

Durham University Library Collection Management Policy

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1 Overview

- i. Durham University Library supports the current research and teaching of the University through the effective acquisition and management of printed and electronic resources.
- ii. To maximise support for, and use of, existing resources a nominated Academic Liaison Librarian will work with individual academic departments to ensure the effective management of collections and provide formal and informal training in their use.

2 Key Principles

- i. The selection of information resources is primarily the responsibility of academic staff in conjunction with Library staff. Resources purchased should reflect the current research and teaching interests of the department.
- ii. Departmental Library allocations are nominally devolved to individual departments. However, the allocations remain part of the overall Library budget. Ultimate responsibility for expenditure remains with the University Librarian.
- iii. Decisions on the most appropriate format and loan periods for recommended resources will be determined by the Library.

3 Purpose of the Collection Management Policy

- i. This policy outlines the acquisition, maintenance and disposal processes for information resources acquired to support the teaching and research of all University Departments.
- ii. The policy applies to books, reference works and journals, whether printed or electronic. It does not apply to music scores, recordings or special collections materials.
- iii. Separate funding and stock management processes apply to the Teaching Resources Collection maintained to support the School of Education. These are outlined in Annex 1.
- iv. This document updates and replaces the consolidated Collection Management Policy previously issued in 2013 and agreed by Library Users' Committee and Library Steering Group.

4 Information resources

The Library will:

- i. Provide access to a range of information in the most appropriate format to support the current and planned research and teaching needs of the University including: books, journals, specialist reports, government agencies' publications, legislation, statistical data, images, published and unpublished research, manuscript and archival materials, music scores, CDs, DVDs and videos.
- ii. Provide rapid access via electronic provision or suitable loan periods, to information sources deemed essential by academic staff.
- iii. Ensure that information provided electronically is available to all authorised users from both on and off campus, unless significant cost or license restrictions prevent this.
- iv. Provide, through its own holdings or through participation in co-operative schemes with other libraries, access to information required by researchers.
- v. Provide, where license arrangements permit, access to information resources for the wider community of researchers, including alumni, retired members of staff who remain active scholars and the public.

5 Acquisition of information resources

5.1 Budgets

- i. The departmental Library allocation is set on an annual basis according to a formula agreed by the Library Users' Committee and Library Steering Group. An overview of the elements which make up the allocation formula is available from the Library website: <http://www.dur.ac.uk/resources/library/password/allocation.pdf>.
- ii. Allocations will normally be made in September each year, once the overall Library budget for the new financial year has been confirmed. Departments will normally be given an advance to allow the continued purchase of materials until the allocations are finalised.
- iii. The spending of departmental allocations should be overseen by the nominated Departmental Library Representative in conjunction with the Academic Liaison Librarian for their department.
- iv. The Library will supply regular statements on the availability of funds. Additional reports on fund balances can be supplied on request.
- v. If additional funds are required, the Department may arrange a virement to the Library to support purchasing.
- vi. Departments should aim to spend 50% of the departmental allocation by January each year and 100% by the end of April.
- vii. Any departmental allocations which remain unspent at the end of April each year will be returned to central Library funds and used to purchase high cost, multi-disciplinary e-resources identified on the Library's Desiderata list.
- viii. New courses, modules or research interests do not automatically receive any additional funding for Library resources. Where possible, the cost of new Library resources should be identified in the formal module proposal or bid documentation and specifically ring fenced for Library resource start-up costs. Otherwise, new areas of teaching and research will need to be supported from the existing Library allocation.

5.2 Selection and purchase

- i. The Library actively encourages recommendations for book purchases from users at all levels and will implement processes to facilitate this (for example via More Books or Recommend a Book schemes). The suitability and appropriateness of resources suggested via such routes will be assessed by the relevant Academic Liaison Librarian, where required.
- ii. The Library will continue to work with publishers to purchase suitable material via patron driven acquisition schemes as a means of acquiring relevant resources in an efficient manner.
- iii. The Academic Liaison Librarian may, at their discretion, use departmental allocations to purchase resources which match the teaching and research interests of the department or supplement existing provision (for example, through the purchase of annual e-book update packages).
- iv. Suggestions for materials to support research should normally be made via the nominated Departmental Library Representative. Departments should make their own internal arrangements on how this is organised and whether expensive purchases (such as journal subscriptions) require the approval of the Board of Studies.
- v. The Academic Liaison Librarian for the Department is responsible for liaising with appropriate library staff and suppliers to ensure the most cost effective access to information resources.

- vi. In consultation with Departmental Library Representatives, Book Approval Plans will be implemented where possible as a means of acquiring relevant materials in a more timely and efficient manner.

5.3 Format

- i. The Library will decide the most appropriate format for resources purchased.
- ii. Where there is no significant cost variance or other relevant factors, electronic will be the preferred format for all resources.

5.4 Reading lists

- i. Reading lists are a key component of the student experience and a Senate mandate of June 2010 [S/09/72] requires all Departments to submit 100% of reading lists to the Library by the advised deadline each year.
- ii. Resources required to support teaching should be listed on module reading lists.
- iii. The Library needs to be advised of changes to lists previously submitted, or receive full details of new lists by 1 July each year. Reading lists should be sent to library.resources@durham.ac.uk.
- iv. Based on previous usage statistics, the advice of academic staff and other relevant factors, the Library will decide the most appropriate loan category for resources on reading lists.
- v. Material will only be retained in the Short Loan Collection where usage figures justify this. Material will be returned to the standard shelves when it has become apparent it is little used and will be reviewed as a matter of course at the end of each academic year.
- vi. Further information on reading lists can be found at: http://www.dur.ac.uk/library/course_resources.

5.5 Multiple copies

- i. Multiple copies of reading lists items are acquired according to a model, linking likely demand with expected student numbers for the course or module.
- ii. To maximise access, the Library will determine the most appropriate loan period(s) for multiple copies and ensure where possible that a range of different loans are available.
- iii. Where demand is demonstrated to be high (e.g. a high number of reservations), the Library will take appropriate action including changing the loan period of existing copies, ordering additional print copies or ordering an electronic version.

5.6 Reference sources

- i. The Library will provide appropriate reference sources to support research and teaching.
- ii. Where available, electronic will be the preferred format for reference sources.
- iii. Printed reference sources will be reviewed on a regular basis to ensure that they are up-to-date. Outdated references sources will be discarded.

5.7 Subscription sources

- i. Subscription resources represent a significant on-going commitment and subscription prices often increase above the standard rate of inflation.
- ii. To ensure these long-term commitments remain sustainable, departments are restricted to the overall percentage of their budget which can be committed to subscription resources, according to agreed Faculty guidelines.

- iii. The agreed Faculty guidelines are set at 50% for the Faculty of Arts & Humanities, 75% for the Faculty of Social Sciences & Health and 95% for the Faculty of Science.
- iv. The Library will advise academic departments on an annual basis of the current percentage committed to subscription resources.
- v. Departments which exceed the agreed Faculty guidelines will be required to cancel titles to reduce their overall expenditure to meet the agreed faculty limits.
- vi. Regardless of expenditure levels, all departments will be asked to review the subscriptions portfolio on an annual basis to ensure that they continue to meet the research and teaching needs of the department and offer value for money.
- vii. The Library can, on request, provide annual usage and cost per download statistics for individual resources where possible. Departments will be asked to consider cancellation of titles with a high cost per download figure, where alternative services for acquiring the material (e.g. Document Delivery Service) exist.
- viii. In order to use its budget most effectively and demonstrate value for money, the Library retains the right to cancel titles identified as low usage. Where possible, this will be done in consultation with, and with the agreement of, the relevant academic department(s).
- ix. Proposed cancellations must be submitted to the first Library Users' Committee meeting of the academic year (typically October or November each year). Approved cancellations will normally take effect from the January of the following calendar year.
- x. Proposals for new subscriptions must be made via the Departmental Library Representative to ensure that the additional long-term commitments can be met within the available allocation.
- xi. Where proposed new titles would result in a department exceeding the approved Faculty limit, an existing title of equal or greater worth must be cancelled before the new subscription will be approved.
- xii. Departments may choose to vire additional funds to the Library to support the purchase of subscription resources. Such funds will be in addition to the expenditure already agreed under the Faculty guidelines.
- xiii. Departments are actively encouraged to investigate opportunities for sharing the cost of expensive electronic resources with other academic departments within the University.
- xiv. The Library will decide the most appropriate format for subscription based resources. Electronic will be the preferred, default format as this provides global availability to authorised users, secure access to all content and is more efficient in terms of space and staff time.

5.8 Gifts

- i. Donated items are accepted in accordance with the criteria set out in the Library's Gifts Policy http://www.dur.ac.uk/resources/library/gifts_policy.pdf.

6 Retention, relegation and disposal

- i. The Library's aim is to provide timely access to information required to support research and teaching. This will be through a mixture of physical stock held within the Library, access to e-resources and access to wider research resources via schemes such as Document Delivery or co-operative borrowing schemes.
- ii. Print resources will need to be reviewed on a regular basis to ensure that they remain relevant.
- iii. As a general principle, the Library will hold on the main sequence shelves all material actively being used for teaching and research. Resources which do not meet these

criteria will be relegated to store or disposed of, in line with the timescales outlined below.

- iv. Disposal of such material is an essential part of collection management. It ensures that collections remain relevant, ensuring space for new purchases and allows the library to respond to changing user needs.
- v. Criteria for relegation or disposal will also be based on additional factors, including:
 - Number of copies held
 - Availability of electronic or other suitable alternatives to print materials
 - Whether the subject is currently taught or researched within the University
 - Physical condition
 - Security and conservation of materials
 - Declining usage from evidence of borrowing or consultation within the Library
 - Publication date
 - Currency, particularly in disciplines where information dates rapidly
 - Availability of materials via other sources, including the British Library Document Delivery Service or co-operative borrowing schemes
 - Space constraints and shelf occupancy levels
 - Continued validity of older material, for example key contributions to theory.

6.1 Retention of resources on main sequence shelves within the Library

- i. Printed texts will remain on the main sequence shelves where there is evidence of their use through borrowing or consultation within the library; they contain up-to-date information or are required for reference consultation.
- ii. The Library Management System will be used to generate lists of little-used items. Appropriate processes will be established to ensure that in-house use (i.e. where a book is not borrowed) is recorded.
- iii. Books which are on the main sequence shelves but have not been borrowed for five years (Faculty of Science), 6 years (Faculty of Social Sciences & Health) or 8 years (Faculty of Arts & Humanities) will be transferred to the open access store sequence on Floor 1 of the Bill Bryson Library.
- iv. Users will continue to have direct access to all items held in the Store sequence and they will remain borrowable.
- v. Volumes which form part of a series will normally be kept together in the same location.

6.2 Relegation to Library stores

- i. Older print journals with low usage but which are not available from a secure, trusted electronic archive or repository will be removed to the open access store sequence on Floor 1 of the Bill Bryson Library. Users will continue to have direct access to these volumes.
- ii. Duplicate copies of texts will normally be discarded and only one copy retained in the open access store sequence on Floor 1 of the Bill Bryson Library.
- iii. Facilities will be provided in the Library Store for users to record in-house use of a Store item. These statistics will be included in any decisions on the disposal of material.

6.3 Recovery from store

- i. It is recognised that as teaching and research interests may change, materials held in the store may once again become key resources. Where there is evidence or

reasonable expectation of increased usage due to this, the Library will work with departments to ensure the managed return of relevant items to the main sequence shelves.

6.4 Disposal

- i. The maintenance and storage of unused materials represents a significant cost to the Library in terms of maximising space and staff time. As such, it is not possible to retain all materials indefinitely.
- ii. The Library will only retain the current and immediately previous edition of books, unless there is a valid reason for retention of earlier editions. Older editions and multiple copies will be disposed of.
- iii. Printed abstracts and journals which are available from a secure electronic archive managed by a trusted repository or supplier and/or where titles have been identified for disposal under the terms of the UK Research Reserve (UKRR) scheme will be disposed of.
- iv. Outdated reference books or reference books which are available electronically via a secure, trusted electronic archive or repository will be disposed of.
- v. Books which have been removed to store under 6. iii above and not used for a further four years will be disposed of.
- vi. Where possible, discarded items will be disposed of using ethical and environmentally-friendly methods, promoting the re-use or recycling of materials, as appropriate.

6.5 Exceptions

- i. It is recognised that, over time, some older materials may become important for historical scholarship and retain some future value as a potential primary resource. As such, the Library will apply the disposals policy in a consistent, but sympathetic manner.
- ii. Examples of such materials may include: early editions of primary source materials, such as literary works; historical documents; collected papers of significant persons, diaries, letters or other works of major research significance.
- iii. Academic colleagues will be given an opportunity to view items scheduled for disposal in the Library, with a specific timescale to note any concerns. A consolidated list of proposed disposals will also be provided on the Library website.
- iv. Academics may identify individual items which should be retained, providing a specific, valid reason for their retention is provided for each item.
- v. Any valuable, unique or rare materials will be retained (including primary data reports and excavation reports, literary texts only available in single editions etc.)

7 Review procedures

- i. This policy will be reviewed every two years and confirmed by the Library Users' Committee and Library Steering Group.

Simon Speight

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Annex 1: Specific arrangements relating to the Teaching Resources Collections (TRCs)

A1 Content

- i. The TRCs at the Education Library, Durham and the Information Resources Centre, Queen's Campus are intended to support trainee teachers.
- ii. They contain pre-school and school level material including fiction and factual books, and items in other formats such as DVDs, posters, 'big books', audio resources and 'real objects'.

A2 Selection

- i. New items for these collections are purchased from funds allocated annually by the School.
- ii. Recommendations for purchase are welcomed from academic staff, but selection of resources is also undertaken by library staff, who liaise with publishers to acquire new publications at preferential rates.
- iii. Library staff at Durham purchase for both TRCs.

A3 Review of content, and withdrawals

- i. The TRC in Durham is long-established and its content is reviewed on a rolling basis, with regular withdrawal of outdated material.
- ii. The TRC at Queen's Campus is in a period of growth; outdated material is removed from the shelves when noticed, but the emphasis is on building up the collection, and there are not currently staff resources available to conduct regular reviews of content.

A4 Disposal

- i. Outdated items withdrawn from TRCs are disposed of through sale or donation.

Annex 2: Reading List Purchasing Model Guidelines

Category	Student Numbers	Scenarios - in order of preference	E-copy	Short Loan	Long
Required	20 or less	Multi-user eBook available*	1	-	-
		Credits eBook available*	1	-	-
		Single-user eBook available ‡	1	-	-
		No eBook available	-	1	-
	21-50	Multi-user eBook available*	1	-	-
		Credits eBook available*	1	-	-
		Single-user eBook available ‡	1	-	1
		No eBook available	-	1	1
	51-100	Multi-user eBook available*	1	-	1
		Credits eBook available*	1	-	1
		Single-user eBook available ‡	1	-	2
		No eBook available	-	1	2
	101-150	Multi-user eBook available*	1	-	2
		Credits eBook available*	1	-	2
		Single-user eBook available ‡	1	-	3
		No eBook available	-	1	3
	151-200	Multi-user eBook available*	1	-	3
		Credits eBook available*	1	-	3
		Single-user eBook available ‡	1	-	4
		No eBook available	-	1	4
200+	Multi-user eBook available*	1	-	4	
	Credits eBook available*	1	-	4	
	Single-user eBook available ‡	1	-	4	
	No eBook available	-	1	4	
Additional	Any	Multi-user eBook available ‡	1	-	-
		Credits eBook available ‡	1	-	-
		Single-user eBook available ‡	1	-	-
		No eBook available	-	-	1

* - Providing that the eBook is no more than 300% of the price of the print

‡ - Providing that the eBook is no more than 115% of the price of the print

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