations and available space for the mix of materials.

3.3. Management of Annual Deposits

- 3.3.1. A campus may choose to deposit more or less than its annual deposit allocation each year.
- 3.3.1.1. If it decides to deposit more, it borrows against its total allocation and would be expected to reduce deposits proportionally in subsequent years. The campus also agrees to pay RLF processing costs for that portion of the deposit that exceeds (a) the annual deposit allocation for the campus or (b) the capacity for routine processing operations for the year for the receiving RLF, whichever is less.
 - 3.3.1.2. If the campus decides to deposit less than its annual allocated amount, it may carry the remaining space balance forward to future years. However, the campus cannot carry forward the processing capacity balance and would be expected to pay RLF processing costs for the portion of any future deposit that exceeds (a) the annual deposit allocation for the campus or (b) the capacity for routine processing operations for the year for the receiving RLF, whichever is less.
- 3.3.2. Those campuses wishing to deposit more than their allocated amount may avoid paying RLF processing costs (or reduce the amount they must pay) by negotiating reciprocal deposit reduction agreements with other campuses making elective deposits in the same RLF. In this event, the deposit adjustments agreed to by the reciprocating campuses will be treated as in sections 3.3.1.1 and 3.3.1.2 above. Such agreements will be coordinated with the respective RLF Operations Manager.

4. SHARED COLLECTIONS

It is not possible to accurately estimate an annual allocation for shared collections. Therefore, it is proposed that any UL-approved shared collection be given space “off the top.” This action will not impact any annual campus allocation, but would shorten the RLF building life. This proposed policy also provides campuses an incentive to contribute to shared collections, as these

deposits would not count against their annual allocations. On the other hand, a campus could agree to use part of its annual allocation for shared collections. In either case, any costs of creating the shared collection that are in addition to the costs of RLF routine processing operations (i.e., certifying completeness of holdings, improving bibliographic records, etc.) must be funded by the contributing campus, by co-investment with other campuses, or from a central funding source or grant agency.

- If the shared collection is part of a campus's annual allocation, any costs in addition to the cost of routine processing operations associated with processing the shared materials at the RLF must also be funded.
- If the shared collection is an additional deposit over and above the allocated amount, RLF processing costs as well as the marginal additional shared collections costs must be funded.

*Endorsed by the Shared Library Facilities Board
November 8, 2006*