Working Group for Systemwide Print Collection Management Strategy

Part 1 Report and Recommendations: Define existing categories of shared print collections and their relations to one another. *If relevant, submit recommendations for clearly defining levels of UC shared print collections*.

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Introduction

UC Libraries' shared print collections comprise resources that are: (1) retained under specific shared print programs or projects and, generally, are disclosed as such via MARC 583 retention notes, as well as (2) resources that are retained and protected by virtue of the Regional Library Facilities' [Persistence Policy](#).

Other resources in the UC Libraries System may be shared and persistent in practice, but are not guaranteed retention.

Summary of Recommendations

- **Recommendation #1: Absorb and rationalize all historical UC shared print projects under the umbrella of the UCL Shared Print program, making the collections subject to common standards and policies.**
  - **Recommendation #1a:** Combine JSTOR Legacy and New collections. Depend on the 583$i field to distinguish the page-level validation of JSTOR Legacy from the volume-level validation of JSTOR New. Request that JSTOR lighten access restrictions on Legacy content to align the collection with the rest of UCL Shared Print. Open the JSTOR New collection to JSTOR contingency digitization.
  - **Recommendation #1b:** Follow community best practices to indicate inactive or absorbed programs.
- **Recommendation #2: Recognize RLF persistent collections as part of the UCL Shared Print collections, collectively stewarded by the Shared Library Facility Board and University Librarians.**
  - **Recommendation #2a:** Investigate the advisability and possible forms of updating these records with 583 retention notes. Refer to the Shared Print Operations Team (SPOT).
  - **Recommendation #2b:** Develop a matrix and decision timeline to evaluate the benefits and obstacles of shifting from a distributed to centralized ownership and management approach for RLF shared collections. *Amendment: Fulfillment of this recommendation shall include consideration of a nuanced terminology (e.g. ownership, stewardship, custodianship), potential implications and the applicable decision-making authority (e.g. when physical control is transferred to an RLF, who is responsible for applicable replacement costs). Refer to the Shared Content Leadership Group (SCLG).*

Please Note: Special Collections are not subject to the [Persistence Policy](#) (see page 3). No recommendation in this report shall be applicable to Special Collections.

(1) Shared Print - retained under a specific program or project and disclosed as such via MARC 583 retention notes

UC Libraries have founded and participated in an array of formal shared print projects and programs. Some early projects have since been absorbed into larger programs and others have evolved to display distinct characteristics from those the collection was originally founded upon. Formats for UC's shared print collections span serials, monographs, microform, and even slides. For the purpose of this report, we will examine just print serial and monograph collections. For a detailed list of shared print projects and programs, their status, and key characteristics, please see Appendix A. For an overview of statistics related to shared print projects and programs please see Appendix B.

What is the power of MARC 583 retention notes and disclosure?

A foundational characteristic of program- or project-specific shared print collections is the metadata in the record that is maintained to ensure that the material is not accidentally withdrawn and that its shared print status is discoverable. In shared print programs and projects, this is generally accomplished via MARC 583 action notes. The objectives for investing resources in the maintenance of these records (and the materials themselves) fall into several categories:

- *Stewardship:* association with a particular program and therefore a specific set of practices and policies that govern the collection (e.g. access, prevention of inadvertent withdrawal)
- *Exposure*: making public the intent to retain via international registries and union catalogs
- *Enhanced metadata:* the extent of which depends on the program or project (e.g. completeness and condition notes)
- *Deduplication*: management of collections through removal of redundant copies and freeing up valuable shelf space

Can we improve the clarity of UC's program- and project-defined shared print collections?

Retention notes impart valuable information, but the sheer multiplicity of programs and projects to which UC has associations can be challenging to track and manage. The more UC can streamline and rationalize shared print information, the more efficiently it can be managed and also understood by users.

With over 10 shared print programs and projects, UC has to manage and communicate out a wide variety of obligations and associated policies. Some projects are now inactive or have been effectively absorbed into larger, more active programs. Shared print collections from some other projects remain undisclosed beyond local notes that can vary from institution to institution.

Further, the high degree of variability in access behaviors per shared print project or program in UC is a disadvantage for local staff and is likely to confuse users. Please see Appendix C for a comparison of access behaviors per shared print collection.

Recommendation #1: Absorb and rationalize all historical UC shared print projects under the umbrella of the UCL Shared Print program, making the collections subject to common standards and policies.

> **Recommendation #1a:** Combine JSTOR Legacy and New collections. Depend on the 583$i field to distinguish the page-level validation of JSTOR Legacy from the volume-level validation of JSTOR New. Request that JSTOR lighten access restrictions on Legacy content to align the collection with the rest of UCL Shared Print. Open the JSTOR New collection to JSTOR contingency digitization.
>
> **Recommendation #1b:** Follow community best practices to indicate inactive or absorbed programs.

Dependencies to note -

1. *JSTOR agreement to lighten access restrictions on Legacy content.*
2. *Finalization of community best practices to indicate inactive or absorbed programs (under collaborative development by the Rosemont Shared Print Alliance and Partnership for Shared Book Collections).*

(2) Shared Print - retained and protected by virtue of the Regional Library Facilities Persistence Policy

How the Persistent Collections are Already Shared Print

The UC Regional Library Facilities Persistence Policy states that the designation of 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" (pg. 2). Therefore, in practice RLF collections protected by the Persistence Policy fulfill both the *stewardship* and *deduplication* objectives of any other official UC shared print collection. In principle, UC is also committed to enhancing the metadata and exposing shared collections like those protected by the Persistence Policy. This is communicated in UC's Systemwide ILS Project Mission, Principles, and Shared Assumptions. The first principle and shared assumption states, "We reaffirm the value of one UC Library Collection. The UC Library Collection is an integrated, shareable, user-centric collection that supports and enhances the mission of the University of California."

Recommendation #2: Recognize RLF persistent collections as part of the UCL Shared Print collections, collectively stewarded by the Shared Library Facility Board and University Librarians.

How the Persistent Collections Differ from Shared Print

Enhanced Metadata

Where persistent collections differ from formal shared print collections is in the added metadata and workflows to verify and expose the collections, within and beyond the UC system, as persistent. Typically, enhanced metadata associated with shared print includes reconciling multiple or disparate holdings records and, where possible, consolidating them.

> **Recommendation #2a:** Investigate the advisability and possible forms of updating these records with 583 retention notes. Refer to the Shared Print Operations Team (SPOT).

To the extent that the RLFs have physically validated deposits for completeness and condition via normal workflows, that information should be recorded in 583 notes to make explicit to UC campuses and other institutions the degree of certainty that the items exist and are in acceptable condition. Further, there is the opportunity to record gap notes for serial holdings in order to promote gap-filling and completion of existing collections. The work to update the metadata of all persistent collections in the local catalogs of the RLFs would not be insignificant. However, it is worth considering as part of a larger data remediation and refresh project.

If new practices to update persistent collections with 583 notes is assessed to be unsustainable, the UC Libraries may still be able to expose the persistent collections of the RLFs in national and international registries. While institutions outside of UC may not have access to these collections, the information could be essential to the collections decisions of other institutions across the nation and in national or North American research related to print preservation and management.

Reimagining Ownership as Management and Management as Shared

An ongoing philosophical and practical question for the UC Libraries that shapes the efficiencies and impact of shared collections is the prevailing approach of distributed versus centralized ownership and management of RLF collections. The RLFs' [2006 Statement of Operating Principles](#) stipulates that, "Depositing libraries are considered the owners and managers of the materials they deposit in a UC Regional Library Facility" and the [Persistence Policy](#) (2006) reiterates that framework by stating that "Implementation of persistent deposits...continues the primacy of the depositing campus as the owner and manager of all its deposits, including the 'persistent deposits.'" 14 years later, are there still reasons for such a strict adherence to individual campus ownership for deposited, and therefore shared, collections in the RLFs?

Regardless, the *legal* ownership of *all* UC collections is retained by the Regents of the University of California.[1] This implies that the ownership of RLF collections among UC Libraries is not so much a legal question of ownership, but a strategic and operational question of *management*.

Centralizing management of shared collections means that those collections are, by design, managed as part of the collective whole, which is also who they are meant to serve. Under collective management, some local decision-making authority over deposits is exchanged for the efficiencies of scaled decision-making, allowing local resources to be redirected to other areas.

> **Recommendation #2b:** Develop a matrix and decision timeline to evaluate the benefits and obstacles of shifting from a distributed to centralized ownership and management approach for RLF shared collections. *Amendment: Fulfillment of this recommendation shall include consideration of a nuanced terminology (e.g. ownership, stewardship, custodianship), potential implications and the applicable decision-making authority (e.g. when physical control is transferred to an RLF, who is responsible for applicable replacement costs). Refer to the Shared Content Leadership Group (SCLG).*
>
> As part of the referral, the SPST submits the following questions to the SCLG:
> - What are the primary benefits of distributed ownership for RLF persistent collections?
> - What are the primary challenges of distributed ownership for RLF persistent collections?
> - Are there barriers holding UC Libraries back from transitioning to shared, centralized management of RLF persistent collections?
>   - Are these barriers surmountable?
> - Shall the SPCMS Working Group as a whole recommend that, acknowledging operational considerations to be further clarified, UC Libraries establish a trajectory in principle of centralizing the management of RLF persistent collections?

Dependencies to note -
1. *Operational analysis of adding MARC 583 notes to RLF persistent collections (SPOT).*
2. *Assessment of distributed versus centralized management of RLF shared collections (SCLG).*
3. *Any SPCMS Working Group recommendations around ownership of RLF collections should be made in communication with the SILS RLF Configuration Task Force. A recommendation by the SPCMS Working Group to centralize management of the RLF persistent collections may effectively negate one of the options presented in that group's charge - that the records remain in the original campus' institution zones.*

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[1] According to the Operating Principles that guide the RLFs, "Depositing libraries are considered the owners and managers of the materials they deposit in a UC Regional Library Facility. For materials collaboratively purchased and designated as prospective UC Libraries Collections, ownership is shared among all UC campuses. Legal ownership of UC material is retained by the Regents of the University of California. In order to assure appropriate use of the Facilities, unless otherwise specified, it is expected that material deposited at the Facilities is intended for permanent storage" (p. 3).

Conclusion

The UC Libraries have assembled a rich set of shared collections, both through specific shared print projects and programs and through decades of campus deposits to the Regional Library Facilities. In order to optimize these shared collections for the entirety of the UC community, the Systemwide Print Collection Management Working Group submits the above recommendations to streamline the myriad shared print collections that currently exist and to recognize other RLF materials that fall under the Persistence Policy officially as part of the shared print collections.

Appendix A: UC Shared Print Programs and Projects

*Please note that other historical shared print projects may be omitted here due to the distributed nature of some past projects.

Active

Federal Documents Archive (FedDocArc)

A retrospective, multiformat effort that aims to consolidate one copy of all UC-owned federal documents in the Regional Library Facilities for ongoing systemwide use while allowing for broad reclamation of space at the campuses. Beginning with monographs, this program may also expand to serials. FedDocArc is unique in the incorporation of workflows to check for digital copies and digitize as needed by leveraging duplicate copies in the UC system.

583$f (program names) - UCL Shared Print, Federal Documents Archive

HathiTrust Shared Print Program

A retrospective, monograph program administered by HathiTrust. In the first two phases, the UC Regional Library Facilities, UC San Diego, UC Santa Cruz, and UC Merced committed to retain close to two million volumes. Disclosure of HathiTrust retentions has been delayed pending new developments in OCLC WorldCat.

583$f (program names) - HathiTrust, UCL Shared Print

Journal Archiving Campaign and Deduplication Service (JACS)

The annual Journal Archiving Campaign and Deduplication Service (JACS) is a retrospective, journal program under which the UC Libraries deposit print journal backfiles in a coordinated fashion each year to the Regional Library Facilities. Campuses are able to contribute all holdings for the specified titles, without reviewing for existing RLF holdings. RLF staff receive holdings from multiple campuses, remove duplicates, accession a single complete copy for long term retention, and disclose UC's retention commitment in union catalogs, including OCLC WorldCat. For each title, a single shared print archive is disclosed and stored for long term retention and access.

583$f (program names) - UCL Shared Print (may also include JSTOR, Licensed Content, WEST program names)

JSTOR New

JSTOR New (an evolution of JSTOR Legacy) emerged with the inclusion of JSTOR titles (NOT on the original JSTOR Legacy list) in JACS title lists. JSTOR New is an informal name that captures the subcollection of JSTOR titles, which are not subject to JSTOR Legacy's access policies. The

subcollection consists both of new titles and any volumes added to Legacy titles with a publishing date after 2010.

583$f (program names) - UCL Shared Print, JSTOR

Monographic Series

A prospective monograph project focused on monographic series in which each campus committed to maintain an agreed upon series through standing orders for a fixed number of years. This project began in 2012 and continues to be active, but in very small numbers.

583$f (program names) - none

UCL Shared Print

An umbrella program that covers **all** UC shared print participation. Material retained under the Journal Archiving Campaign Service (JACS) does not have a distinct program name (583$f), but is retained as UCL Shared Print along with JSTOR, WEST, Licensed Content, etc.

583$f (program names) - UCL Shared Print (with additions as appropriate)

WEST

A retrospective, journals program including over 60 academic and research libraries in the western region of the United States. The two UC Regional Library Facilities are part of a small group of WEST institutions that fulfill the intensive validation required of Silver and Gold collections. WEST archive types (Bronze Silver, Gold, and Sequoia) communicate both a snapshot of electronic availability at the time of analysis, as well as the assumed treatment of the material (whether it received any physical validation and what storage environment it resides in). The majority of UC WEST retentions are held by the two UC Regional Library Facilities, but campuses have also retained WEST titles on-site. In recent years, several campuses have actively been transferring WEST collections to their local Regional Library Facility. All UC-retained WEST titles are automatically also disclosed as UCL Shared Print.

583$f (program names) - WEST, WEST Bronze, WEST Silver, WEST Gold, WEST Sequoia, UCL Shared Print

Absorbed

CoreSTOR

A retrospective, journals project to retain six physical science journals including: Nature (0028-0836), American Scientist (0003-0996), Scientific American (0036-8733), New scientist (0028-6664), New scientist and science journal (0369-5808), and New scientist (0262-4079). The project has been fully absorbed into WEST at the Bronze level, with the exception of American Scientist (0003-0996), which was incorporated into the JSTOR collection.

583$f (program names) - WEST Bronze, JSTOR, UCL Shared Print

IEEE

Retrospective, serial project under which UC Berkeley, UC San Francisco, and UC Davis deposited journal runs matching a prescribed list. Retained by NRLF. Fully absorbed into WEST at the Gold level (issue-level validation for completeness and condition).

583$f (program names) - WEST Gold, UCL Shared Print, IEEE Journals

Inactive

Cambridge University Press Monographs

A prospective monograph project originally intended for retention at UCI and UCB. The project aimed to coordinate acquisition of print and e-copies, but lack of robust infrastructure on the publisher's part proved very challenging. UCB has since transferred at least 900 of these volumes to NRLF.

583$f (program names) - none

Canadian Literature

Prospective, monograph project focused on English-language fiction and poetry initially published in Canada in 2006 by university, trade, and small press publishers. Scoped by a book-only plan via YBP Library Services' newly expanded coverage of high quality Canadian publishers. Processed by UCLA acquisitions and CDL shared cataloging team (at UCSD). Retained at SRLF.

583$f (program names) - none
Identifiable by local location code - srucl4

JSTOR Legacy

One of two, page-verified, retrospective journal archives in North America, developed in collaboration with JSTOR as a backup for digitization and archive for UC scholars. JSTOR Legacy is an informal name used to distinguish these resources from JSTOR New, an evolution of the project with different characteristics. While the project is no longer actively adding titles to the collection, libraries do continue to submit volumes to fill gaps in existing title runs.

583$f (program names) - UCL Shared Print; JSTOR

Medprint

UC campuses have not participated in the Medprint retention program. Retrospective, serials program aiming to retain 12 copies of each title from a prescribed list.
https://www.nlm.nih.gov/psd/printretentionmain.html

583$f (program names) - none

Shared Print for Licensed Content

A prospective, journals project under which UC Libraries received current print issues for all licensed titles from several publishers as part of UC's systemwide e-resource licenses. These resources were purchased with shared funds. Retained at SRLF.

583$f (program names) - UCL Shared Print; Licensed Content
561 (owner) - SRUCL (roughly meaning UC Libraries at SRLF)

Other

Rosemont Shared Print Alliance

An alliance of retrospective, journal shared print programs that aims to maximize local efforts by national conversations and advocacy. As a federation, Rosemont's participating programs retain autonomy of practice and policy. At the same time, participating programs aim to align those practices and policies where advantageous to the whole. At this time, no program name exists explicitly for the Rosemont Alliance.

583$f (program names) - locally defined

The Partnership for Shared Book Collections

A federation of primarily retrospective, monograph programs that does not directly govern shared print retentions, but seeks to facilitate alignment and collaboration across programs in North America. Both the Rosemont Alliance and the Partnership are oriented toward advocacy, defining best practices, and coordinating local resources to build a cohesive, interconnected landscape of shared print collections.

583$f (program names) - locally defined

Appendix B: UC Libraries Shared Print Statistics

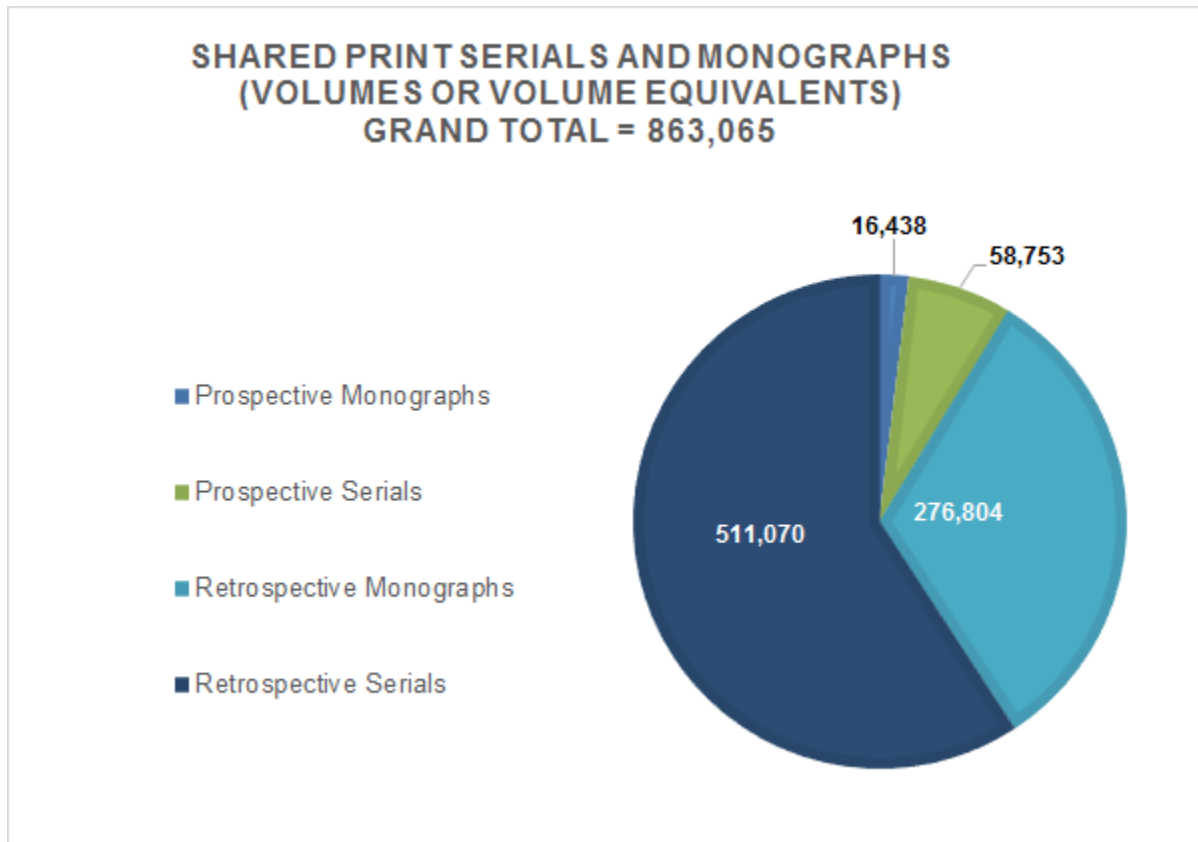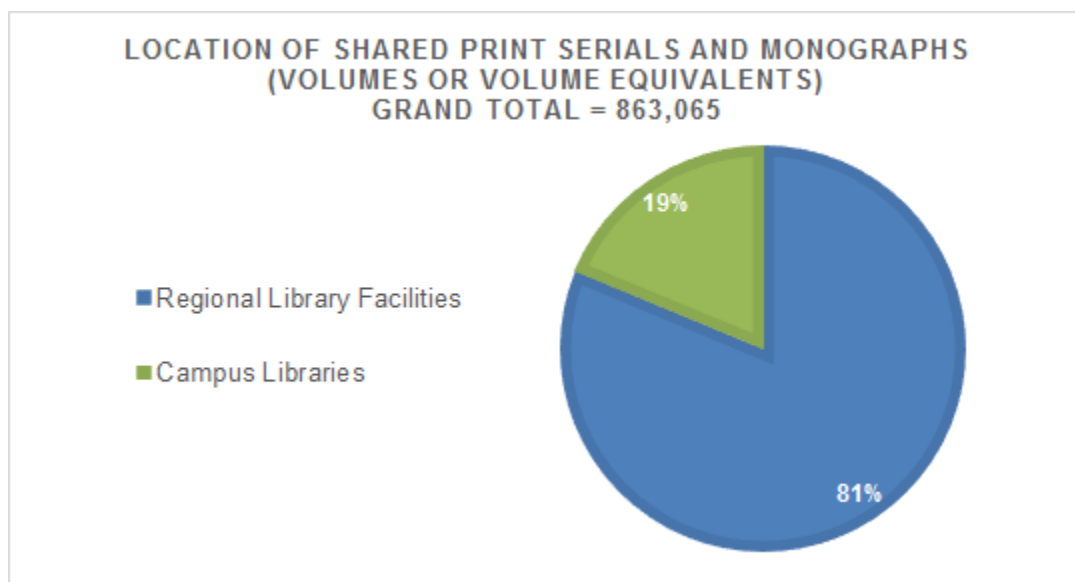*From UC Libraries Annual Shared Print Statistics for FY 2019-2020.*
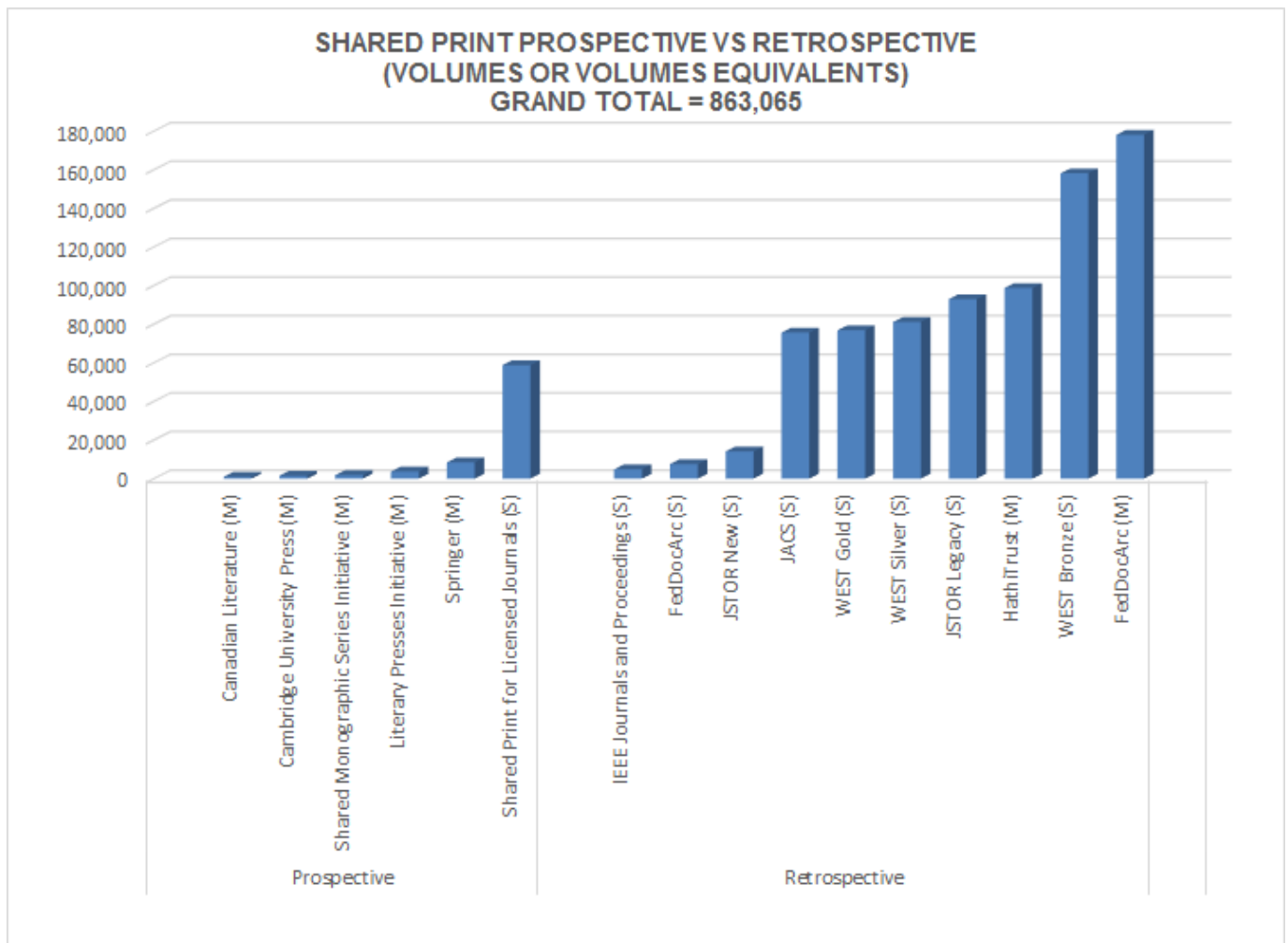
Figure 1.

Figure 2.

Figure 3.

SHARED PRINT PROSPECTIVE VS RETROSPECTIVE
(VOLUMES OR VOLUMES EQUIVALENTS)
GRAND TOTAL = 863,065

Appendix C: Access Behaviors

From UCLA reporting gathered in advance of a 2012 regional meeting on Collaborative Print Collection Management

Shared Print Collections and their behaviors: Draft Aug. 8, 2012

Variations from standard behaviors are highlighted.

Project Name	Circulation	Class Reserves	Resource Sharing (loans)	Resource Sharing (copies)
UC Shared Print (Licensed Content)	Building Use	No	UC only	OK; will provide copies to any library according to standard ILL policies
UC Shared Print Canadiana (monos)	Circulates (apply local loan policy)	OK	UC only	OK; will provide copies to any library according to standard ILL policies
UC SPiP	Circulates (apply local loan policy)	No	Loan to any library according to standard ILL policies	OK; will provide copies to any library according to standard ILL policies
JSTOR	Building Use	No	UC only	OK; will provide copies to any library according to standard ILL policies
WEST/CoreStore	Building Use	OK	Loan to any library according to standard ILL policies	OK; will provide copies to any library according to standard ILL policies
MedPrint	Building Use	OK	Loan to any library according to standard ILL policies (maybe)	OK; will provide copies to any library according to standard ILL policies