

# University Library

## Collection Development & Management Policy

### 1. Purpose of this policy

The collection held by the Library has been one of the principal engines of creativity and scholarship within the University since its inception. The Library is committed to providing services that support the key priorities of the University of Liverpool. Developing and managing excellent library collections are critical to our meeting this commitment. The Library aims:

- to support research, scholarship and learning at the University
- to maximise access to information for the academic community, through the provision of formats appropriate to the needs of all library users
- to ensure the collections are relevant to the needs of the academic community
- to make effective use of the funding and space available
- to develop and promote the University's special collections and archives which, by their distinctive nature, define the University as a destination for researchers, serve the global community of scholarship, and embody the distinguished history and reputation of the University.

The purpose of this document is to provide a framework for the development and management of all library collections, except rare books and archives, which are covered by the Special Collections and Archives (SCA) Collection Management Policy.

The policy outlines the Library's strategy for ensuring that we meet the current teaching and research needs of all our stakeholders by continuing to acquire relevant new material, while acknowledging that the Library is physically full and that there is a shortage of space for the storage of our print collections.

## 2. Developing the Collections

### 2.1) General Principles of Collection Development

- The Library will purchase materials to meet the research, scholarship and learning needs of the staff and students of the University.
- Electronic is the preferred format, where appropriate and practicable.
- The Library will ensure that we provide a return on investment through targeted purchasing of resources and by the continuous evaluation of existing acquisitions and subscriptions.
- The Library will balance the size of its physical collections against the need to provide sufficient study spaces.
- The Library is committed to exploring innovative ways of acquiring information to meet teaching and research needs, for example Demand Driven Acquisition and Evidence Based Acquisition of books.

### 2.2) Funding and Budgeting

There are two funds for our information provision: the book and one-off purchases budget; and the recurrent subscriptions budget.

**Book and one-off purchases budget** - this is part of the overall library budget. The University uses a funding model which links the book budget directly to predicted student numbers (FTEs). Financial Services confirm the allocation for the book budget in October each year.

Book fund allocation - The Library does not allocate a specific budget to each department, but instead has a single level book fund. This allows us to ensure that we are responsive to the pattern of demand for books in different subject areas. However, we do monitor book fund spending on a month by month basis and it is benchmarked against expenditure in previous years to ensure that funds are spent appropriately.

**Recurrent Subscriptions Budget** – The University considers the budget for recurrent subscriptions as an institutional budget. This means that it is not part of the Library's allocated budget and that it is completely detached from the book budget. The Library is responsible for ensuring that the budget is effectively managed and that funds are spent on subscriptions which are relevant to the needs of our academic community.



## 2.3) General Guidelines for acquisition:

### Format

The Library's preference is usually to acquire online resources rather than physical formats, where available. This is subject to the following considerations: cost effectiveness; ease of access; licensing obligations; future access; user preference, and quality of reproduction. The Library remains committed to maintaining an appropriate print collection, but this must be balanced against the need to provide sufficient study spaces for our users. There remain circumstances where physical formats will be bought in addition to, or instead of online. For audio visual material we will only purchase in a physical format where online access is not possible. In those circumstances we will purchase the current standard format.

### Open Access

The Library is committed to supporting the principles of open access publishing and in ensuring that it is appropriately funded. In line with the University of Liverpool's [Open Access Policy](#), we believe in the benefits of open access publishing in terms of giving research greater visibility and the potential for more rapid dissemination and greater research impact.

With the changes driven by the principles of open access, the Library has assumed a significant role in curating the University's research outputs. The University of Liverpool has a mandatory position that all research outputs must be deposited in, or be made accessible through, the library managed [University Repository](#). Our role as curators will continue to evolve with our growing involvement in the management of research data.

The Library will also retain, in the University Repository, electronic copies of all theses approved as fulfilling the requirement for a higher degree and submitted by Postgraduate Research Students. As open access develops, it is clear that the relationship between journal subscription prices paid by universities and Article Processing Charges will evolve. We will work internally with academic staff and professional services colleagues, and with publishers and external bodies such as JISC Collections, to ensure that the balance is fair and equitable.

### Partnerships

The Library will enter in to partnerships with other university libraries to support the development of its own collections where this enables us to leverage greater discounts and provide value for money. Through partnerships with other libraries we will also ensure that our users are able to access material held elsewhere. Examples of current partnerships include JISC Collections and NoWAL (North West Academic Libraries).



## Getting Books and Journals from Other Libraries (Document Supply)

The Library facilitates access to material not held within the Library's own collections through its subsidised Inter Library Loan service. Information about this service is available here: <http://libanswers.liverpool.ac.uk/faq/49293>, where possible material will be delivered electronically, direct to a user's desktop.

## Suggestions for new purchases

In order to ensure that the Library has the right books in appropriate numbers, and in addition to our standard acquisition processes, we welcome suggestions for additions to our stock from staff and students. Badged as the 'More Books' initiative, this service at <http://library.liv.ac.uk/acquire>, enables our staff and students to request books (or DVDs, CDs, music scores) at any time of year, for any module of study. We will respond to all requests to confirm our purchasing decision.

## New programmes

As part of the approval process for all new programmes, the Library receives notification of the resources required. If the Library perceives there to be issues in providing the required resources then the relevant Liaison Librarian will contact the Director of Studies to agree an appropriate solution.

## Liaison Librarians

The Library has a team of Liaison Librarians who use their understanding of the distinct needs of individual departments to make informed decisions, in conjunction with academic staff, on the purchase of appropriate new resources. The ultimate responsibility for ensuring the purchase of new resources sits with the Liaison Librarian.

## Acquisitions Team

The Library has a team who are specialists in acquiring new content, in all formats, by the most efficient and cost effective means. The Acquisitions Team works closely with Liaison Librarians to ensure that the content purchased meets the needs of individual departments.



## 2.4) Selection of books and one off purchases

### Book Format

If available electronically, and there is no significant difference in cost between the electronic and print, we will always buy one electronic copy of Key and Recommended texts. Alongside our purchase of e-books, we are committed to maintaining our print book collection. We will continue to purchase print books in significant numbers as print is sometimes the preferred, or indeed only, option.

Where possible, we will strive to procure e-books that do not have restrictive usage conditions e.g. limits on viewing, printing or copying through Digital Rights Management software to ensure that we offer the best possible user experience.

### Ratios for purchasing books

**Key texts** we commit to ordering at least one copy of a core textbook for every ten students per module, with a minimum of three key texts purchased to ensure that smaller cohorts have appropriate access to titles considered key texts.

**Recommended Texts** – Where readily available, we commit to purchasing one copy of each recommended item for every 25 students per module. When books are out of print, or unavailable, the Liaison Librarian will liaise with the relevant academic.

### Reading Lists

Talis Aspire, badged within the University as [Reading Lists @ Liverpool](#), is the University's system to enable students to access their recommended reading. As part of the University's [VITAL Baseline](#) there is an expectation that every module should include a reading list and that Reading Lists @ Liverpool should be the tool for managing these lists. There is a requirement that academic departments work with the Library to ensure that reading lists for all modules are made available via Reading Lists @ Liverpool.

To enable the Library to provide appropriate books in appropriate numbers at point of need, the deadline for updating reading lists on Reading Lists @ Liverpool and for sending for review is at least eight weeks before a module runs: books can take up to eight weeks to be delivered by our library suppliers. It is by using these suppliers that we receive significant discounts on book purchases, enabling us to leverage greater value from our budget.

The Library will endeavour to have all books in stock ahead of a module start date; however, there are occasions when some books may be unavailable. The Library will be responsible for reviewing updated reading lists, for choosing formats, and for managing the acquisitions process to ensure both appropriate accessibility and value for money.



## **'Demand Driven' Acquisition and 'Evidence Based' Acquisition**

The Library is committed to developing innovative ways of providing access to relevant material in a timely fashion. Where appropriate, we will make e-books available via Demand Driven Acquisition and Evidence Based Acquisition to give our customers the opportunity to purchase the books most in demand. Both these types of acquisition depend on book usage, to help us to ensure that we purchase outright the books that our students and researchers are using.

### **Obtaining Accessible Copies of Core Texts**

The Library holds a large number of books in electronic format where we try to acquire DRM (digital rights management) free PDFs that can be manipulated using the available screen reading software. However, there may be occasions when this approach is inappropriate and our users will require books in a more accessible format. In these instances, we will try to acquire an accessible copy of any relevant text direct from the publisher. Requests can be made on the Library Website via the 'Accessible Core Text Request' form or by contacting your Liaison Librarian.

It must be noted that our ability to supply such a document in an accessible format is dependent on the publisher and delivery times will vary and can take several weeks depending on the title requested.

### **Audio Visual Materials**

Audio visual material is purchased using the same criteria employed for the purchase of print and electronic material. We will only purchase in formats considered the current standard.

### **Monitoring Use of Books**

The Library monitors levels of book reservations to generate 'purchase alerts' ensuring that we are aware of books in high demand. We may use this information to purchase additional copies of these books or to change loan periods, if appropriate.

## **2.5) How Book Selection Happens**

### **Learning & Teaching Collections**

Liaison Librarians oversee book purchases in their subject areas, utilising their knowledge of the specific requirements of their departments. They act as a communication channel between the Library and academic staff and students. The expectation is that Liaison Librarians work in partnership with academic colleagues to ensure the appropriate growth of the collection.

### **Research Collections**



The selection of materials to support research is the responsibility of research staff and students; Liaison Librarians will be guided by them to ensure that appropriate research material is acquired. The Library will ensure that materials are acquired in a timely manner and in an appropriate format and will manage the acquisitions process to ensure value for money.

Research materials should only be purchased if they are linked to university, school or institute research priorities or if they are of exceptional scholarly significance and there is a realistic prospect of their being used. Materials likely to be of limited interest should not be purchased where alternative means of access, such as obtaining them from other libraries, are available and cost-effective.

## 2.6) Journals and Subscribed Resources

### Formats

The Library's preference is to subscribe to journals in an electronic format as it allows global access. However, we acknowledge that, in limited instances, a subscription to print may be necessary, for example when an electronic version is not available or the reproduction is inadequate.

However, beyond those two examples there are now very few scenarios where print would be purchased. Any exceptions beyond the reasons cited must be agreed with the Head of Academic Liaison, Special Collections & Archives.

### 'Big Deal' Journal Model

The Library will continue to subscribe to a number of bundled or 'big deal' collections which have been shown to add significant value to our collection. Experience shows that this model provides access to a greater depth of content across academic disciplines whilst also being more efficient to administer and providing better value for money than a selective model. Thus, requests for specific items may be met through 'big deal' acquisitions instead. Equally, the Library will monitor each 'big deal' agreement and may revert to a selective model if blanket acquisition is no longer justifiable.

### New Journal Subscriptions

New journals are paid for from the subscriptions budget, which is an institutional budget. This budget covers only the cost of current subscriptions and has no flexibility for subscribing to additional journal titles. It is therefore important to note that the Library is only able to purchase additional journal titles on a 'one in, one out' basis.



Any proposals for new journal titles must be discussed initially with the relevant Liaison Librarian. The expectation is that, to facilitate the purchase of a new subscription, the Liaison Librarian and a representative from the department will agree to cancel an existing subscription that is of equal or greater value before the new subscription will be approved. New journal subscriptions will ordinarily commence at the beginning of the calendar year.

## **2.7) Reviewing Journal Subscriptions**

To ensure that our journal collections continue to meet the teaching and research needs of the community, we will review our journal subscriptions on a regular basis, using both quantitative and qualitative information to inform the decision making process.

Any decision to cancel a title will be made in partnership with academic departments. Decisions will take a variety of factors into account, including usage data, impact on research and use in teaching.

## **2.8) Excluded material**

The Library does not collect:

- Material relating to subjects that do not form part of the University's teaching or research interests (except as already provided for in section 2.5)
- Material in obsolete formats.

## **2.9) Gifts and Donations**

The Library will give consideration to gifts or donations. In general, we will only accept donations or gifts which support current learning, teaching or research, and which are relevant to our existing collections. In addition, the physical condition and the costs associated with cataloguing and processing the item(s) will be considered before the relevant Liaison Librarian accepts any gifts or donations.

Once a donation has been accepted, the Library reserves the right to add the donation to stock or to dispose of it. The Library cannot guarantee that multiple gifts or donations will be kept as one collection, or that any donation will be kept in perpetuity unless it is exceptionally valuable.

Information regarding donations and deposits of archival and other material appropriate for retention in Special Collections & Archives is contained within the SCA Collection Development Policy.



### 3. Managing the Collections

#### Collections Team

The Library has a Collections Team whose role is to ensure that the space within the Library is appropriately managed. They plan and carry out book moves, do day to day withdrawals and work closely with Liaison Librarians to ensure that the collections held are appropriate to the needs of the university community.

#### 3.1 General Principles of Collection Management

For the purposes of this document, the term 'collection management' refers to the administrative processes and associated costs related to the purchase and ongoing maintenance of the Library's collections.

This section of the CDMP outlines how we make decisions relating to suppliers, locations of material, loan lengths, preservation, collection discoverability and stock editing.

#### 3.2 Procurement of New Material

The majority of new book and monograph titles will be bought via the Library's main suppliers. Purchasing via consortia and through selected suppliers ensures economies of scale, reduces in-house processes, delivers significant discounts and allows the Library to minimise its administrative overheads. Exceptions will be made for urgent orders that can be obtained via other agents and for second hand or out of print titles.

#### 3.3 Location of Physical Material

The Library's physical collections are split into distinct sequences and collections. The majority of the stock is housed on open shelves in the main sequences of both libraries, but some, generally low use, material is housed in library stores. Decisions relating to locations are made by library staff in liaison with academic staff, where appropriate. Locations are based on the need to provide easy access to current materials, to preserve older materials, to ensure secure storage for more valuable materials, and to balance the use of space.

Some low-use material is located in the external Brunswick Library Store. Requests for items can be placed via the library catalogue and a regular retrieval service is in operation. Any material which is found to be in demand will be relocated to the main library buildings.



## Discoverability of Resources

The Library is committed to ensuring that all our collections are fully discoverable and easily located. We do this by ensuring that we have systems which fully integrate discovery and delivery and will strive to work with providers to ensure that we improve our search tools to provide simple and effective discovery systems.

In tandem with our electronic systems we will ensure that our physical collections are shelved correctly and in a timely manner.

## Journals

The print journal collection is housed separately from the bookstock in both libraries. The Library's policy is to not maintain print collections where we have access to the electronic, unless there are good reasons to do so, e.g. the quality of reproduction in electronic is of insufficient quality, or unless we are obliged to retain material as part of a national framework for journal retention.

## Official Publications

Print copies of the Library's Official Publications collection are located within basement stores in the Sydney Jones Library.

## Theses

All University of Liverpool theses written for research degrees by students registering before 1 August 2008 are kept in print format in locked stores within both libraries.

All theses written by students registering from 1 August 2008 are held electronically in the University of Liverpool Repository and in [EThOS](#), the British Library's e-theses online service.

## Audio-Visual

The Library maintains a collection of audio visual material. This is predominantly feature films and documentaries. Formats held include Compact Discs and DVDs.

We will endeavour to purchase heavily used audio visual items in the current standard format wherever possible.



## Newspapers

Both Libraries subscribe to a range of daily newspapers in print which are available to read in the Library. In addition, the Library has electronic access to significant contemporary and archive collections of national and international newspapers.

## Microforms

The Library maintains a collection of microforms in the Sydney Jones Library. Access to these collections is available via the Sydney Jones Help Desk.

## Special Collections & Archives

Special Collections & Archives is home to the University of Liverpool's manuscripts and archives, early and finely printed books, and science fiction collections. The collections are of local, national and international significance. They not only support the teaching and research mission of the University, but also the national and international research community.

There is a separate Collections Development & Management Policy for Special Collections & Archives.

### 3.4 Collaborative Collection Management

The Library is committed to ensuring that we make best use of the physical space, and to contribute to a national strategy for collection management. Concomitant to this, the Library will consider working in partnership with other libraries as part of a national framework to implement national agreed retention policies. This may include receiving materials from elsewhere to reinforce our own collection strengths or it may mean transferring print materials elsewhere.

When such collaborations are proposed, the Library will work closely in consultation with relevant departments to agree an appropriate approach.

### 3.5 Digitisation Service

To ensure that we make in-demand material as widely accessible as possible, the Library is committed to developing an efficient and legally compliant digitisation service. This service will facilitate the digitisation of specific book chapters and journal articles which will be made available via VITAL.



### 3.6 Preservation of materials

The Library seeks to preserve the items in its collections to withstand the normal everyday uses they are likely to receive. Most new paperback books will be laminated on acquisition.

Damaged books are assessed for repair in house. Books beyond repair will be withdrawn and new copies sought where they meet the criteria for purchasing. Law Reports will be professionally bound to ensure their long term preservation.

The Library maintains membership of Portico, a digital preservation service, to ensure the long-term availability of the materials that it acquires online.

### 3.7 Stock editing and disposal

#### i) Criteria for withdrawal and retention - Books

The Library regularly reviews its printed books collections for currency, academic quality and relevance to the university's learning, teaching and research. These reviews also assist in the long term effective management of the physical space.

The Library may need to withdraw items from the collection to provide space for newly acquired materials and to remove outdated and potentially misleading items in some subjects.

Although small scale, routine stock withdrawals are part of the ordinary collection management process, academic departments will always be consulted before large scale book withdrawals take place. Wherever possible, we will retain one copy of every item in the collection, except where material is ephemeral or does not add ongoing value to the collection.

#### Disposal arrangements - Books

Any withdrawn books that do not meet the criteria for adding to Special Collections & Archives will be offered to other libraries or resold, where possible, with any resulting income reinvested into the Library book budget.

#### ii) Criteria for withdrawal and retention - Print Journals

Where we have purchased permanent online access to journal runs we will usually seek the withdrawal of the physical version. Academic departments will always be consulted before large scale print journal runs are withdrawn.



### Disposal arrangements – Journals

Any withdrawn print journals not required for retention in this Library or for transfer to another as part of a national framework for journal retention will be disposed of in an environmentally friendly way.

Phil Sykes – University Librarian

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