



Council of University Librarians (CoUL)

November 28, 2022

SYSTEMWIDE PRINT COLLECTION MANAGEMENT STRATEGY (SPCMS) WORKING GROUP

Dear Systemwide Print Collection Management Strategy (SPCMS) working group members,

The Council of University Librarians (CoUL) greatly appreciates the work of the Systemwide Print Collection Management Strategy (SPCMS) Working Group and Part 2 Subgroup (Alison Wohlers, Jim Dooley, Brian Quigley and Kerry Scott, as well as DOC liaison Alan Grosenheider); through your leadership and expertise, UC can further advance an extraordinarily complex issue that is of central importance to the work and goals of the libraries.

CoUL accepts the *Systemwide Print Retention Schema* as the SPCMS part 2 final deliverable, marking the conclusion of this second phase of SPCMS work. In this letter, which will serve as the Schema's cover letter when it is publicly posted, we outline CoUL's next steps for the important shared work of managing the UC Libraries' print collections.

CoUL agrees with the SPCMS call to action: We must collectively "grapple" with the role and use of the RLFs and pursue systemwide and coordinated approaches to extend UC space and resources as far as possible. However, the campuses are not yet aligned around the proposed approach to RLF shared collections management and CoUL is not prepared to endorse the recommendations until certain other work is completed.

As highlighted in CoUL's discussions of the Schema, the fiscal sustainability of the RLFs is an urgent question for the University. Through the Shared Library Facilities Board (SLFB), the libraries have proposed to Provost Brown that a project team be formed to examine RLF operating costs and recommend potential solutions. Given the likely impacts on the RLFs, CoUL is deferring final evaluation of the Schema's recommendations until after the Provost's project team on the RLFs completes its work (the timeline for the project is presently 9 months).

With this letter, CoUL thanks and discharges the SPCMS part 2 subgroup and commits to re-engage the SPCMS Working Group in September 2023 to consider when and how to re-initiate our print strategy work. At that time, activities to plan and design a comprehensive UC digitized book delivery service will also be further underway and better positioned to inform future SPCMS work.

The collective and individual excellence and ambition of the SPCMS group is clearly reflected in the Schema and has already significantly informed CoUL in shaping the libraries' [plans and priorities for 22-23](#). The Schema has also advanced strategic thinking on UC print management and will serve both as a

basis for developing a shared vision as well as an operational roadmap for the issues the UC libraries must collectively address related to shared print collections and services going forward.

Please do not hesitate to reach out if you have any questions.

Sincerely,



Kristin Antelman, on behalf of CoUL
University Librarian, UC Santa Barbara
Council of University Librarians Chair (2022-2023)

CC: Direction and Oversight Committee (DOC) Chair Alan Grosenheider
Council of University Librarians

Working Group for Systemwide Print Collection Management Strategy

Part 2 Report and Recommendations: Gather community input and evaluate what should be represented in the “one UC Library Collection” and the retention behaviors best-suited for different categories of print material. If possible, define a consensus-driven, systemwide print retention schema to help guide UC Libraries in their local print management and deposit decisions (e.g., best practices). Include consideration of how UC should leverage regional, national, and North American shared print initiatives and principles both to guide UC’s local print management and participation in the broader shared print efforts.

Prepared by: SPCMS Part 2 Subgroup

Systemwide Print Retention Schema

Recommended Practices and Guidelines

Introduction

The Opportunity

Now, perhaps more than at any other point in our shared history, the University of California Libraries have the opportunity to intentionally shape the print collections that we collectively acquire and preserve to best serve the evolving needs of our users and the broader scholarly community. This opportunity is supported by the proliferation and success of regional and national shared print initiatives, their attendant recommended practices, and the UC Libraries' foundational philosophy of 'one library, ten campuses.' The latter has consistently valued a thoughtfully curated and shared collection in support of the UC community. Most recently, this approach has been practically affirmed by UC's implementation of a systemwide integrated library system. The confluence of these circumstances opens up a new and expanded opportunity for intentional development and management of the UC collective collection - including and especially the collections deposited to the Regional Library Facilities for long-term, collective preservation and access.

How We Got Here

This opportunity emerges from changes both at UC and throughout academic libraries and will allow UC to more firmly align its collection management activities with a 'one library collection' vision. This vision has been articulated throughout the University's history through an ecosystem of UC-authored documents that have embraced the intrinsic value of the shared print collection.

Among these documents is the [Systemwide Print Collection Management Strategy working group charge](#) (2020), which states, "Underlying the spatial and logistical challenges of managing UC Libraries' physical collections is the need for coherent and coordinated approaches that move the system intentionally to the retention of the print collective collection that will best serve user communities." Similarly, the [University of California Library Collection: Content for the 21st Century and Beyond](#) (UC Libraries Collection Development Committee, 2009), emphasizes that "Developing a system-wide view of collections allows the Libraries to develop richer services, leverage resources to increase collection diversity, expose hidden resources, and take full advantage of library expertise on the individual campuses." Further, the [Mission, principles and shared assumptions](#) (2018) that guided UC Libraries' initiative to adopt a systemwide integrated library system (SILS) similarly emphasizes the value of the collective collection. The first principle of that document 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. Our strength derives from the diverse nature of the individual campus library collections.” Finally, [The UC Libraries: collaborating for mission, leadership and efficiency](#) (SLASIAC, 2020) recommends that, “The Council of University Librarians should build upon the success of existing collaborative efforts and further shift library activities and services along the collaboration continuum. In doing this, the libraries should evaluate which new systemwide partners outside of the libraries would enhance the effectiveness of the coalition.” Building on this deep history of collaboration are the following set of proposed guidelines and decision-making tools to support systemwide efforts and the campuses in leveraging the opportunity to reimagine the UC collective collection.

For additional background and resources, particularly crafted for audiences outside of library collection management and development, please see the UC Print Futures [webpage](#) and [handout](#).

Why It Matters Now

Space and resourcing challenges are only intensifying for campus libraries and the Regional Library Facilities (RLFs). The shared space and capacity of the RLFs are finite resources¹, but increasingly in high demand. Campuses across the system are feeling the unsustainability of historical print collecting and preservation expectations and models. The cultural shift and complex changes that must be negotiated in codifying and expanding collaborative efforts to manage print require a long-term plan. It will not be a simple or fast process, but it must begin now, with more deliberate planning and activities, to extend space and resources as far as possible and ensure that the right processes and systems are available for UC Libraries as they need them for negotiating local print management decisions.

How To Use This Schema

This Schema is an outcome that, per the original [charge](#), is shaped “by grappling with a fundamental question of how the UC system views the role of the RLFs and to what degree the trajectory of RLF use warrants systemwide, coordinated approaches.” This is a planning document. It puts forth guidelines, recommended practices, and aspirational models to set the UC system on a path to fully codify and realize the benefits of a print collective collection. The Schema document focuses on the RLF persistent collections, but that does not preclude future expanded collaborative work involving campus shelving space. The Schema aims to ground these aspirations in tangible ideas, but it is not a roadmap for implementation. There are unanswered questions and additional steps to determine the best approaches for implementation, which will be an iterative, collaborative, and long-term effort.

¹ At current deposit rates, the SRLF is projected to reach capacity for standard book sizes in March 2027. It is already filled to capacity for regular deposits of oversize books. The SRLF is also likely to reach capacity for archival boxes in 2024 (please see [SRLF Projected Fill Dates, as of June 2022](#)).

Systemwide Print Retention Schema

Vision

In support of the UC Libraries' vision "to be leaders in providing the broadest access to the world's knowledge" we embrace intentional, collaborative, and responsive approaches to shaping the future(s) of our university's vast and valuable print books and journals in support of the research and teaching needs of our users and the broader scholarly community.

Purpose & Goals

This schema establishes practical guidelines to strategically preserve and provide access to broad, diverse, and distinctive print collections for our user communities by optimizing our collective shelving space within the context of regional and national shared print initiatives. We aim to:

- Clarify the unique roles of campus libraries and RLFs in our collections strategy.
- Adopt practices to codify and expand the purposeful stewardship to the RLF collections.
- Prioritize collaborative print collection development and preservation efforts.
- Fulfill our commitments to regional and national shared print initiatives.
- Leverage shared print partnerships and trusted digital collections to use our finite physical capacity more strategically while expanding access for our user communities.

Foundational Premise and Core Recommendations

Please note that RLF persistent collections as defined by the [Persistence Policy](#) do not include special collections. Special collections are not in scope for this systemwide print retention schema.

The guidelines and core recommended practices that follow in this systemwide print retention schema are predicated upon codifying centralized ownership, stewardship, and custodianship for RLF persistent collections.² For systemwide management to be effective and meaningful, it is essential that shared collections be set in a foundation of shared expectations and control. For one library to withdraw a resource locally on the strength of the shared, persistent copy, that library must be assured that they have some say in the stewardship of and access to the shared and persistent copy held at a RLF.

² Please see [Persistent Deposits in UC Regional Library Facilities](#) (2006). The [SPCMS Part 1 Report & Recommendations](#) (2021) provides background and context for the original recommendation to investigate shifting further from a distributed to centralized ownership and management model for RLF persistent collections.

In practice, when general print collections are deposited to the RLFs they will become part of UC's shared print collections and the depositing campus will cede its individual stewardship role in favor of a collaborative stewardship role and transfer its custodianship role to RLF staff.

Summary of the core recommendations

- Systemwide retention guidelines and practices should inform physical collections preserved on behalf of the system in the RLF persistent collections.
- Systemwide, regional, and national shared print retentions and priorities are an important factor in deciding what to preserve as part of the RLF persistent collections.
- Where sufficient copies are retained with external partners, UC will generally not expend resources to preserve the same materials in the RLF persistent collections.
- Where a sufficient number of copies has *yet* to be retained, UC will generally serve as a retention partner and preserve the material in the RLF persistent collections.
- The UC Libraries will avoid recalling, relocating, or enacting new access restrictions on the RLF persistent collections; when necessary, we will do so in a manner that continues to allow discovery and access for relevant stakeholders.
- The UC Libraries will embrace a centralized strategy for the RLF persistent collections.
 - RLF persistent collections are owned, like all UC collections, by the UC Regents; ownership is already centralized.³
 - Once deposited, persistent collections are subject to the centralized stewardship of the UC system, which will be shaped by high-level oversight bodies such as the Shared Library Facilities Board (SLFB) and other expert systemwide groups that define the standards by which to manage the persistent collections.
 - The RLF staff, and any designated systemwide or campus teams, act as custodians of the persistent collections *on behalf of* the UC Libraries, fulfilling those responsibilities in alignment with stewardship standards defined by the UC Libraries system.
 - For additional discussion of this recommendation and the terminology therein, please see Appendix A.
- There will be exceptions to the systemwide strategy outlined in this Schema. Processes will be defined to identify and accommodate those exceptions.

³ A notable exception to this is Federal Depository Library Program (FDLP) materials collected and housed by UC Libraries. These materials are owned by the U.S. Government and UC Libraries fill stewardship and custodianship roles.

Guidelines and Recommended Practices

Please note that the following guidelines and recommended practices do not apply to special collections.

Initial Shelving Location

Decisions on initial shelving location are based on overall collections strategies articulated below.

Campus Libraries - Local collection strategy, programmatic or research interests, and expertise determine what is held in local campus library locations. Systemwide, UC embraces the following guidelines when considering what to prioritize for local campus space:

- Balance demonstrated local, near-term access needs with systemwide, regional, and national shared print collection priorities to ensure both needs are met.
- Feature more recent and higher-use materials to aid efficient discovery and access in support of current instruction, research, and clinical care.
- Highlight distinctive collections that serve academic areas of strength at the campus.
- Consider unique collection characteristics and their impact on user needs (art/photography titles, sets of materials).
- Support shared print in place holdings that contribute to the collective collection.

Campus Storage Facilities - This document assumes that campus-specific storage facilities are covered by local practice and any collections that move from local storage facilities into the RLFs would be governed by this document.

Regional Library Facilities (RLFs) - Currently, the RLF collections largely reflect intentional, local collection strategies. The following guidelines aim to reimagine that local strategy as a systemwide approach to shaping the one UC collection.

Some acquisitions may be appropriate to shelve immediately in the RLFs to support agreed upon collection development goals. Systemwide, the following guidelines reflect our priorities for immediate deposit:

- Encourage and facilitate cross-campus collaborative collection development projects, especially in area studies.
- Enable collective acquisitions for prospective shared print initiatives.
- Maximize security and preservation of high-value, rare, or special collections materials.
- Support continued growth of distinctive collections where constrained by local space limitations.

Transfer to a Regional Library Facility

The RLFs are UC Libraries' most common repositories for shared print collections, but they do not exist in isolation. UC curates the RLF shared print collections as part of the larger collective collection we build across the system and with our partners in shared print programs across North America. UC libraries contribute significantly to that ecosystem of shared print, but also leverage the contributions of partners in order to effectively deploy UC resources. This represents a natural continuation of the interdependence of the UC Libraries and the broader community of academic libraries.

Transferring, or depositing, print collections to one of the RLFs means that UC, as a system, is 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 system and external shared print partners.

The following are *guidelines* to support local decision making around the deposit of print collections in the RLFs. There will always be exceptions as librarianship must be a combination of algorithmic, scaled decisions and curatorial discretion.

Guidelines

- UC takes a leadership role in the preservation of collections but does not have an exhaustive role.
 - UC will not preserve every resource we acquire.
 - UC will rely on cooperative relationships with other libraries to preserve collections in distributed and collaborative ways.
- Collection management decisions -- including where to store collections -- focus on user access and discovery, minimizing the friction between current scholars and the resources they actively use.
- Stewardship of the finite space at the RLFs is intentional and reflects a shared vision of UC library collections.
- Practices and policies are dynamic and do not attempt to predict our needs beyond the prevailing outer limits of the shared print agreements, which serve as natural points of reassessment for our approaches.

What to prioritize for RLF space:

- Shared print content that is required to be retained in particular storage conditions and/or shared print retentions that campuses cannot continue to retain on site (includes some core and commonly held titles).
- Collections that most benefit from the environment (preservation conditions; controlled access) and services (digitization/scanning; coordination with shared print programs) provided by the RLFs.

- Material that is not widely held and adds to the distinctiveness and diversity of the UC and broader scholarly community's print collection.⁴
- Materials that have restricted circulation (for example, print copies that are restricted for controlled digital lending).

What not to prioritize for RLF space:

For commonly held titles, UC defers preservation to shared print partners if sufficient copies have been secured; otherwise, UC will be a retention library for the content (please see [External Retention Partners](#) and [Shared Print Decision Matrix](#)). Further, the RLFs are governed by a one-copy policy. Existing, persistent collections are available to users systemwide and therefore should not be duplicated with additional deposits of the same content.

Unless items in the following categories fall under a shared print agreement or are otherwise deemed critical to keep, *the RLFs will not accept the following for deposit:*

- Textbooks - that is, books specifically designed to support K-12 and undergraduate instruction.
- Superseded reference materials.
- Consumables (e.g. workbooks, worksheets, forms, problem sets, computing manuals).
- Multiple editions of the same work unless substantively differing from the deposited edition.

When no longer needed locally, campuses are invited to withdraw these materials from their collections.

Recalling or Relocating RLF Persistent Items

Based on the foundational premise of this document, recalling, relocating or putting new access restrictions on RLF shared items should be avoided if at all possible. For systemwide management to be effective, there must be a high level of assurance of seamless and consistent access to the shared content.

However, over time, there may be circumstances under which such changes will be desirable and necessary. The implementation of SILS may help the UC Libraries in identifying, at the systemwide level, unique or scarce materials of distinction that should be afforded additional preservation protections and curation - for example, by relocating content to Special Collections. It is beyond the scope of this schema to outline procedures and guidelines for identifying such content or creating a decision rubric to determine its potential relocation or recall from shared

⁴ Please note that this category of content is unique from Special Collections. This refers to unique, scarce, or not widely held materials that are part of circulating or general collections. To make substantive recommendations on the disposition of Special Collections is out of scope for this schema. Please see [Recalling or Relocating RLF Persistent Items](#) for more details.

collections. Those guidelines should be defined by a systemwide group including experts in special collections, preservation, archive collections, and public services.

This schema can only emphasize that decisions to recall, relocate, or enact new access restrictions for shared collections be:

1. the purview of systemwide stewardship (with the aforementioned guidelines and input of experts); and
2. avoided, if at all possible, or operationalized in a manner that continues to allow discovery and access for relevant stakeholders.

What to Withdraw

In order to accommodate ongoing acquisition and diversification of the collection, the UC system makes strategic decisions around what to withdraw. In particular, unless UC is a retention library for the content, RLF staff are authorized to withdraw the following categories of materials in order to ensure the UC Libraries continue to have optimal storage resources for preserving a wide range of unique content into the future.

- Duplication between the RLFs - the RLFs are governed by a one-copy policy.
- Multiple editions of textbooks - UC aims to keep only representative examples of K-12 and undergraduate textbooks, potentially as part of shared print projects.
- Consumables (e.g. workbooks, worksheets, forms, problem sets, computing manuals).
- Commonly held titles where UC defers preservation to shared print partners because sufficient copies have been secured (please see [External Retention Partners](#) and [Shared Print Decision Matrix](#)).

Operationalizing these recommended practices will not be an immediate or short process. While RLF withdrawal projects would most likely begin with duplication within or between the RLFs, additional guidance will be required for projects such as withdrawals targeting multiple editions of textbooks, consumables, or commonly held titles where UC defers preservation to partners. Shared print agreements, technology, and research will continue to develop in support of local decision-making and defining the optimal number of copies at various levels of collaboration. Consequently, the specific criteria, as outlined in the shared print decision matrix, will continue to evolve and be refined as we move through the operationalization of these guidelines and recommended practices.

Sufficient Copies Commitment

The UC Library System is committed to collaborating with our external partners to ensure the long-term retention of a sufficient number of print copies of a title as recommended by national recommended practices and standards. If a title is retained by fewer than the recommended number of institutions or shared print collectives, the UC Library System will retain it in an RLF as part of the UCL Shared Print Collection, even if it would not otherwise be a priority for

transfer to a regional library facility. This commitment does not apply to consumables and textbooks for K-12 and undergraduate instruction, however.

- For serials and journals, UC follows the prevailing practice and guidelines of the [Rosemont Shared Print Alliance](#) and targets three copies.
- For monographs, UC follows the prevailing practice and guidelines of the [Partnership for Shared Book Collections](#) and the practice of the [HathiTrust Shared Print Program](#), which is provisionally five copies.

External Retention Partners

The UC system is a leader in shared print. The investment in these partnerships allows our libraries to strategically reallocate resources away from retaining every print copy in perpetuity.

Please see the shared print directory for more information about UC's external partners:
<https://cdlib.org/services/collections/sharedprint/programs-and-initiatives>

Shared Print Decision Flowchart

The flowchart in [Appendix B](#) provides specific guidance for campuses in making RLF deposit and/or withdrawal decisions for local print collections based on the shared print collections in which UC Libraries invest.

Appendix A. Detailed Analysis and Recommendations for Codifying Centralized Ownership, Stewardship, and Custodianship of RLF Persistent Collections

Background and Context

The Systemwide Print Collection Management Strategy (SPCMS)⁵ Part 1 report includes a recommendation to examine the benefits and obstacles of shifting from distributed to centralized ownership and management approaches for RLF shared collections. CoUL endorsed the recommendation, but requested it be amended to nuance terminology, account for implications in decision-making authority, and consider change management in gathering statistics (please see SPCMS recommendation and CoUL feedback [here](#), page 2).

Examining and defining a shared understanding of concepts including ownership, stewardship, and custodianship of the RLF persistent collections is a foundation for the ongoing work to outline systemwide approaches for print collection management and positions UC as a leader in the broader library and academic community in framing shared collections.

Summary Recommendation & Rationale

SPCMS recommends codifying centralized ownership, stewardship, and custodianship for RLF persistent collections. In practice, when print collections are deposited to the RLFs as part of the persistent collections, the depositing campus will cede its individual stewardship role in favor of a collaborative stewardship role and transfer its custodianship role to RLF staff.

A review of how ownership, stewardship, and custodianship currently manifest within the RLF persistent collections supports this recommendation. RLF persistent collections are owned, like all UC collections, by the UC Regents; ownership is already centralized.⁶ Once deposited, persistent collections are subject to the centralized stewardship of the UC system, which is shaped by a combination of high-level oversight bodies like SLFB and expert systemwide groups that define the recommended standards by which to manage the collections. Finally, the RLF staff act as custodians of the persistent collections *on behalf of* the UC Libraries, fulfilling those responsibilities in alignment with stewardship standards defined by the UC Libraries system. This recommendation formalizes, codifies, and expands existing practice in the UC system.

⁵ For additional background on this group, please see the charge [here](#), the Part 1 report [here](#), and the public-facing informational website [here](#).

⁶ A notable exception to this is Federal Depository Library Program (FDLP) materials collected and housed by UC Libraries. These materials are owned by the U.S. Government and UC Libraries fill stewardship and custodianship roles.

Definitions for the Recommended Framework: Centralized Ownership, Stewardship, and Custodianship for RLF Persistent Collections

**The following is not applicable to Special Collections.*

***Distributed custodianship and stewardship of on-site campus print collections is assumed.*

Ownership -

Definition: The ownership of *all* UC print collections, including RLF collections, is retained by the Regents of the University of California.

Principle: No one campus owns the RLF persistent collections, regardless of which campus originally deposited a print resource in question.

As described in the [SPCMS Part 1 report and recommendation](#) (page 2) to recognize RLF persistent collections as shared print, persistent collections are a unique subset of UC systemwide collections because the campuses already consider and collectively depend on RLF content as part of their collections regardless of which campus made the original deposit.

Based on the legal fact and existing practices, it is not accurate to say that campuses continue to own deposits that become part of the RLF persistent collections. Any policies or documentation describing that distributed kind of ownership for RLF persistent collections should be revised (i.e. the [Persistence Policy](#) and [RLF Operational Policies](#)).⁷ Policies and documentation created by local campus units, systemwide groups, or other entities should also be reviewed to ensure consistency of language.

Stewardship -

Definition: [An institution's commitment to making informed, ethical, and transparent decisions about how to provide care for the collections entrusted to it](#) (page 1, inset).

Principle: The stewardship of RLF persistent collections is the shared responsibility of library employees and UC advisory groups across the system.

Individual campuses make selection and curatorial decisions about what to deposit as part of the RLF persistent collections. Once deposited, that print content is subject to the centralized stewardship of the UC system. Many expert groups and individuals contribute to the ongoing stewardship of the RLF collections through resourcing, selection, subject area-specialization, curatorial discretion, cataloging, preservation, discovery, supporting access, etc. Final decision-making authority in stewardship of the RLF persistent collections sits with the Shared

⁷ 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).

Library Facilities Board (SLFB), but is supported by and may be delegated to appropriate expert groups. Stewards are those making the policies and structures which custodians of the collections operationalize and implement.

Custodianship -

Definition: [The control and organization of something; protecting or taking care of something.](#)

Principle: When a campus deposits print collections that become part of the RLF persistent collections, the campus transfers custodianship to the RLFs, which act on behalf of all UC Libraries.

Custodianship is the long-term and everyday management of collections. Custodianship includes management of the records and data that describe collections and make them discoverable. Custodianship also includes the physical management of the collections, including fulfillment. Custodians operationalize and implement the standards established by those responsible for the stewardship of the collections.

Campus library staff are the custodians of on-site print collections. Upon deposit, campus libraries transfer custodianship to the RLFs, which act on behalf of all UC Libraries. While RLF staff are the primary custodians at that point, some custodianship tasks may be delegated to other systemwide and/or campus teams. Campus libraries cede custodianship of their original deposits in exchange for shared control⁸ over the whole of the persistent collections.

Analysis of the Recommended Framework

Table 1. Benefits and Challenges of Codifying Centralized Ownership, Stewardship, and Custodianship

Benefits	Challenges
Enhance consistency and clarity of custodianship responsibilities (i.e. metadata, fulfillment)	Uneven impacts as ILL revenue streams change and/or loss of identity as the provider of access to the material
Amplify shared status	Change management in statistics and ability to communicate value in a traditional sense
Consolidate work	Funding for consolidated work
Facilitate and streamline collaborative	Ensuring a place for beneficial local expertise

⁸ Shared control is expressed as the assurance of continued access to the persistent collections, regardless of original depositor. Shared control is also manifested as the systemwide definition of how RLF persistent collections will be managed (from how the records will be formatted, to expectations around circulation, to the expectations around the repair and replacement of damaged or lost materials). Currently, shared control is expressed most clearly in the RLF Operating Principles, approved by the SLFB in 2006.

workflow optimization and development/implementation of best practices	in centralized stewardship decisions
Reduce or preclude a competitive mindset in depositing	

Please note that the use cases are not meant to be exhaustive or prescriptive. They are part of the analysis of opportunities and challenges in shifting further to a centralized model. Operationalization of the centralized model will take further consultation and decision-making.

Detailed Use Cases - Opportunities in Centralized Ownership, Stewardship, and Custodianship

Enhance consistency in management of deposits (e.g. cataloging, duplicative records)

1. Use case: The migration to SILS has already led to some harmonization of local record management for RLF deposits.⁹ A [SILS decision](#) has determined that while campuses may choose to retain records in their IZ for holdings deposited to the RLFs, those holdings should not be discoverable or requestable. This optimizes fulfillment efficiencies and patron experience.

However, there is still some variability and uncertainty around how holdings, which have been deposited to the RLFs, display in WorldCat. A second [SILS decision](#) recommends campuses “may want to consider” removing OCLC holdings deposited to the RLFs, but does not require they do so. One reason campuses may wish to maintain those holdings is to mediate ILL requests. There may be other complicating facts related to statistics and collection development.

2. Use case: RLF staff are empowered to enhance catalog records by reconciling holdings format, adding details, etc.

Amplify the RLF collections as shared resources characterized by equal access across the system (e.g. statistics, communication to local stakeholders)

3. Use case: How persistent collections are displayed impacts the perception of these collections as shared. Currently, the RLF collections are displayed as part of their host campus institution zones, but work is underway by a separate project team (the [RLF Configuration Project Team](#)) to evaluate other approaches, including one that would display RLF collections within a dedicated RLF institution zone.

⁹ Pre-SILS campuses took different approaches to maintaining local holdings records for print materials deposited to the RLFs. Some campuses removed local records entirely. Other campuses chose to maintain some form of the local record to indicate for their staff and users that their copy is housed at one of the RLFs.

4. Use case: The group was asked to consider the impact of its recommendations on statistics for the campuses. For UC Libraries Annual statistics reporting, each campus reports on their print collection totals in the RLFs. This is contrary to the nature of these collections as fully shared and of equal access to all campuses. However, further discussion with collections leaders at the campuses indicates that volume counts are losing relevance as a metric for measuring a library's contributions and value. Volume count has not been an index variable for ARL statistics for many years now.¹⁰ Rather than arguing for new approaches to counting the RLF persistent collections for UC Libraries' statistics, it may simply be a matter of incorporating a perspective into efforts to redraft UC statistics with an eye to the importance of shared print collections (if volume counts of owned print volumes continues to be a feature).

Consolidate some activities at the RLFs to enhance outcomes and reduce workload for campuses (e.g. comparison and de-duplication, replacement)

5. Use case: Campuses expend resources in comparing local collections to RLF collections to avoid sending duplicates. The tools available for comparison are imperfect and ideally there should be the opportunity (if only rarely leveraged) to compare physical pieces. Consolidating this activity at the RLFs would likely increase accuracy and concentrate expertise.
6. Use case: The RLFs are governed by a one copy policy for general collections, but there is considerable historical duplication within and between the RLFs. The RLF staff should be empowered to honor the one copy policy and reclaim space to extend the life-time of deposit to the facilities.
7. Use case: The RLFs should also be empowered to respectfully recycle or donate all material defined by systemwide standards to be out of scope for deposit (i.e. duplicates and any other categories as defined).
8. Use case: Since RLF collections are shared resources of the entire system, replacement for lost or damaged materials considered to have ongoing scholarly value should be funded and managed centrally.

Detailed Use Cases - Challenges in Centralized Ownership, Stewardship, and Custodianship

Uneven impacts as ILL revenue streams change

9. Use case: The harmonization of displaying holdings in WorldCat as associated with only the holding RLF, rather than the depositing campus, may redirect some ILL requests

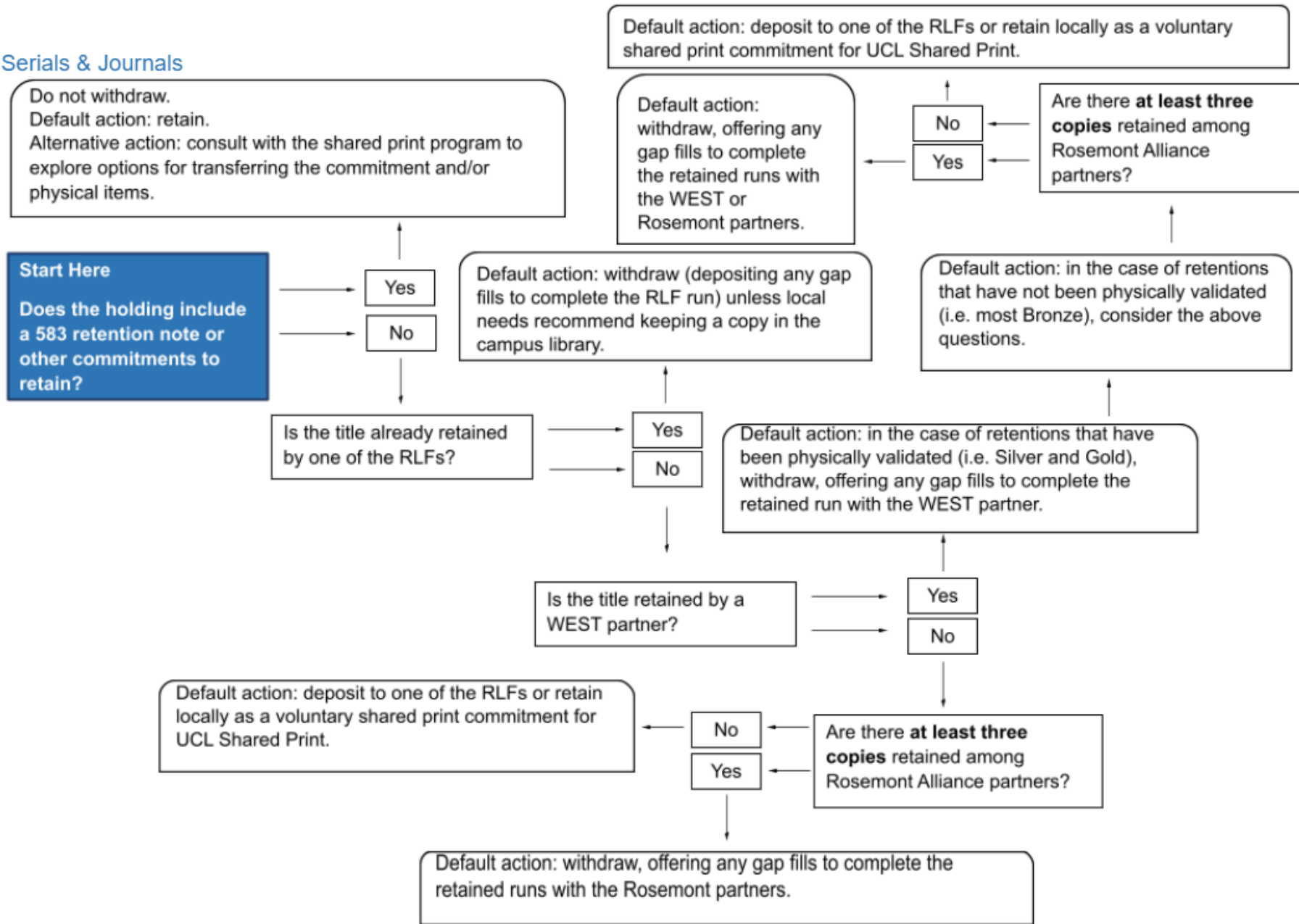
¹⁰ Not all UC Libraries are ARL libraries, but ARL statistics have served as the historical basis for structuring the UC Libraries' statistics, which is primarily why they are highlighted here.

previously mediated by campuses. Any campuses who experience a change in ILL revenue due to centralization may experience a short term pain point in needing to review and update their cost-recovery business models. There is also potential for impact for any campuses where ILL revenue is not simply an activity of cost recovery, but contributes to collection building or other operational costs.

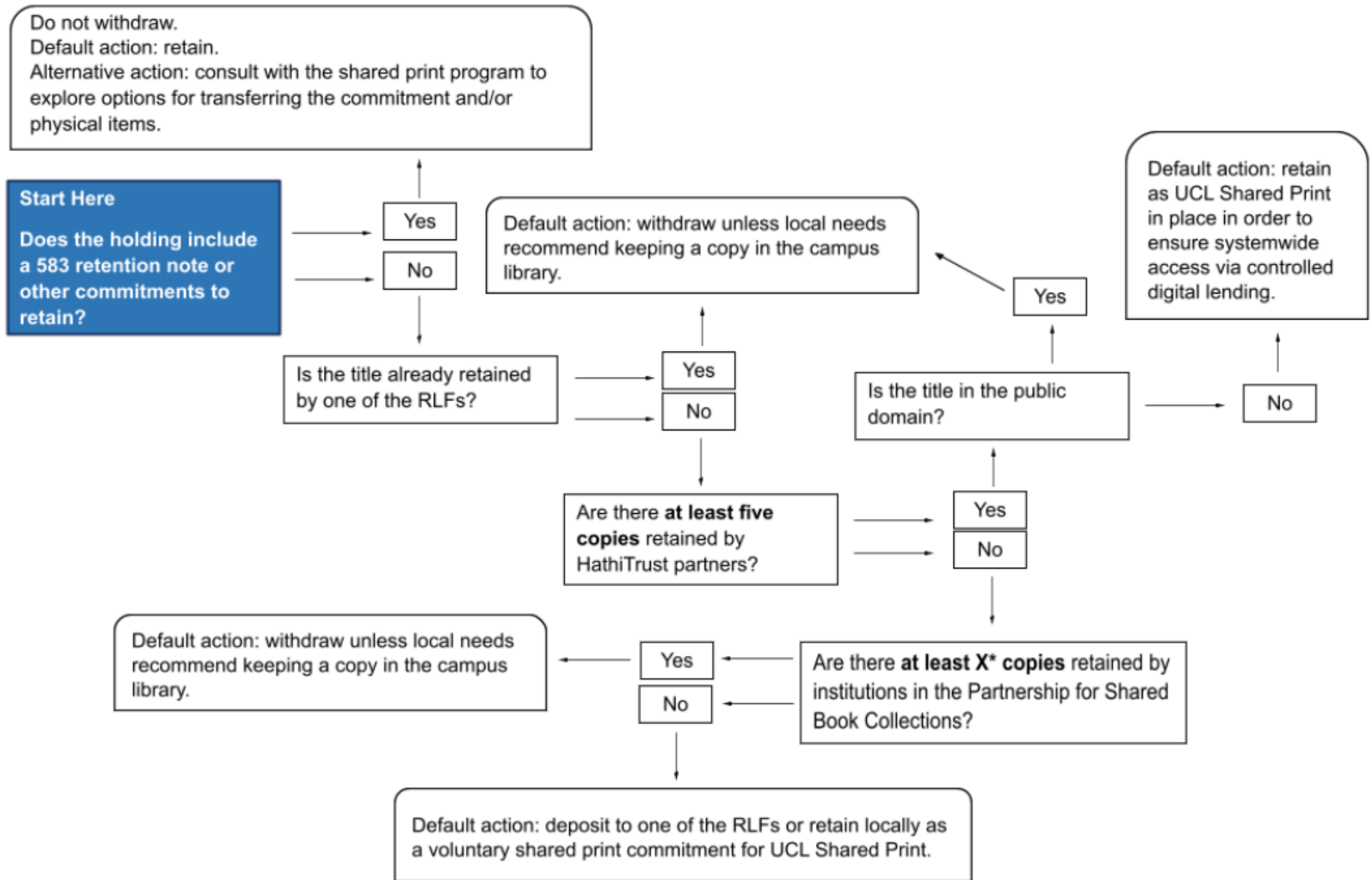
- a. Generally, feedback from collections leaders indicate that ILL revenue from deposits at the RLFs does not substantively impact collections funding or staffing.

Appendix B: Shared Print Decision Flowchart

Serials & Journals



Monographs



***Please note:** The Partnership for Shared Book Collections Risk Research Working Group continues to refine its model for predicting the optimal number of copies. This flowchart will be updated with that information when available. Until the number of copies at the Partnership-level is determined, please default to “no” and its action. Source for visual:

<https://docs.google.com/document/d/1Im859siyGHIs2IqMBqEMwHq7RYqce9hX/edit#heading=h.gidgxs>.