



## *Center for Research Libraries Deposit Policy*

The section of the "Collections and Services Policy Manual" governing disposal of the deposited materials (II.D.4. paragraph 2) was reaffirmed by the Collections and Services Policy Committee on April 24, 2009. At the same meeting, the committee decided that the section needed to be reviewed and revised in order to address future deposits.

The following text on the Deposit Policy provides the present framework for deposits:

### **II.D.4. DEPOSIT SERVICE POLICY STATEMENT:**

The Center's deposit policy is part of its collection development policy. Its purpose is to encourage the sharing of materials that, while important for research, are uncommonly held and infrequently used. The deposit of materials of this nature in the Center will help eliminate the need for the duplication of such infrequently used materials in a number of libraries. This guide to the deposit policy is intended to help each member make the most efficient use of this service, so that it will be of maximum value both to the depositing member and to other members.

Decisions of what classes of materials are eligible for deposit, or not eligible, are made by the member libraries acting through the Council and the Board of Directors of the Center, and changes may be made by them from time to time. However, in order to assure the depositing library that the Center will preserve and not arbitrarily dispose of any materials deposited and accepted in good faith in accordance with an existing policy, the Board of Directors will not dispose of any such material without the consent of 2/3 of the members voting by mail ballot. A majority of the members may determine that the Center will accept no more deposits of a particular kind of material.

**RATIONALE:** Since the basic purpose of the Center is to augment the research resources of the member libraries, there is no value in its holding what is commonly available within the member libraries themselves, nor is there value in its keeping what would be worthless in a member library's own collection. These principles are fundamental in determining what is eligible for deposit in the Center, and what is not, and should be used by each member to test the eligibility of every item it considers for deposit. In a few cases library materials that are neither commonly held nor valueless for research may be declared ineligible for deposit on other grounds, usually because they are enormously bulky if collected comprehensively enough to form a useful collection, because they are of very limited value to scientific and scholarly research, or because other collections of these materials exist that can be consulted when a need does arise.

**II.D.4.a. Permission to Deposit** Although every member has the right to deposit library material in the Center, this right is limited to the deposit of those materials defined as acceptable by the Board of Directors and the Director of the Center, who are charged with responsibility for accepting or rejecting deposits in accordance with existing policies and the Center's available space and facilities. No materials should be shipped without first obtaining written permission from the Center. Requests to deposit should describe as accurately as possible the material to be deposited and indicate (1) the approximate quantity, and (2) the desired shipping date. For most materials the description should be in the form of a list of the titles to be deposited (plus, in the case of serials, the volumes or years included), so that the Center can advise which titles (or volumes) are already in the Center and eliminate wasteful handling and shipping. Such "lists" may be in any readable form--for example, copies of catalog cards or serial record cards are acceptable.

**II.D.4.b. Conditions of Deposit** Only items which are outright gifts or provided on permanent loan to the Center are accepted for deposit. Since the kinds of material with which the Center is concerned are infrequently used, one copy is almost always adequate to satisfy users, and the Center's policy is therefore to keep only one copy of each publication deposited. Duplicates are generally discarded. However, it should be noted that the Center interprets duplication in the strict bibliographic sense; different editions and issues of the same title are not regarded as duplicates and are retained. The Center may hold a second copy in those infrequent cases where actual demand has shown a single copy to be inadequate.

#### **II.D.4.c. Materials Eligible for Deposit**

**II.D.4.c.(1.) Cataloged Classes** The deposit of materials included in one of the Cataloged Classes is currently limited to microform editions and serial literature.

**II.D.4.c.(1.)(a.) Serial Literature.** Serials are acceptable for deposit if they meet the following qualifications:

1. The run to be deposited is of substantial length (at least five years) and/or is complete, or very nearly so. Single issues or volumes, or short runs with many gaps, are not acceptable unless they are the longest and most complete runs known, or believed, to be held by a member library, or unless the volumes are unique and the only ones known, or believed, to exist that fill gaps in other known holdings. Single issues or volumes that fill gaps in the Center's files are acceptable.
2. The serials fall within the scope defined in the collection development policy of the Center.
3. The depositing library supplies a copy of its catalog record for the title. (This is not required if the title has been cataloged on one of the major bibliographic utilities or by the Center). Collation sheets or copies of check-in records are desirable.
4. The title does not fall into one of the following excluded classes:
  - Abstracting and indexing journals.
  - Bank publications/domestic.
  - Chamber of Commerce publications.
  - City directories.
  - Corporate annual reports.
  - Foundation annual reports, newsletters, etc.
  - Fraternity and sorority (social) publications.
  - Hardcopy of newspapers that are available in microform.
  - House organs.
  - Laws and Statutes.
  - Library annual reports, newsletters, bulletins, etc.
  - Depository U.S. government documents.
  - Patent journals.
  - Sample issues of journals.
  - University and college student publications, newsletters, alumni bulletins, and promotional materials.
5. A title new to the collection that is held by fewer than 25 North American libraries or is a common serial reference work. Staff will use such bibliographies as Guide to reference works (Mudge/Sheehy/Balay) or Walford's guide to reference material to define "common serial reference works" when making title selections. Loose-leaf reference works will not be accepted. (Section in test mode: FY98.)

**II.D.4.c.(1.)(b.) Microforms.** Microform copies of individual titles or collections may be deposited with the Center, if they fall within the scope defined in the Collections and Services Policy Manual. The Center has facilities available for both the storing of preservation masters and for printing positive copies on demand. The depositing library must inform the Center whether proper copyright

clearance has been obtained for the printing of positive copies when depositing negative copies of a microform.

**II.D.4.c.(2.) Uncataloged Classes** The Center maintains major collections of the following materials that are based primarily on deposits. The material within these collections is not cataloged, but is arranged on the shelves so that it can easily be retrieved. While the Center continues to accept deposits in these classes, those classes marked with an asterisk (\*) are currently under review and may be discontinued.

**II.D.4.c.(2.)(a.) Foreign Doctoral Dissertations.** The Center welcomes the deposit of foreign doctoral dissertations. Foreign doctoral dissertations from institutions that are Center exchange partners are not eligible if they were published during the term of the exchange. Collections in which several dissertations have been bound into one volume are not acceptable. A list of the authors and titles (or a representative sample) is required before approval of the deposit can be given.

**II.D.4.c.(2.)(b.) Textbooks, Primary and Secondary.** The Center's textbook collection is limited to textbooks intended for primary and secondary schools, to post-high school non-degree schools such as technical and business schools, and to foreign language grammars and readers at any level. Except for the latter, materials intended for college level instruction are not included in the collection. Deposits are limited to 1970+ dates of publication unless an exact list of authors and titles is provided prior to approval of the deposit.

**II.D.4.c.(2.)(c.) University and College Catalogs.** The Center will accept foreign catalogs (general, departmental, and professional school). A list of the institutions, titles and dates (or a representative sample) is required before approval of the deposit can be given.

**II.D.4.c.(2.)(d.) U.S. State Documents.** The collection of documents from the U.S. states, District of Columbia, U.S. territories and possessions is built through deposit arrangements with members libraries, which add to the pre-existing state document collection gathered through a depository program up to 1990. Deposits are eligible if they fit the collection scope (see Section II.C.3.d.).

#### **II.D.4.d. Procedures**

**1. Continuation Deposits.** Libraries may make special arrangements to send, on a continuing basis, issues of serial titles acceptable under the criteria stated above. Shipments of continuing deposits must be clearly labeled as such.

**2. Packing.** In order to enable the Center to process deposited material as rapidly and efficiently as possible, only one kind of material should be packed in each carton (for example, each box should contain only foreign doctoral dissertations, or only state documents, only college catalogs, only textbooks, or whatever) and each carton should be clearly marked to indicate the kind of material it contains. In addition, the material in the cartons should be packed in as systematic an order as possible. When a run of a material continues from one carton to another (for example with material arranged alphabetically, or as serially numbered volumes) each carton should be serially numbered (e.g., 1 of 16; 2 of 16; 3 of 16; etc.).

Whenever possible, a copy of the catalog record for the title should be inserted in each volume (or in the case of multivolume sets, in the first volume), between the front cover and the first flyleaf. (This is not required if the title has been cataloged on one of the major bibliographic utilities or by the Center.) Collation sheets or copies of check-in records are desirable.