

**Guidelines for Replacement of Persistent Deposits in RLFs and
Shared Print in Place Monographs (11/18/11)**

From the

Persistence Implementation Task Force (PITF)

Chuck Eckman (Chair, 2009/10), AUL for Collections, UCB

Jon Edmondson, SRLF Public Services Manager

Jake Nadal, Head, UCLA Preservation Program

Scott Miller, NRLF Operations Manager

**Barbara Schader (Chair 2011), AUL for Collections & Scholarly
Communications, UCR**

Emily Stambaugh, CDL, Manager, Shared Print

Guidelines for Replacement of Persistent Deposits in RLFs and Shared Print in Place Monographs (9/26/11)

Introduction

The UC persistence policy is outlined in the document *Persistent Deposits in UC Regional Library Facilities*, and is supported by advice and guidelines set forth by the Persistence Task Force in their Phase 1 and Phase 2 reports. Links to all three documents are at http://libraries.universityofcalifornia.edu/sopag/RLF_Persistence/. The present document is intended to serve as a set of implementing guidelines as campus collection staff address the rare situations in which Persistent Deposits at the RLF are identified as lost or missing. The documents at http://libraries.universityofcalifornia.edu/sopag/RLF_Persistence/ stress reasonableness should govern these situations:

- “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.*” (pg 15, item 10, Attachment 4: Policies needed to implement charge, Report)
- “If a persistent item is lost or damaged, the library whose user lost or damaged the item will make a good faith effort to repair or replace the item.” (3.8, pg 11, Report, Phase 2)

In practice, these and related statements have been interpreted to mean that if a patron loses or damages an item, money received from that patron will go towards its repair or replacement. Unstated but implied is the follow-on responsibility that if no patron is involved, and an item is damaged or missing, the depositing library should also make a good faith effort to replace.

These guidelines provide a common approach to addressing what to do when an item that is subject to the Persistent Deposits in RLF policy or Shared Print in Place policy is declared missing, lost or irreparably damaged. The guidelines outline the basic principles for replacements, definitions, roles, responsibilities and expected actions. Compliance with the guidelines constitutes compliance with the requirement that campuses make a good faith effort to replace persistent deposits.

Basic Principles

Persistent Deposits in RLFs and Shared Print in Place are highly valued shared resources; UC Libraries and other partners depend upon these copies as trusted resources and make collection management decisions based on an expectation of their continued presence. As such, the replacement of a Persistent Deposit or Shared Print in Place item is a priority. UC Libraries adhere to a set of guidelines for replacement of lost or missing Persistent Deposits and Shared Print in Place Monographs consistent with the language of the Functional Requirements for Bibliographic Resources (FRBR).

Replacement Guidelines

- A. When lost or missing, reasonable efforts are made to replace Persistent Deposits and Shared Print in Place monographs. The following decision-making steps constitute reasonable effort for finding replacements. Examples of acceptable replacements and a proposed workflow are provided in Appendices B (Acceptable Items and Manifestations), C (RLF and Campus Workflow Steps for Replacement of Persistent Deposits in RLFs) and D (Campus Workflow Steps for Replacement of Shared Print in Place Monographs in Campus Libraries).

Reasonable effort (in order of FRBRⁱ preference):

1. If the same item can be purchased, found within the UC system or library partnership, or acquired from another source, replace with the same item.
 2. If the same manifestation can be purchased, found within the UC system or library partnership, or acquired from another source, replace with the same manifestation.
 3. If a different manifestation can be purchased, found within the UC system or library partnership, or acquired from another source, replace with that manifestation. Note that complete and identical digital copies of print can replace print in this category, if perpetual access exists to the digital copy and the digital copy is accessible (available and accessible within UC)
 4. If none of the above, the item is declared permanently lost or missing and bibliographic holdings are updated in union catalogs.
- B. When damaged, Persistent Deposits in RLFs and Shared Print in Place items are repaired or stabilized. If the damage is irreparable and renders the item unusable, the item is replaced as if it were lost or missing. Note: There are times when a campus purposely deposits “damaged” material into an RLF to protect from further damage.
- C. The UC and partner libraries agree to supply replacements when called upon.
- D. Any replacement items will be sent to the attention of the Director of the RLF or designee indicating that the item is a replacement. A specialized form has been developed for this action. (See Appendix F.)
- E. If an item has been declared missing or lost and this has been reported to the Depositing Campus it may be deaccessioned at that time. If no action has been reported and no replacement has been obtained within 24 months, then the item will be automatically deaccessioned.

ⁱ See Appendix A: Definitions

- F. Periodic reports will be sent to all depositing Libraries indicating number of missing and lost items, number of irreparably damaged items, number and types of replacements

Liability for Damage or Loss: Roles and Responsibilities

Declaring materials lost or missing is the responsibility of the materials' holding location. A Persistent Deposit in RLF is declared lost or missing by the RLF holding that item and a Shared Print in Place item is declared lost or missing by the Shared Print Managing Library. If an item is permanently lost or missing, that status is recorded in the item record by the Shared Print Managing Library (for shared print in place) or RLF (for persistent deposits in storage). This allows the appropriate authority to verify the loss and update item records to inform the system about the availability of materials.

The safety and physical condition of the borrowed material is the responsibility of the Requesting Library from the time the material arrives at the requesting library or off-site shelving facility until it is received by the Shared Print Managing Library or RLF. The Shared Print Managing Library, RLF and their contractors are responsible for the safety of materials in transit to the Requesting Library.

If damage occurs after materials have been received, the requesting institution must meet all costs of repair according to the preferences of the Supplying Library. In situations where damage requires repair services outside of the scope of UC preservation resources, the Supplying or Shared Print Managing Library will consult the Preservation Advisory Group for help in locating an appropriate conservation service.ⁱⁱ

If loss occurs after materials have been received, the requesting institution must meet all costs of replacement in accordance with the Guidelines for Acceptable Replacements included in this document. In the event of loss of a Shared Print item, the Shared Print Managing Library must have the replacement cataloged according to the current Bibliographic Service Standards for Shared Print Monographs. In the event of loss to an RLF deposit, the replacement item must be processed as a deposit from the Depositing Library according to the Standards for RLF deposits.ⁱⁱⁱ

"If damaged, the condition must be recorded by the Supplying Library in the bibliographic or holdings record using the guidelines for Preservation Services & Action."^{iv}

ⁱⁱ The UC Libraries recognize the Code of Ethics and Guidelines for Practice of the American Institute for Conservation (<http://www.conservation-us.org/index.cfm?fuseaction=page.viewpage&pageid=858>) and The Library Binding Institute Standards (<http://www.lbibinders.org/Standards.htm>) as guidelines for the treatment of their materials, and the UC Bindery can provide services in accordance with the LBI standards to all UC campuses.

ⁱⁱⁱ Standards for RLF deposits: RLF Statement of Operating Principles:
http://libraries.universityofcalifornia.edu/about/slib/RLF_operating_principles_2006.pdf

Fund Flow Issues for Replacement Funding:

The rate of loss within UC does not seem to justify the need to develop fund flows. Most lost items are lost by the owning campus. For example, over a 10 year period, UCSF had 2 items lost by another library, UCD had 35 items lost by other libraries and UCSC had 28 losses from other libraries. These approximately 65 losses for 3 campuses would have resulted in charges of approximately \$8,125 over 10 years or \$813.00 per year. (Standard replacement rate is \$100.00 - \$150.00).

Given this data, we don't believe it is necessary to develop a fund flow for persistence and shared print in place lost items at this time. However, we may revisit this recommendation if loss rate increases in future.

If an interim funding model is required, PITF recommends the Intercampus ILL Code. G: Lost and Non-returned material, which states "Supplying libraries should bill the requesting unit for the replacement of un-returned material and/or any processing fees. UC Libraries will not charge other UC Libraries late fines". <http://libraries.universityofcalifornia.edu/rsc/iag/manual/parta.htm#VG>.

Note also that SOPAG will be investigating deposit accounts and other possible system-wide funding methodologies as part of NGTS POT 4. Financial and Technical Infrastructure. In part, the charge is to "develop a fiscal framework for system-wide collaboration" and to "simplify the recharge process". http://libraries.universityofcalifornia.edu/sopag/ngts_pot4_charge.pdf

PITF recommends waiting for these guidelines to be developed if persistence and shared print in place replacement funding is determined to be necessary in the future. This will ensure those policies are in alignment with system-wide funding guidelines.

Statistics and reporting:

The RLFs and Shared Print Managing Campuses will collect statistics on lost items that have been deaccessioned and on the number and types of replacements.

CDC may want to work with Systemwide Library Planning to develop these statistics and reporting mechanisms.

Appendix A: Definitions:

Depositing Library: The library that has control over the bibliographic records of materials deposited in an RLF. A Depositing Library's materials are borrowed from an RLF by a Requesting Library.

RLF: Either of the two Regional Library facilities (Northern/NRLF and Southern/SRLF) that hold materials in common for the UC Libraries, but does not manage the bibliographic records of those items.

Requesting Library: Any library that requests materials from an RLF or Shared Print Managing Library.

Shared Print Managing Library: The library that designates one of its collections as Shared Print in Place status and controls the bibliographic records of the materials in that collection. A Shared Print Managing Library's materials are borrowed by a Requesting Library.

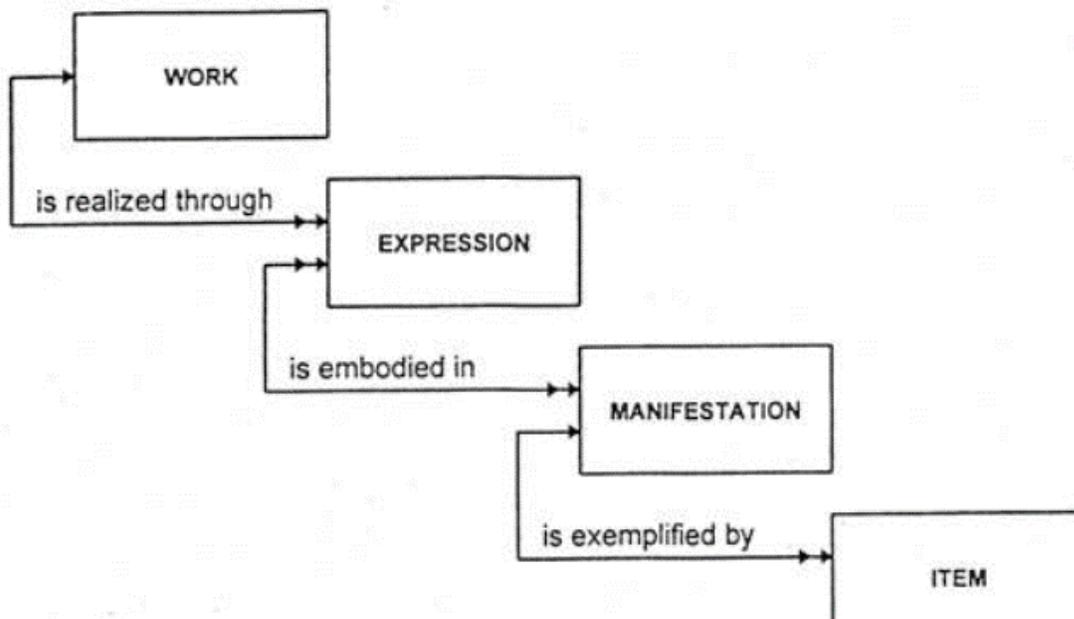
Replacement Supplying Library: The library supplying the replacement.

FRBR (Functional Requirements for Bibliographic Records): is a conceptual entity - attributes - relationship model developed by the International Federation of Library Associations and Institutions (IFLA) that relates user tasks of retrieval and access in online library catalogs and bibliographic databases from a user's perspective(IFLA 1998).

- Work: a distinct intellectual or artistic creation. i.e. Uniform title
- Expression: "the specific intellectual or artistic form that a work takes each time it is "realized"; i.e. the language of the work.
- Manifestation: "the physical embodiment of an expression of a work. As an entity, manifestation represents all the physical objects that bear the same characteristics, in respect to both intellectual content and physical form; i.e. the bibliographic record, edition, ISBN.
- Item: "a single exemplar of a manifestation. The entity defined as item is a concrete entity"; i.e. bar code.

The above are the Group I entities. Group 2 entities deal with names and Group 3 entities deal with subjects. All of these entities have attributes. We are only dealing with Group I entities in this document.

Figure 3.1: Group 1 Entities and Primary Relationships



FRBR Citations:

<http://www.loc.gov/cds/downloads/FRBR.PDF>

http://en.wikipedia.org/wiki/Functional_requirements_for_bibliographic_records

<http://www.ifla.org/en/node/949>

Appendix B: Acceptable Items and Manifestations

All replacements should be complete and in readable condition.

<i>MISSING OR LOST ITEM</i>	<i>CAN BE REPLACED BY</i>
<i>Same Item</i>	
Book	Same printing
<i>Same Manifestation</i>	
Book	Facsimile Later printing
<i>Different Manifestation of the Expression</i>	
Book Periodical/Journal Volume Microform service copy	Reprint (e.g. Dover reprint of 18th century title) Later printing with corrections Reformatted cover to cover copies (i.e. Microforms, PDFs, Digital surrogates (e.g. in Hathi Trust) with perpetual access and that are available and accessible to UC users, etc) Another volume(s) of a print periodical containing the particular missing content Microform copy Reprint is acceptable if noted as reprint Another microform service copy made from the master copy
<i>Alternative Expression</i>	
Periodical/Journal Volume German translation of a particular work	Digital version of articles but not advertisements, with perpetual access, must be available and accessible within UC A different German translation of the particular work

Appendix C: RLF and Campus Workflow Steps for Replacement of Persistent Deposits in RLFs

The RLFs prepare semiannual reports of missing/lost persistent items that depositing libraries are responsible for replacing. (See Appendices G, H, and I) The RLFs post these reports on an RLF/Shared Print webpage (which will need to be created) and distribute the relevant portion to the AUL for Collections at each depositing campus. The AULs for Collections distribute the information to those on their campus responsible for handling replacements (bibliographers, selectors, or other collection management staff) to complete the following steps:

1. Determine if there is a duplicate (item match) in the other RLF. If so, the missing/lost item is considered replaced. If not, continue.
2. Determine if there is a duplicate (item match) held at another campus. If so, ask the campus that holds the duplicate to transfer it to their local RLF as a persistent deposit. If they agree, the missing/lost item is considered replaced. If they don't agree, continue. Note: that a "Contact/Representative" listing for Campus Persistence Representative will appear on the appropriate CDL webpage where all UC Campus contacts are listed. Campuses will be responsible for notifying whoever manages that webpage of any changes.
3. If there is no duplicate (item match) in the other RLF or at another campus, follow the replacement guidelines and seek a similar replacement (i.e., same manifestation, different manifestation of the expression, or alternate expression) at the other RLF, within your own library, or at another campus. If unable to find a similar replacement, continue.
4. Acquire a replacement from another institution or an external supplier or purchase a replacement from a commercial vendor.

If the missing/lost copy was a shared print resource, the replacement copy must be cataloged as Shared Print (in Place or in the RLF) according to current bibliographic standards for shared print.

Once a replacement has been identified (or if replacement is not possible), notify the local RLF of the replacement decision (using the Replacement Notification Form, Appendix J), and request that the RLF deaccession the missing/lost item (using the RLF Deaccession Form).

Once the RLF has been notified, the missing/lost item may be withdrawn in your local catalog. If the missing/lost item is being replaced by a digital manifestation, modify your catalog record to show the physical piece as withdrawn and replaced by the digital copy. Add the url to the record or create a new record for the digital version as appropriate.

If the replacement is a newly acquired physical item, process it locally then route it to the local RLF, accompanied by a copy of the Replacement Notification Form (or another type of flag indicating that it's a replacement of a missing/lost RLF item).

The RLF processes and shelves the replacement. If the replacement is accompanied by the Replacement Notification Form, the RLF annotates its item record to identify it as a replacement. The RLF annotates the item record of the deaccessioned missing/lost item to show that it has been replaced.

Appendix D: Campus Workflow Steps for Replacement of Shared Print in Place Monographs in Campus Libraries

Each Shared Print in Place Managing Library prepares semiannual reports of missing/lost SPIP items that it is responsible for replacing. The AULs for Collections post these reports on a local campus collections/Shared Print webpage. The RLFs post their reports on an RLF/Shared Print webpage. The CDL Shared Print pages link to the campus pages. The AULs for Collections distribute the url for the local campus report and the CDL Shared Print page to those on their campus responsible for handling replacements (bibliographers, selectors, or other collection management staff) to complete the following steps:

1. There should not be a duplicate (item match) at either RLF.
2. Determine if there is a duplicate (item match) held at another campus. If so, arrange with the campus that holds the duplicate to either (1) retain the duplicate as Shared Print in Place, (2) transfer the duplicate to their local RLF (where it will be retained as Shared Print and managed by the depositing library), or (3) transfer the duplicate to the Managing Library where it will be managed as Shared Print in Place. If the other campus agrees to one of these three options, the missing/lost item is considered replaced. If they don't agree, continue.
3. If there is no duplicate (item match) available in the UC system, follow the replacement guidelines and seek a similar replacement (i.e., same manifestation, different manifestation of the expression, or alternate expression) within your own library, at another campus, or at an RLF. If unable to find a similar replacement, continue.
4. Acquire a replacement from another institution or an external supplier or purchase a replacement from a commercial vendor.

In all cases, the replacement copy must be cataloged as Shared Print (in Place or in the RLF) according to current bibliographic standards for shared print.

The missing/lost item may be withdrawn in your local catalog. If the missing/lost item is being replaced by a digital manifestation, modify your catalog record to show the physical piece as withdrawn and replaced by the digital copy. Add the url to the record or create a new record for the digital version as appropriate.

If the replacement is a newly acquired physical item, process it locally, then either shelve it locally (if being retained as Shared Print in Place) or route it to the local RLF (where it will be processed as Shared Print and shelved).

The Shared Print in Place Managing Library prepares semiannual reports of the lost/missing SPIP items that it cannot replace. They post the reports on a local campus collections/Share Print webpage to which RLF and CDL Shared Print webpages link. The Managing Library notifies CDC when these lists

become available. Other libraries (UC or consortial partners) are encouraged to provide readily available replacements to the Managing Library.

Shared print in place items which move from the managing campus to an RLF will be covered by the Persistence Policy.

Appendix E: Missing, Lost Rates for Regional Library Facilities:

Current Item Holdings: NRLF = 5,823,146 SRLF 6,294,000

In 2009/10, Gary Johnson at UCSB compiled "ILL and Circulation Loss Rates Survey Results for FY 2007-2008."

Included here are TABLE A: Campus ILL Loss Rates FY 2007-2008 and TABLE B: Campus Circulation Rates (Non ILL) FY 2007-08.

Table A Campus ILL Loss Rates FY 2007-2008							
	Items loaned to UC Libraries	Items declared lost/billed for replacement to UC Libraries	Campus loss rate within UC	Items loaned to NON-UC Libraries	Items declared lost/billed for replacement to NON_UC Libraries	Total items loaned to UC and Non-UC Libraries (Column B + E)	Campus loss rate to NON-UC
Berkeley	13011	12	0.09%	8495	21	21506	0.25%
Davis	7861	8	0.10%	3414	13	11275	0.38%
Irvine	15191	10	0.07%	4294	16	19485	0.37%
Los Angeles	11777	47	0.40%	7898	23	19675	0.29%
Merced	1567	1	0.06%	55	0	1622	0.00%
Riverside	16047	11	0.07%	2913	0	18960	0.00%
San Diego	17289	103	0.60%	4358	25	21647	0.57%
San Francisco	4934	2	0.04%	2210	0	7144	0.00%
Santa Barbara	15608	19	0.12%	3367	3	18975	0.09%
Santa Cruz	13550	7	0.05%	3742	8	17292	0.21%
NRLF	13328	33	0.25%	0	0	13328	0%
SRLF	16257	32	0.20%	3187	19	19444	0.60%
TOTAL	146420	285	0.19%	43933	128	190353	0.29%

Table B Campus Circulation Loss Rates (Non-ILL) FY 2007-08						
	Total number of loans declared lost in FY 2007-08 that were never returned, including Reserves	Excluding items provided via ILL, the number of loans declared lost in FY 2007-2008 that were never returned, including Reserves	Total number of loans in FY 2007-2008 including Reserves but excluding Renewals	Total number of loans in FY 2007-2008 to ILL from Circ	Total number of loans in FY 2007-2008 including Reserves but excluding Renewals and ILLs	Campus loss rate for items supplied across service desks
Berkeley*	0	0	0	0	0	
Davis	813	803	493413	11275	482138	0.17%
Irvine	688	665	306641	19485	287156	0.23%
Los Angeles	1729	1661	254204	19675	234529	0.71%
Merced	18	17	58961	1622	57339	0.03%
Riverside	174	164	306181	18960	287221	0.06%

San Diego	443	321	641498	21647	619851	0.05%
San Francisco	8	8	33242	7144	26098	0.03%
Santa Barbara	719	697	313833	18975	294858	0.24%
Santa Cruz	1471	1456	251769	17292	234477	0.62%
NRLF*	0	0	0	0	0	0%
SRLF	180	129	39390	19444	19946	0.65%
Total	6243	5921	2699132	190353	2508779	0.24%

- Berkeley was migrating from one ILS to another and no data is available for this time period.
- We feel it is safe to assume NRLF loss rates are comparable to SRLF loss rates.

Appendix F: Persistence Replacement Request Form (Flag)

Persistent Replacement Request

- Northern Regional Library Facility
- Southern Regional Library Facility

NOTE: Replacement copy should not be duplicate to available NRLF or SRLF item.

Date:

Contributing Campus:

Brief Title:

Volume:

OCLC #:

Persistent Replacement Request

- Northern Regional Library Facility
- Southern Regional Library Facility

NOTE: Replacement copy should not be duplicate to available NRLF or SRLF item.

Date:

Contributing Campus:

Brief Title:

Volume:

OCLC #:

