

PERSISTENT DEPOSITS IN UC REGIONAL LIBRARY FACILITIES

Endorsed by the University of California University Librarians

May 6, 2004; Revised February 20, 2006

Background

To enable the University of California to continue to excel in its instructional, research and service missions, each UC campus library builds and manages distinctive collections of information resources and provides leading-edge information services, all tailored to the campus academic program and the needs of its faculty and students. These campus-based collections and services satisfy the vast majority of the information needs of their respective campus communities, and they are essential to the academic quality of the University.

Over a 25-year history, the libraries have built upon and supplemented campus resources by sharing collections, leveraging technology and pooling financial and facilities resources. One such strategy is the Regional Library Facility (RLF) program, established by the University's 1977 Library Plan, which supplements the campus library space resources with secure, environmentally-controlled, shared off-campus facilities in which campus libraries can deposit infrequently-used materials of enduring research value that cannot be accommodated in campus space. The RLFs have been governed by Operating Principles adopted upon the opening of the respective facilities in the 1980s and revised in 1995.¹

The RLF program supports the goals of:

- Cost-effective management of collections and space by the UC libraries
- Universitywide retention of and persistent access to the broadest, deepest and most diverse possible collection of information resources needed for research and teaching by UC faculty and students
- Equitable access to and use of shared facilities

One long-standing policy of the RLF program, the non-duplication policy, has in some instances prevented campus libraries from managing their collections in the most cost-effective manner. The purpose of this statement on Persistent Deposits is to correct that problem.

As shared systemwide resources, the Regional Library Facilities have been supported as part of UC's Universitywide capital program. To ensure equitable Universitywide access to RLF deposits, longstanding policy has required that a bibliographic record be included in the Melvyl Universitywide online library catalog for each item deposited in an RLF, and the respective Regional Library Boards have developed and maintained mutually consistent policies and practices for access to and lending of deposited materials to all UC campuses. To ensure cost-effective management of collections and facilities, policy has required that no campus can deposit in its RLF a duplicate copy of an item previously deposited by another campus. In this event, the campus seeking to deposit the duplicate item can either retain the item in its local collection or discard the item and rely instead on the RLF copy.

The Operating Principles provide that campus deposits in RLFs are intended to be permanent. However, provision is made for a depositing campus to recall some deposits to the campus collection. This may be justified, for example, when growing demand by the depositing campus' library users calls for the material to be available locally (as might be the case when a new academic program or major research project is established), or in the event of an unforeseen opportunity to expand campus library space (e.g., through construction of a new branch library), when recall of previously-deposited materials is necessary to provide an on-campus collection of value to the new facility's users.

While only modest numbers of deposited items have been returned to campus libraries under the provisions for recall of previously-deposited material, the fact that a depositing campus could elect to recall some of its deposits, and subsequently manage the recalled material in a way that would affect access by other campus libraries (including the possibility of subsequently discarding the items from the local collection) has deterred other UC libraries from choosing to discard their duplicate items and rely on the RLF copy to meet local campus needs.

To address this issue, the University Librarians propose to change the designation of all future deposits to "persistent deposits." In addition, all current collections in the RLFs will be designated persistent after campuses are given a nine-month window to identify materials that they do not wish declared persistent. This change in policy would not apply to Special Collections materials nor to collections temporarily deposited by campuses (e.g., for purposes of relocation or construction). Designating the RLF collections as persistent is intended to 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. Implementation of persistent deposits does not require fundamental changes to the well established Operating Principles, and continues the primacy of the depositing campus as the owner and manager of all its deposits, including the "persistent deposits."

Implementation procedures for persistent deposits shall be developed effective with the date of adoption of this statement by the University Librarians. Once the implementation policies are accepted by the University Librarians, campuses shall be given a nine-month window to identify materials already on deposit that they do not wish declared persistent, All new deposits (with the exception of Special Collections) will be declared persistent after September 1, 2006. It is the intent of the University Librarians that the persistent deposit category and associated procedures be evaluated after a period of experience not to exceed five years.

Persistent Deposits in UC Regional Library Facilities

1. Definitions
 - 1.1. **Persistent deposit, persistent item.** 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.
 - 1.2. **Recall.** Indefinite return of an item previously deposited in an RLF to the depositing campus’ library collection
 - 1.3. **Withdrawal.** Deaccessioning and discarding an item from a campus library collection.
 - 1.4. **Original depositing library.** The library that has deposited an item first.
 - 1.5. **Secondary depositing library.** The library that wants to deposit an item after the initial depositing library has already deposited it.
2. Consistent with current practice, a persistent item will continue to be owned and managed by the depositing campus library, which will also retain responsibility for the item's preservation and for the management of its bibliographic record
3. Recall of persistent items
 - 3.1. The depositing library may recall persistent items to its campus collection.
 - 3.2. The depositing library shall provide access to recalled persistent items in accordance with the applicable RLF access and loan policies, i.e., access provisions shall be the same as if the recalled persistent items remained on deposit in the RLF.
 - 3.3. A recalled persistent item cannot be withdrawn from the campus collection by the depositing library. Once a recalled persistent item is no longer needed on campus, the item will be returned to the RLF.
4. During the initial nine-month window, libraries may decline to have items that they have deposited in the RLF designated as persistent items, and these items will be marked as “non-persistent”. If a secondary depositing library later wishes to make one of the same item persistent, the RLF will withdraw the original deposit and return it to the original depositing library. The original deposit will be replaced by the persistent item from the secondary depositing library. Items removed by the original depositing library will be recognized within the calculation of deposit allocations being used at the time.
5. Procedures for implementing the change to persistent deposits and monitoring compliance with those procedures will be developed by the governing board of the Regional Library Facilities, in consultation with the University Librarians’ group, and the Operating Principles will be updated to reflect the establishment of the persistent deposits category and incorporate the associated procedures as required.

¹ <<http://www.lib.berkeley.edu/NRLF/oppr1.html>>,
<<http://www.srlf.ucla.edu/Deposit/OpPrinciples/OperatingPrinciples.htm>>