

**UNIVERSITY OF CALIFORNIA**  
**REGIONAL LIBRARY FACILITIES**  
**STATEMENT OF OPERATING**  
**PRINCIPLES**

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# UNIVERSITY OF CALIFORNIA REGIONAL LIBRARY FACILITIES

## STATEMENT OF OPERATING PRINCIPLES

### 1. REGIONAL LIBRARY FACILITIES

#### 1.1. Introduction

This document expresses the basic policies governing the operation of the Regional Library Facilities of the University of California. It establishes the purposes and goals of the Facilities and states the guiding principles under which they operate.

#### 1.2. Description

The University of California Regional Library Facilities are managed and operated as shared resources that support 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.

Formation of the Facilities was recommended in Chapter X of *The University of California Libraries, A Plan for Development* (1977) (<http://www.slp.ucop.edu/initiatives/1977.html>).

The Northern Regional Library Facility is located at the Richmond Field Station in Richmond, California, and initial state funding was provided for the building project in 1981. Construction of Phase I was completed by October 1982, Phase II in the summer of 1990, and Phase III in April 2005. The NRLF began operation in 1983. The building has staff and reader space as well as stack space. Phases I, II, and III provide capacity for approximately 7,700,000 volume equivalents.

The Southern Regional Library Facility is located on the campus of UCLA. Initial state funding was authorized for the building project in 1984. Construction of SRLF Phase I was completed in 1987 and construction of Phase II was completed in January 1996. The SRLF began operations in August, 1987. The building has staff and reader space as well as stack space. Phase I and II provide capacity for approximately 6,900,000 volume equivalents.

Materials are shelved by size and accession number to maximize the capacity of the facilities. Both facilities are designed to permit construction of new stack components as the need for additional space develops. The materials of depositing libraries are intershelved. However, non-University of California deposits (see section 1.4 below) are not intershelved with University of California deposits. High security areas are available for special collections and archival collections. Both facilities provide carefully controlled temperature and humidity conditions designed to enhance the longevity of materials deposited at the facility.

### **1.3. Purpose and Goals**

The RLFs store, preserve and provide access to infrequently-used library materials of research value in a cost effective economical manner for the libraries of the University of California.

### **1.4. Depositors**

Primary depositors to the Facilities are the libraries of the campuses of the University of California (UC). Subject to the policies established by the University of California upon recommendation of the Shared Library Facilities Board, other segments of the California library community, public and private, may also become depositors. Policies related to deposits by non-UC libraries are currently under review. Individuals, agencies, and institutions other than libraries are not eligible to deposit material at the Facilities. All depositing libraries are subject to Shared Library Facilities Board policy.

### **1.5. Charges**

With the exception of UC libraries, depositing libraries are assessed on a cost recovery basis for services provided by the facilities, such as processing and housing materials, and administrative overhead.

### **1.6. Governance**

The NRLF and SRLF are managed and operated by the Berkeley and Los Angeles campuses on behalf of the University of California, pursuant to memoranda of understanding dated June 13, 1994 and October 1, 1993, respectively. Both facilities are governed by the Shared Library Facilities Board (SLFB), which is appointed by and responsible to the Provost and Senior Vice President for Academic Affairs. Voting members of the Board are the University Librarians or their designees, a representative of the UC Academic Senate, and a representative of the Librarians Association of the University of California (LAUC).

The Board is chaired by a University Librarian from a UC campus for a two-year term, upon nomination by the voting members of the Board. It is desirable, but not mandatory, that the chairmanship alternate between University Librarians representing the northern and southern regions of the state. Staff and budgetary support for the Board's operations will be provided jointly by the Office of Systemwide Library Planning and the shared library facilities.

## **2. DEPOSITS**

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.

### **2.1. Material Eligible and Not Eligible for Deposit**

Material may be in any physical form normally considered appropriate for library collections with the following exceptions:

- Materials that duplicate items already in storage at the destination RLF are proscribed except where justified by an approved UC Libraries collection management plan for selective systemwide retention of duplicate copies. Exceptions to the general policy may be made by the Board. Special Collections material is exempted from this policy.
- Materials in an advanced state of deterioration are not ordinarily accepted.
- Highly flammable or potentially explosive items (e.g., nitrate films) are prohibited, as are items infested by mold, insects, or other vermin.

## **2.2. Records**

### **2.2.1. Book and Book-Like Material**

Each depositing library is responsible for providing a machine-readable bibliographic record for all book and book-like items deposited. The record standards and format must be compatible with the UC Union Catalog. Because the primary means of retrieving the material at the facilities is the facility inventory control number, the records must also be capable of accommodating that number.

All UC holdings at a Facility must be listed in the UC Union Catalog. Inclusion of non-UC materials in the UC Union Catalog is a policy matter determined by the UC Office of the President in consultation with the Shared Library Facilities Board. Contact the relevant Facility for more information.

### **2.2.2. Non-Book Material**

Deposit libraries must provide a machine-readable minimum storage record for non-book material, the content of the record to be specified by the Board.

## **2.3. Requests to Deposit**

Requests to deposit material are reviewed on a regular basis by the Facility Directors and the Shared Library Facilities Board as set out in the Board's *Procedures for Annual Management of Deposits to the UC Regional Library Facilities* (November 8, 2006) ([http://libraries.universityofcalifornia.edu/planning/SLFB\\_deposit\\_management\\_final.pdf](http://libraries.universityofcalifornia.edu/planning/SLFB_deposit_management_final.pdf)).

Acceptance of deposit requests for accessioning is based upon the ability of the requesting library to meet conditions outlined in this statement of operating principles, e.g., condition, duplication, form, and bibliographical control.

## **2.4. Scheduling**

Immediacy of need, availability of space and facility operating requirements are considered when scheduling receipt of deposits.

Procedures for submitting deposit requests, review, scheduling and notification of requesting libraries of request disposition are available from the Facilities.

## **2.5. Priorities**

If the space required to shelve acceptable deposits exceeds the space available, the Board establishes the priority for acceptance of deposits.

## **2.6. Recalls and Withdrawals**

A depositing UC library may recall its deposited items from a Facility for return to its local collections, subject to the policy on *Persistent Deposits in UC Regional Library Facilities* (February 20, 2006) ([http://libraries.universityofcalifornia.edu/planning/RLF\\_Persistence\\_Policy\\_rev\\_final.pdf](http://libraries.universityofcalifornia.edu/planning/RLF_Persistence_Policy_rev_final.pdf)) and any other applicable UC collection management policies. A non-UC depositor may permanently withdraw deposited items from a Facility, subject to any special agreements between the University and the depositor.

# **3. SERVICES**

Primary access to material on deposit at a Facility is provided through lending and copy services to individuals through libraries. Access is also provided directly to authorized individuals through electronic document transmission and on-site services.

## **3.1. Off-Site Services**

Off-Site Services are those provided by the Facilities to individuals through other libraries or directly via electronic document transmission. Off-Site services provided include lending and copying.

### **3.1.1. Lending**

The target period for delivery of requested material to UC libraries is no more than two working days from receipt of the request at the Regional Library Facility holding the item to receipt of the material at the requesting library

Non-UC libraries requesting lending services are charged for those services on a cost recovery basis. UC libraries are not charged for lending services.

Effective September 1, 2006, UC materials deposited in the RLFs shall have one of the three following circulation categories:

- **Unrestricted:** Lent to any UC campus for one year; lent on-site at the RLF.
- **Building Use Only:** Lent to any UC Library for one year, but must be “building use only” on the borrowing campus; may be used but not loaned on site at the RLF.
- **Non-Circulating:** Lent only to the owning library for one year; no RLF on site use.

Beginning September 1, 2006, for any materials previously deposited at an RLF having a circulation policy different from the three categories set out above (including the “Limited Circulation” category at the NRLF), upon receipt of a request to use or loan the material the RLF will ask the depositing library to review the requested items and classify them into one of the three approved circulation categories before responding to the request.

### **3.1.2. Electronic Copy and Photocopy**

Electronic copies and photocopies of material deposited at a Facility may be requested by a library or an individual. Telefacsimiles of material deposited at a Facility may be requested by a

library. The target period for on-line availability of electronic copies is no more than two working days from receipt of the request at the Facility. The target period for availability of requested photocopies at UC libraries is no more than two working days from receipt of the request at the Facility.

All non-UC libraries or individuals requesting photocopy services, electronic transmissions or telefacsimiles are charged for those services on a cost recovery basis.

### **3.2. On-Site Services**

#### **3.2.1. Reading Room Use**

The following individuals may visit the Facility, have materials paged, and use material in the Reading Room: individuals who hold a valid UC library card; faculty, staff, and students from academic institutions whose libraries have deposited materials at that Facility; other individuals from institutions whose libraries have deposited materials at that Facility; and others with specific authorization from a UC library or authorization from the Facility's Director or the Director's designee.

Materials shelved in the Special Collections areas will not ordinarily be used on-site. On-site use of material shelved in these areas shall occur only with prior authorization from the head of the depositing library or the head's designate and from the Director of the Facility or the Director's designee.

#### **3.2.2. Stack Access**

Stack access is available to faculty, graduate students, and staff from academic institutions with depositing libraries, with permission from the Director or the Director's designate. Access to Special Collections areas is restricted to facility staff and, with permission from the Director, the staff of depositing libraries.

#### **3.2.3. Lending**

On-site lending services are provided to individuals who show a valid UC library borrowers card, and to faculty, staff, and students from academic institutions whose libraries have deposited materials at that Facility who show a currently valid institutional or library card.

On-site lending services are provided to patrons of non-academic depositing libraries who display appropriate identification and who have specific authorization from their home library. On-site circulation to individuals from non-UC institutions with depositing libraries is charged to their home library on a cost recovery basis.

#### **3.2.4. Photocopy**

On-Site photocopy services are charged to the individual, UC and non-UC, on a cost recovery basis.

