

Systemwide persistent deposits: Shared principles, collection framework and vocabulary

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Shared principles

The Systemwide Library Facilities (SLF) are stewards and repositories of shared assets, and have an important role in collection development and expanding individual campuses' access to the shared collections held at the SLF-N and SLF-S. The SLF help offset the need for campuses to build local comprehensive collections and they facilitate cooperative collection-building. The purpose of the below principles for systemwide, non-special collection deposits is to support campuses in making decisions for what to send to the SLF, which once deposited become subject to shared stewardship. These principles are not meant to be prescriptive about local/campus collections, but should help inform the decisions around persistent deposits at the shared collections at the SLF.

1. UC builds and relies upon cooperative relationships with other libraries to preserve and provide access to a wider range of collections than we can do on our own.
 - a. For commonly held titles, UC will rely on copies held by official shared print partners (such as [WEST](#)) if sufficient copies have been secured; otherwise, UC campuses and/or the SLF will be a retention library for the content.
2. Collection management decisions -- including where to store collections -- prioritize user access and discovery, minimizing the friction between current scholars and the resources they actively use.
 - a. This includes a commitment to minimum standards for SLF catalog record accuracy and completeness to support both remote user discoverability and local campus collection analysis.
 - b. A shared collection with depth and breadth enables campuses to build upon that strength while also attending to local teaching and research needs.
3. SLF space is intended to support the long term availability and preservation of the persistent collection. This recognizes the investment made by UC campuses in our collective collection.
4. UC Libraries and the SLF will reassess and evolve practices and policies, both regularly and as the need arises, with the goal of transparency and fairness to all campuses.
 - a. Communications will be transparent, bidirectional, and open across the system.
5. The retention of content represents an intentional action with respect to the long term academic value of the material.
 - a. Depositing collections to the SLF means that UC Libraries have affirmed their value and are committing to steward that material for long-term preservation and access. Therefore, decisions to deposit print collections must be made with careful deliberation and in coordination with partners across the UC and external shared print partners.

Framework to identify collections prioritized for persistent deposit

The SLF steward curated persistent collections from the UC Libraries in order to support ongoing research and teaching, now and for future generations of scholarship. These collections are developed with reference to the wider partnership of libraries beyond UC to expand the availability of the scholarly record in print form. The SLF serve a vital role in preserving physical collections that function as a copy of record in a stable format, with established techniques to prevent irreplaceable loss.

This framework is intended to provide guidance for the UC Libraries in making intentional and sustainable persistent deposits decisions. The criteria and guidelines in this framework are not applicable to Special Collections, however, items that are not a priority for the persistent collections may be appropriate for Special Collections.

First-level Criteria

Persistent deposits to the SLF must be aligned with *all* first-level criteria. The SLF are empowered to take action on the basis of these criteria.

1. Items have current or historical research or teaching value as determined by the depositing campus library. There is an intentional reason for retaining the items as part of the persistent collective collection.
 - a. Generally, the following categories of materials should not be prioritized for the persistent collective collection:
 - i. [Textbooks](#) - that is, books specifically designed to support K-12 and undergraduate instruction.
 - ii. [Superseded reference materials.](#)
 - iii. Consumables (e.g., workbooks, worksheets, forms, problem sets, computing manuals).
2. Items are not already held at the SLF as part of the persistent collections.
 - a. Campuses should validate through UC Library Search and, absent evidence to the contrary, assume duplication.
 - b. If an item contains a combination of held and not held contents (e.g., multiple bound issues or substantially differing editions), it is not considered to be a duplicate.
 - c. When multiple copies of the same item are sent by more than one campus, the SLF will deposit the first acceptable copy it receives.
 - i. The expectation is that duplicates will be respectfully recycled, unless campuses have made other arrangements with the SLF.
3. Items must be accurately represented by bibliographic records in WorldCat and in UC's shared catalog.
 - a. These bibliographic records must minimally include data that uniquely distinguishes the items from other similar works.
 - b. Remediation of bibliographic records would be a responsibility of the campus prior to transfer of material.
4. Items must meet minimum SLF condition standards for being serviceable.
 - a. Remediation of condition issues would be a responsibility of the campus prior to transfer of material.

Second-level Guidelines

If items are aligned with the first-level criteria, the following second-level guidelines can help inform selection and/or prioritization for deposit. Please note: these are guidelines, not criteria for deposit. Not all items that align with the following guidelines are necessarily optimal candidates for deposit.

5. Rarity based:

- a. Rarity can be determined by the number of copies held by libraries across the United States. In general, if there are fewer than ten copies in the United States, items may be considered rare and a potential priority for deposit.¹ It is important to recognize that this threshold is based on the *existence* of the content - not assured access through a shared collections agreement (as outlined in #6).
- b. If an item is the last copy held in UC Library Search, it may be considered a priority for deposit in the SLF in order to ensure continued access.
 - i. Campuses should validate through UC Library Search and, absent evidence to the contrary, assume duplication.
- c. When rarity is determined by an item's unique qualities and/or artifactual significance, it should be considered for special collections transfer.

6. Shared collections access based:

- a. If there are already sufficient numbers of retained copies to which the UC Libraries have assured access, items should generally not be deposited to the persistent collective collection.
 - i. Threshold for serials - 3 copies²
 - ii. Threshold for monographs - 5 copies³
- b. Items that are committed by UC campus libraries for retention in a shared print program or as part of a shared or collaborative collection with another institution may be good candidates for deposit to the persistent collective collection.
- c. Public domain items available in the HathiTrust Digital Library (HTDL) may be lower priorities for deposit to the persistent collective collection.
- d. Items not available in HTDL or which are in-copyright may be considered a higher priority for deposit to the persistent collective collection.

¹ This number is based on a [2023 predictive model](#) that gauged how many copies will survive over a period of time when subjected to certain risk factors.

² This number is based on the target set by the [Rosemont Shared Print Alliance](#) - the former national federation of serial shared print programs that has since merged with its counterpart for monographs into the [Shared Print Partnership](#). UC Libraries have assured access to these retained titles via WEST by virtue of Rosemont [Reciprocal Retention Agreement](#) and [Access Principles](#).

³ This number is based on the target set by the HathiTrust Shared Print Program during [Phase 2](#). UC Libraries have assured access to these retained titles via their membership in HathiTrust (please see page 3 of the [HathiTrust Shared Print Program Operating Policies and Guidelines](#)).

Shared Vocabulary

[Archiving](#)

[Building Use Only](#)

[Collective collection](#)

[Custodianship](#)

[Distinctive collections](#)

[Guideline](#)

[Ownership](#)

[Persistent](#)

[Preservation](#)

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[Special Collections](#)

[Stewardship](#)

[Superseded reference materials](#)

[Textbook](#)

[Unique or rare](#)

[Unrestricted](#)

Archiving

- Archiving is a term used commonly by WEST to describe the commitment of libraries to retain titles through the WEST retention date, and in some cases to perform physical validation for completeness and condition. This should not be confused with other common uses of this term in the libraries and archives space which have specific meanings in certain contexts.

Building Use Only

- Items deposited as Building Use Only at the SLF may only be used within the confines of a library building at any campus and do not circulate. They do not require supervision for use. Building Use Only items are persistent.

Collective collection

- “A collective collection, shared collection, collaborative collection, or shared print program is a joint effort by multiple academic or research libraries to house, manage, and provide access to their collective physical collections.” - [Wikipedia](#)
- This term is usually used in a broad sense to encompass not only collections that are jointly collected or stewarded, but that exist within a context where they tend to be shared.
- In the context of UC Libraries, we can refer to collections across the campuses, in addition to the SLF, as part of the collective collection. This is true even while collections stewarded at campus libraries are not subject to the same shared decision-making as in the case of shared print collections or persistent collections in the SLF.

Custodianship

- “When a campus deposits print collections that become part of the [SLF] persistent collections, the campus transfers custodianship to the [SLF], which act on behalf of all UC Libraries. - [SPCMS Part 2 Report \(2022, p. 13\)](#)

Distinctive collections

- Distinctive collections encompass areas of campus speciality that are not Special Collections (often characterized by restricted access) Campuses may make decisions about where to store materials based on their campus needs, however if deposited to SLF then access policies govern materials in the same way as other holdings.

Guideline

- “Information intended to advise people on how something should be done or what something should be” - [Cambridge Dictionary](#)
- This references the shared vocabulary below and is intended to guide behavior and implementation of “rules”.

Ownership

- “The ownership of all UC print collections, including [SLF] collections, is retained by the Regents of the University of California.” - [SPCMS Part 2 Report \(2022, p. 12\)](#)
- “No one campus owns the [SLF] persistent collections, regardless of which campus originally deposited a print resource in question.” - [SPCMS Part 2 Report \(2022, p. 12\)](#)

Persistent

- Circulating collections items that are deposited to SLF are subject to the current [Persistence Policy](#), which restricts withdrawal by the original depositor. “Any item deposited in an RLF by a campus library, with the exclusion of Special Collections, shall be declared “persistent.” The “persistent” designation is itself persistent and remains with the item thereafter regardless of its location within the UC library system.” - [Persistence Policy \(2006, p. 3\)](#)
- All items deposited to the SLF as Unrestricted or Building Use Only are persistent. These terms are defined further in the [RLF Operating Principles](#) (section 3.1.1).

Preservation

- Strategies that focus on the protection of library materials, facilitation of long term access, and mitigation of deteriorating forces. Sometimes the term “preservation” is used interchangeably with “retention,” which is certainly a component of preservation, but does not address the suite of actions needed to ensure the ongoing use of library materials.

Principle

- “A basic idea or rule that explains or controls how something happens or works” - [Cambridge Dictionary](#)

Retention

- Retention is a formal commitment to keep specified content through a specified date (which might be persistent)

Shared collection

- “A collective collection, shared collection, collaborative collection, or shared print program is a joint effort by multiple academic or research libraries to house, manage, and provide access to their collective physical collections.” - [Wikipedia](#)
- In the context of UC Libraries, shared collection tends to be used interchangeably with shared print.

Shared print

- “The goal of shared print programs is to leverage a physical collective collection to preserve and provide access to the scholarly record in its original print form.” - [Wikipedia](#)
- “A shared print program, which is a type of collective collection, is a collection of libraries, usually academic, which agree to participate in the commitment to retain materials for the long-term that are part of the scholarly record.” - [Shared Print Program Definition \(2021\)](#)
- The Big Ten Academic Alliance (BTAA) settled on “Shared Print Collection” to describe the operationalization of their “...overall vision and principles of collective action. It involves a distributed, networked print collection that operates across member libraries, providing a cohesive resource that surpasses individual holdings.” - [Building the Future of Collective Stewardship: The Big Ten Shared Print Collection \(2024, p. 2\)](#)
- Calling something “shared print” has implications based on common and [best practices](#) established by international shared print collaborations, as well as more specific implications with the UC Libraries context.
 - At the international level, calling something shared print implies that the records for that material include retention notes per established standards.
 - At the UC level, calling something shared print additionally implies that:
 - Alma retention functionality has been applied to the records (retention flag and reason)
 - The content is part of larger commitment networks such as WEST and HathiTrust

Special Collections

- Special Collections at the SLF are non-circulating and not subject to the persistence policy; the depositing campus has the authority to restrict access to, recall, or withdraw Special Collections. In the event of permanent removal or recall, the campus institution that requested does not gain rights to spaces on the RLF based on that removal or recall, with the exception of deaccessioned archival containers (per 2024 SLFB decision).
- Not all non-circulating materials at the SLF are Special Collections. Materials not considered by campuses to be Special Collections may still be deposited at the RLFs as non-circulating/non-persistent (due to value, rarity, condition, etc.). The SLF follow the same access and storage practices for all materials deposited as non-circulating/non-persistent, regardless of whether they are considered Special Collections by the depositing campus.

Stewardship

- “The UC Library System’s commitment to making informed, ethical, and transparent decisions about how to provide care for the collections entrusted to it.” - [SPCMS Part 2 Report \(2022, p. 12\)](#)
- “The stewardship of [SLF] persistent collections is the shared responsibility of library employees and UC advisory groups across the system.” - [SPCMS Part 2 Report \(2022, p. 12\)](#)

Superseded reference materials

- “A book designed to be consulted when authoritative information is needed, rather than read cover to cover.” - [Online Dictionary for Library and Information Science by Joan M. Reitz, Libraries Unlimited](#)
 - “Something old or outdated replaced by something more modern or current. In library collections, superseded items may be retained if they have historical value, for example, older editions of almanacs and statistical publications.” - [Online Dictionary for Library and Information Science by Joan M. Reitz, Libraries Unlimited](#)

Textbook

- “An edition of a book specifically intended for the use of students who are enrolled in a course of study or preparing for an examination on a subject or in an academic discipline...sometimes published in conjunction with a workbook, lab manual, and/or teacher’s manual.” - [Online Dictionary for Library and Information Science by Joan M. Reitz, Libraries Unlimited](#)

Unique or rare

- Unique or rare refer to non-Special Collections for which there are below a to be defined threshold of copies in the system, region, or binational network

Unrestricted

- Items deposited at the SLF that may freely circulate. Unrestricted items are persistent.