

Collection management policy



The Bodleian Libraries seek to make the most effective use of their immensely rich existing holdings and to build on them for the future, while adapting to shifting funding levels, to changes in the availability of space, and to the expectations for support from a large, active and diverse academic community.

1. Purposes and status of this document

This policy statement articulates the principal intentions of the Bodleian Libraries for the future of their collections and of access to their resources. It is a public statement for the information of readers and the world of scholarship at large, as well as serving as a working document for the University and the Bodleian Libraries.

'Collection management' is understood here as including collection development (that is, the selection and acquisition of materials and the provision of online resources), and extends beyond this to continuing effective management of collections. This management includes: budget allocations; ownership and security marking and binding; preservation (including the location, storage, security and movement of stock); retention, weeding and disposal; and the facilitation of reader access. Collection management is founded on agreed reader-focused policy and covers all types of materials and resources.

This document is a revised version of the Collection management policy statement approved by the Curators of the University Libraries in 2002 and replaces it. The policy will be reviewed every year and changes presented to the Curators for approval as required.

2. Collection management in the Bodleian Libraries

The Curators of the University Libraries are charged to ensure that 'provision is made for the University's library and information requirements for teaching and research' and that 'the University's major research libraries are maintained as a national and international scholarly resource'.

In their management of collections and resource access, the aim of the Bodleian Libraries is to carry out this dual task, and to seek funds internally and externally that are sufficient to realise this aim. An essential element in performing these roles is close cooperation between the Bodleian Libraries and other libraries within the University, including college and departmental libraries. The Bodleian Libraries actively seeks opportunities to collaborate with other institutions locally, regionally, nationally and internationally in the interests of more effective provision.

3. Funding and expenditure

The mission of the University of Oxford in its strategic plan 2018-2023, is the advancement of learning by teaching and research and its dissemination by every means.

The provision of library collections for teaching and research are crucial to supporting a world class university and this provision needs to be resourced appropriately. Because effective collection management is contingent upon proper resourcing, it is also important to demonstrate the relationship between collection management policies and the funding needed to support them. Funding is allocated annually in consultation with the academic divisions of the University in compliance with the University's model for allocating infrastructure charges to academic departments. Priorities are set to show the preferred responses to deal with changes in funding levels, and hence the consequences of any underfunding for the achievement of the overall aims of the Bodleian Libraries (see 2 above) and any more specific objectives.

In their use of the funding available, the Bodleian Libraries weigh and prioritise the immediate needs of readers and the long-term development of research collections for future generations.

External funding has been, and continues to be, sought and accepted in pursuit of the Bodleian Libraries' aims, both from public and private sources. Obligations arising from the acceptance of outside funding will be fully met.

4. Liaison and consultation with readers

It is crucial to the construction and implementation of a successful collection management policy that readers' views are given full weight through sound liaison and consultation arrangements. In particular, collection management must be responsive to evolving research and teaching needs.

The Bodleian Libraries aim to ensure both formal and informal contact with their readers by means of:

- Committees on Library Information Provision and Strategy (CLIPS), which advise on library services for specific subject areas, including collection management issues, and other appropriate departmental and divisional committees and boards.
- Subject librarians, all of whom have explicit responsibility for maintaining an effective liaison network with individuals and University bodies concerned with their subject areas.
- Feedback channels, including suggestion boxes, feedback forms and social media.

CLIPS and subject librarians communicate directly with those responsible for acquiring materials.

5. Collection policies for subjects, libraries and special categories of material

5.1. To complement this general document, subject librarians have formulated collection management policies for each subject which have been discussed with CLIPS and other interested parties. Interdisciplinary studies – such as area studies – have been approached on the same basis. Together with the present statement and other supporting documents, these form Bodleian Libraries policy on collection management. They apply across the boundaries of individual library sites and are publicly accessible as a basis for the effective use and promotion of the collections, as well as informing subject-related bids for library funding.

College libraries are an integral part of the provision which is made to support students in their academic activities. College librarians work in a spirit of collaboration and cooperation with the Bodleian Libraries in order to bring the rich diversity of their collections to the attention of the widest possible audience.

Similarly, the part played by departmental libraries outside the Bodleian Libraries in providing resources for research and teaching is recognised.

These statements also specify the responsibilities of individual libraries for the support of each subject in teaching and research, and allocate obligations to one or more libraries for the support of each taught course. They take-into-account the make-up of resources needed; the appropriate mix of multiple print copies, electronic and reference-only stock; and the extent of access that can be provided. There is a trend towards electronic-only provision of journals in many disciplines and other publication formats are increasingly available electronically. In choosing to acquire electronic or print or a combination, the Bodleian Libraries will consider what is appropriate for the subject area.

When selecting new acquisitions for reading list provision, Subject Librarians will use their judgement to apply the following considerations:

‘Where available, online/electronic copies of reading list resources will normally be acquired (or created through digitization); where a printed copy is not already in the collections one or more may be acquired, as a supplement to the electronic version, where appropriate and where budgets allow’.

Effective provision of information resources cited on reading lists helps students to excel in their studies. Collection management for taught courses may include: reading list tracking and enhancement; digitisation services and copyright compliance; e-books and support for e-readers; linking citations to catalogue information and full-text

content; the provision of complementary materials for research methods and key reference works; and more.

The statements also take-into-account the location of collections; the space available; and the degree of stock mobility needed to achieve optimum service. High demand and high use collections are made available where possible on open shelves in libraries in Oxford; low use collections are stored in the Collections Storage Facility (CSF).

5.2. For this purpose, the statements by subject are complemented by a statement of the collection management responsibilities of each library. Libraries work together to collect and resource access in interdisciplinary fields of study, and to cover subjects which are outside the University's current academic interests but are of importance to the wider research community supported by the Bodleian Libraries.

5.3. The international reputation of existing special collections in Oxford and their vital importance to the library services is recognised, as is the need for resources adequate for their further development; their improved storage, conservation and access; and the extension and standardisation of their listing and cataloguing. A collection management policy for special collections within the Bodleian Libraries as a whole has been prepared to complement statements on provision for individual subjects, taking- into-account that the composition of many such collections gives them an important interdisciplinary relevance. This is annexed as a supporting document.

6. Legal Deposit

The Bodleian Libraries are committed to ensuring that the legal deposit privilege is retained by Oxford for the benefit of all their library users, and that its operation yields a suitable range of material to meet the research needs of the University and of the wider readership which the Bodleian Libraries serve.

Reader needs will be taken-into-account when deciding in what format legal deposit material should be acquired and, if acquired in print, where it should be housed, subject to specified conditions for access, security and preservation which acknowledge that it is intended for permanent retention and preservation. As far as funding permits, deposited copies of texts used to support undergraduate reading lists and therefore potentially subject to heavy use will be protected by the use of additional copies. Retention and discarding policies applicable to legal deposit material are determined in consultation with other deposit libraries.

Legal deposit material provided electronically will be acquired and stored by the British Library, National Library of Scotland and National Library of Wales, and access will be provided in Bodleian Libraries' reading rooms via the resource discovery tool SOLO.

A Legal Deposit Policy Statement is annexed as a supporting document.

7. Retention, disposal and transfer

A detailed policy statement on the retention and disposal of library materials is annexed as a supporting document. The policy deals with the definition of categories of material for retention or non-retention; the identification of primary retention copies and the criteria for acquiring substitute copies; the replacement of missing stock; guidelines for weeding and disposal; appraisal and planning of duplication; and criteria for deciding the transfer of material between libraries. The costs of implementation (e.g. identification, recataloguing, rehousing, acquisition of surrogates) will be realistically assessed.

8. Donations

A detailed policy statement on donations is annexed as a supporting document. Oxford library collections owe much to the generosity of donors and other benefactors. Offers of donations to the Bodleian Libraries are welcomed and will be carefully considered under the guidelines set out in the annexed supporting document. The Bodleian Libraries nevertheless reserves the right to decline offers of material.

9. Open Access

The Bodleian Libraries supports the principles of ethical and sustainable Open Access in information provision. As the Open Access movement is maturing in the external publishing environment, the Bodleian is adapting its response to new product packages and publisher finance models. This is realised by, for example, aligning purchasing decisions on information provision with associated publishing requirements¹, and by subscribing to journal packages which combine subscription costs ('read') and Open Access publishing costs ('publish') in a single agreement. Other models include Subscribe to Open and Diamond (pledging). These are achieved through the strategic use of the Bodleian Materials Budget and funder Open Access block grants. When selecting information resources, Open Access formats are sourced where appropriate and such material made discoverable for use in teaching and research.

10. Policy of non-discrimination

Within the terms of this statement and its supporting documents, the Bodleian Libraries will not exclude material or restrict access to resources on the grounds of an author's race, nationality, sex or opinions, nor because of partisan or doctrinal

¹ Oxford's commitment to support researchers to make their own research outputs Open Access is set out in the University Open Access Publications Policy.

considerations. Acquiring an item, or providing access to a resource, does not imply endorsement of any statements or opinions contained therein.

The Bodleian Libraries commit to developing collections that reflect a diverse academic community and breadth of scholarship including previously under-represented areas.

ANNEX: supporting documents

- Disposal, retention and transfer (p.7)
- Donations (p.10)
- Legal deposit (p.12)
- [Special collections collection management policy](#)
- [University of Oxford open access publications policy](#)

Revised December 2020 and August 2021

Further revised November 2023

Collection management policy: disposal, retention and transfer

Supporting Document to Collection Management Policy Statement

1. Background

The collection management policy, of which this is a part, assumes that subject collection policies will determine the selection of library material, the location of material, and also give guidance when collections are weeded. In all cases, the disposal, retention and transfer of material in the Bodleian Libraries is undertaken in accordance with agreed national or local collaborative collection management policies. The Movement Management Group (MMG) supports significant disposal and transfer projects together with formulation of policy and procedures.

This policy relates only to material that has been accessioned. Accessioned in this context refers to the intellectual decision that an item should be added to the collection. Normally this will coincide with the stamping of an item to indicate ownership.

2. Statement of retention

2.1. Legal deposit intake: The Bodleian Libraries have an obligation to retain, in perpetuity, items received as part of the legal deposit intake. The legal deposit libraries co-operate to ensure comprehensive coverage of legal deposit materials in the UK and Ireland, and their selection and de-accessioning policies reflect this.

All print material received by legal deposit is stamped with a 'C' for copyright and is denoted by a '7' at the beginning of the barcode. In certain cases, exact duplicates of legal deposit material may be disposed of or transferred to other reading rooms or stores within the Bodleian Libraries.

Legal deposit material delivered electronically will be stored by the British Library, National Library of Scotland and National Library of Wales on behalf of the Bodleian Libraries.

2.2. Material acquired through purchase and donation. The Bodleian Libraries aim to retain one copy of every acquired item. It is anticipated that any decisions made regarding the retention of non-legal deposit material will be informed by the relevant collection management policies and in consultation with academic colleagues as appropriate. All print material is stamped with an ownership stamp and is denoted by a '3' at the beginning of the barcode (please note that some projects may be denoted by a '6').

2.3 Material transferred to the Collections Storage Facility (CSF). In support of 2.2 above, the CSF is intended for the long-term retention of unique copies of materials

acquired and, for reasons of space management and financial efficiency, the Bodleian Libraries will ensure that material transferred to the facility does not normally duplicate material already stored there by other Bodleian Libraries. Additional copies of material may be stored on an exceptional and normally short-term basis by agreement with the Collection Management Strategy Group (CMSG). Applications for exception in principle including indication of numbers involved will be made to and assessed by the Movement Management Group (MMG); significant exceptions will be referred to the Collection Management Strategy Group by MMG.

2.4 Electronic versions of printed items acquired by purchase. The Bodleian Libraries will normally retain a print archive of material where the duplicate exists in electronic form, taking into consideration the subject area covered and whether the licence to the electronic material includes perpetual access. The Bodleian Libraries are a member of the UK Research Reserve (UKRR) collaborative project as a Principal Holding Library. UKRR 'allows higher education libraries to de-duplicate their journal holdings of a title if two copies are held by other UKRR members, ensuring continued access to low-use journals, whilst allowing libraries to release space to meet the changing needs of their users' (please see <http://www.ukrr.ac.uk/> for more details).

3. Statement of disposal

As above, the Bodleian Libraries will normally retain one copy of every accessioned item.

3.1 Where an item is so damaged as to be unusable, it may be disposed of but should be replaced where possible.

3.2 Legal deposit intake. Material received as part of the legal deposit intake cannot be disposed of, except those categories which the Bodleian Libraries does not collect and which have been agreed with the other legal deposit libraries to ensure comprehensive coverage. These include superseded interfiled loose-leaf material. All legal deposit items approved for disposal are passed to Legal Deposit Operations where they are de-accessioned and disposed of securely. Statistics are held of these disposals.

Exact duplicates of legal deposit items may be de-accessioned and destroyed or passed on to one of the other legal deposit libraries, or to another reading room or store within the Bodleian Libraries.

3.3 Material acquired through purchase and donation. The Bodleian Libraries will not dispose of unique copies of material acquired through purchase and donation.

3.4 Additional copies of material can be disposed of in consultation with academic staff as appropriate and by agreement with the Collection Management Strategy Group.

4. Statement of location or transfer

Policy in this area is based on two types of location and transfer and refers only to general, not special, collections material:

- Permanent relocation of material
- Delivery of items from the Collections Storage Facility to reading rooms

The Bodleian Libraries' aim is to locate material at the most appropriate location and, therefore, the nature of an item's transfer – whether it should be permanent or temporary – will be decided according to the needs of the collections and the readers.

4.1 Permanent location

The permanent location of legal deposit material presupposes that the reading room is suitable physically, meeting the appropriate standards of collection care and security. Any permanent transfer of material will be dictated by the nature of the collection and must be undertaken in accordance with the collection development and management policy specific to the subject covered. The catalogue (SOLO) must be altered to reflect the new location. For material relocated from the Collections Storage Facility to a reading room, the 'Transfers Manual'² must be followed to ensure that the warehouse management system and the catalogue reflect the new location.

4.2 Delivery of items from the Collections Storage Facility to reading rooms

The Bodleian Libraries aim to make materials which are currently housed in the Collections Storage Facility, excluding Special Collections items, available by request to all its reading rooms.

Special Collections items will be delivered to the Weston Library or any location permitted by the Collection Management Policy: Special Collections.

² http://www.bodleian.ox.ac.uk/staff/services/collections-management/card/guides/guidelines/Transfers_Manual_update_20

Collection management policy: donations

Supporting Document to Collection Management Policy Statement

The following guidelines will be applied in considering offers to donate material to the Bodleian libraries.

1. We will normally accept as donations unique items which fall within the libraries' acquisition policies in the following categories:

- non-UK research material;
- substitutes for items which should have been received under Legal Deposit but were not;
- substitutes for missing or defective items.

2. We will not normally accept as donations items which duplicate existing stock, except in the following cases

- in order to provide a reserve copy in the interests of conservation;
- extra copies of open-shelf loanable monographs for as long as continued use of the original item can be demonstrated;
- the duplicate items are a small proportion of a larger collection and there are good reasons for maintaining its integrity.

3. We will not normally accept

- unpublished theses, other than those deposited under University regulations;
- offprints;
- material which infringes or, if accepted, would infringe the Copyright, Designs and Patents Act 1988 or similar legislation (to be refused, or, if inadvertently accepted, to be discarded).

4. Unsolicited donations may not be retained in full or at all (having regard to the circumstances of the donation and the nature of the libraries' collections) if they substantially duplicate existing holdings, are substantially outside the scope of the library to which they are offered, and/or would impose unacceptable processing, storage or conservation costs when set against the material's likely contribution to the library's collections. In such cases, the donor will be encouraged to offer material to a more appropriate library if one can be identified or the library may exercise discretion over the retention or disposal of the material following appropriate consultation.

5.1 All donations are accepted subject to the proviso that we normally make no undertakings as regards location, access, retention or lending.

5.2 We may wish to seek a contribution to the cost of processing donated material.

6.1 Electronic resources may be accepted as donations subject to the above criteria (where applicable) and to our best judgement of our ability to continue to provide access to them.

6.2 Open-access electronic resources, for which the libraries have no ownership rights, may be linked to our resource discovery tools if, in the judgement of subject librarians, they are of academic relevance and the links can be tested for persistence.

7. The Bodleian Libraries reserves the right to decline offers of material.

Collection management policy: Legal Deposit

Supporting Document to Collection Management Policy Statement

1. University of Oxford and legal deposit

The Bodleian Libraries recognise the legal deposit of publications under the terms of the Legal Deposit Libraries Act 2003 and the Legal Deposit Libraries (Non-Print Works) Regulations 2013 which followed as a longstanding benefit to the University of Oxford, both in the past and in the future. It is accepted that such material is provided for the long-term use of the community of readers in Oxford, in the United Kingdom, and internationally. The legal deposit collections are seen as a national and international resource, and policies relating to them and their management are agreed after consultation with the other five legal deposit libraries.

2. Scope of legal deposit acquisition

The Bodleian Libraries are committed to working with the other legal deposit libraries in the systematic and comprehensive collection of all publications issued in the United Kingdom. While the Bodleian Libraries aim to acquire all academic material, they will also attempt to collect a range of other publications in cooperation with those libraries.

In 2013 the Legal Deposit Libraries (Non-Print Works) Regulations recognised the importance to the UK's information infrastructure of the key shift in publishing which has taken place in recent years: the move to digital. The Regulations recognise the central role the Legal Deposit Libraries have in securing this electronic manifestation of the national published memory for future generations. They permit each Legal Deposit Library to claim and receive publications in an electronic format. However, this must be by agreement and the default format remains print until such time as an agreement is reached.

3. Protection of legal deposit publications

As far as resources permit, legal deposit copies of printed 'core texts' and other titles on open access and receiving, or likely to receive, heavy use will be protected by the use of substitute copies.

4. Location of print legal deposit material

Legal deposit printed material received under the terms of the Legal Deposit Libraries Act is located in any of the Bodleian Libraries which meet specified conditions applied to the housing of that material. The conditions are as follows:

- Appropriate preservation policies should be in place there.
- The library should be able to grant access to all readers who meet the criteria for admission to the Bodleian Libraries (see 5 below).
- The library's opening hours should provide for the needs of the research community throughout the year.
- Legal deposit material should be identified as such, and its retention status recorded.

Libraries that currently meet the specified conditions are as follows:

Art, Archaeology and Ancient World Library
Bodleian Library - Old Library
Bodleian Library - Radcliffe Camera
Education Library
Japanese Library
KB Chen China Centre Library
Law Library
Nizami Ganjavi Library
Social Science Library
Philosophy and Theology Faculties Library
Radcliffe Science Library
Taylor Institution Library
Vere Harmsworth Library
Weston Library

5. Access to legal deposit material

Access to legal deposit material, housed in any of the Bodleian Libraries, will be given to any person engaged in serious study who can demonstrate a need to use it, that

is, to anyone who meets the criteria for admission to the Bodleian Libraries. As far as is practicable, legal deposit material housed in the Collections Storage Facility will be made available to readers for consultation in any of the Bodleian Libraries meeting the conditions set out in section 4 above.

Print books and journals acquired through legal deposit in the Bodleian Libraries are not generally lent directly to readers, subject to certain exceptions. Some categories of legally deposited publications are made available to outside readers through the national inter-library loan service under strict conditions, and there are similar procedures for sending material on interdepartmental loan to other libraries within the University.

Electronic legal deposit (eLD) content is stored at the British Library rather than locally. It may be accessed in Bodleian Libraries' reading rooms. E-journals, e-books and other e-versions of traditional printed materials, standalone or "off line" electronic items such as CD ROMs are accessed using the online catalogue, SOLO. Harvested content from web sites is accessed directly via the UK Legal Deposit Web Archive.

Access is restricted to one user at a time at a PC within the premises of the Bodleian Libraries and is not available on readers' own devices.

Access to content deposited under eLD is not available in College libraries and Departments since they are not covered by the terms of the legislation.

6. Retention and disposal

Please see supporting document to the Collection Management policy 'Disposal, retention and transfer'.