1. Introduction

The purpose of the Library’s collections is to support the research, teaching and learning of members of the University. This Policy provides the framework for decision-making on the selection, acquisition, storage, retention, disposal, preservation and conservation of items for the collections to achieve these purposes.

The collections include materials physically held by the Library, remote access to digital information resources through licence agreements with publishers and digital information resources created by members of the University and held by the University.

Separate policies cover management of the Library’s Special Collections & Archives.

2. Collection strengths

A number of the Library’s collections are of national significance due to their extent and/or relative uniqueness.

2.1 Special Collections & Archives

The Library’s Special Collections & Archives include particularly rich resources for the study of English local history (an area of academic study pioneered by the University), 17th century portraiture and modern literary collections.

The Library seeks to actively acquire literary archives of authors from, or associated with, Leicester and Leicestershire. Holdings include the papers of Joe Orton, Sue Townsend, and David Campton.

The Special Collections are included in the national research libraries catalogue, COPAC¹. The rare book collection comprises approximately 14,000 volumes. Holdings include 26 incunabula, 343 sixteenth century items, an estimated 1,800 seventeenth century works, 3,000 eighteenth century volumes, and approaching 9,000 nineteenth century books. Specialist research collections include the English Local History Collection (30,000 volumes) and a collection of incunabula, early printed Bibles and other religious works. The oldest item in the small manuscripts collection is a twelfth century Psalterium.

Descriptions of the archival collections are included in the national Archives Hub².

¹ http://copac.ac.uk/about/libraries/leicester.html
² http://archiveshub.ac.uk/contributors/universityofleicester.html
2.2 English Local History
The English Local History collection contains materials relating to English local topography, social and political history. The collection began with the Hatton collection (also designated as a special collection) which was donated in 1920-21 to coincide with the opening of the University (then the Leicester, Leicestershire and Rutland College). It was donated by Thomas Hatton, a local boot manufacturer, and includes his topographical library and major county histories.

2.3 Nineteenth century periodicals
The Library has a strong collection of British nineteenth century literary and political periodicals such as the Edinburgh review, Gentleman’s magazine and the Quarterly review.

3. What the Library collects
The policy is to collect information resources which are required for research and/or teaching subject to the budget available, the availability of the item, and technical suitability and legal terms and conditions in the case of an electronic resource.

The Library does not collect:

- Software
- Items outside broad subject areas researched or taught at the University
- Items in a language unlikely to be understood by most of the intended users
- Obsolete technical formats which can no longer be accessed

3.1 Purchasing policy
Effective selection depends upon a partnership between each College and Department and the Library. To facilitate this, each College is supported by a named, senior member of Library staff who is responsible for ensuring that the Library is aware of the College’s information needs and that College staff are aware of the Library resources and facilities available to them. Selection decisions may be made by either academic or Library staff; most items are purchased at the request of academic staff.

3.1.1 Books, book series and other single items
eBooks are purchased in preference to print books for teaching purposes, subject to the eBook meeting the minimum criteria outlined in Appendix A. When requesting a book for research purposes, the requestor can specify whether an eBook or print book is preferred.

Single copies or eBook user licences are acquired of items required for research or as background course reading.

3.1.2 Course readings
The Library aims to provide students with access to all essential and background course readings. Meeting this aim requires regular and timely communication between academic and Library staff.

Access to essential readings only available in print cannot be guaranteed for all students – particularly when an item must be read by all students within a short space of time.

Access to essential readings can be maximised by ensuring that they are available electronically or included in books which students are recommended to purchase or included in books/resources which students are given within the cost of their course fee.
The options for making essential readings available electronically from the Library are:

- eBook with multi-user access where available;
- Article in an eJournal to which the Library subscribes;
- Digitizing a print journal article or a chapter in a book within the terms of the University’s licence with the Copyright Licensing Agency.

If an item is essential reading and cannot be made available electronically, multiple copies are bought based on the number of students taking the module using the copy/student ratio set out in Appendix A. One copy is also made available for use in the Library only.

The Library actively monitors demand for both print and eBooks and purchases extra copies/user licences as necessary.

The procedure for ordering books and course readings is outlined in Appendix A.

3.1.3 Reference books, parliamentary, governmental and intergovernmental publications
Reference books are selected by Library staff. Electronic access is preferred over print. Parliamentary, governmental and intergovernmental publications are publicly available electronically and are not actively collected in print format. Academic or library staff may, however, select single print publications of particular research significance.

3.1.4 Journals and other subscriptions
Current journal and other subscriptions are reviewed on an annual basis with Colleges and Departments; new subscriptions are substituted for cancelled subscriptions when possible.

New subscriptions recommended by academic staff which cannot be met from the budget are recorded for possible later purchase should the necessary funds become available. A list of current requests for new resources is maintained on the Library website.

Multi-disciplinary electronic journal collections which offer good value are selected by Library staff in consultation with academic staff as appropriate.

Subscriptions are to electronic journals wherever possible. The vast majority of the Library’s journal subscriptions are electronic only.

Subscriptions to abstracting and indexing services (which are always electronic) are selected by Library staff in consultation with academic staff.

3.1.5 Open Access article processing charges
Some journals charge a fee for publishing Open Access articles (article processing charges – APCs), either as part of their business model, or as their main source of income. Access to these articles is then free to the reader. The Library administers University funds for payment of APCs where provided by research funders for this purpose. Article processing charges are not paid for from the Library budget for information resources.

3.1.6 Primary source material
Published collections of primary source material are purchased in electronic format wherever possible.

http://www2.le.ac.uk/library/for/researchers/publish/open-access
### 3.1.7 Access to items not held by the Library

Books or journal articles which the Library does not have in print or electronically and which are needed for one off or very occasional use, or are otherwise unavailable, may be borrowed from another library (interlibrary loan) or obtained as an electronic or paper copy (document supply) rather than being purchased.

Most items are obtained from the British Library for which the Library pays a charge. The costs are met from the Library budget. The number of items which can be supplied free of charge to the end user is managed by a quota system. Details of the current charging policy for items outside the quota system are given on the Library website.

An alternative to document supply is visiting another library that holds the material in print. The University Library has in place reciprocal access arrangements for most University Libraries in the UK.

### 3.2 Information resources created by members of the University

#### 3.2.1 University research outputs

With effect from 1st January 2015, the University requires academic staff to submit details of all their publications to IRIS - the University’s Integrated Research Information System\(^5\) - and, in the case of journal articles and conference proceedings, to include a copy of the final, peer reviewed author manuscript. This information is then made publicly available from the Leicester Research Archive which is managed by the Library\(^6\). This policy conforms with HEFCE’s Open Access policy for national research evaluation processes.

Staff are also welcome to submit copies of the final, peer reviewed manuscripts of all their other publications, including those written when they were employed elsewhere.

Manuscripts are made publicly available by Library staff from the Leicester Research Archive in accordance with any copyright or other restrictions which may apply.

#### 3.2.2 Theses

All University of Leicester doctoral students must submit an electronic copy of their thesis as well as one bound printed copy. Procedures and regulations for the submission of theses may be found on the Graduate School website.

The electronic copy is made available from the Leicester Research Archive provided it has passed any embargo period. Embargoes are administered by the Graduate School according to a policy overseen by the Graduate Dean.\(^7\)

The paper copies of theses are kept on closed access in the Library. Paper theses are fetched for reading in the Library on request provided an electronic copy is not available or the electronic copy is not complete (some information occasionally needs to be withheld from the electronic copy of a thesis for copyright reasons).

#### 3.2.3 Postgraduate dissertations

Taught postgraduate dissertations of high academic merit are selected and made available by academic departments for student consultation from dissertations@Leicester – an online system which is managed by the Library\(^8\). Examples of print dissertations are no longer added to the Library.

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\(^4\) [http://www2.le.ac.uk/library/services/otherlibraries](http://www2.le.ac.uk/library/services/otherlibraries)

\(^5\) [https://iris.le.ac.uk/](https://iris.le.ac.uk/)

\(^6\) [http://lra.le.ac.uk](http://lra.le.ac.uk)

\(^7\) [http://www2.le.ac.uk/departments/gradschool/zone/thesis-submission/thesis-embargoes](http://www2.le.ac.uk/departments/gradschool/zone/thesis-submission/thesis-embargoes)

\(^8\) [http://dissertations.le.ac.uk](http://dissertations.le.ac.uk)
3.2.4 University examination papers
Past examination papers selected by academic departments are made available for student consultation by the Registry from exampapers@Leicester system – an online system which is managed by the Library. Examples of past examination papers on paper are no longer made available in the Library.

3.2.5 Datasets
Small datasets and software which are created as part of the research process can be held and made publicly available through the Leicester Research Archive.

Storage for small and large datasets (but not public access to them) may be provided by IT Services as part of the Research Data Storage service. This service is designed to provide file storage for day to day working purposes – not long term, archival storage.

Information on research data management for researchers is currently provided through a collaboration of IT Services, the Library and the Leicester Learning Institute.

4. Acquisitions budget

4.1 Budget management
Responsibility for overall management of the Library’s acquisitions budget rests with the University Librarian.

4.2 College budgets
After top-slicing for multi-disciplinary resources, the funds available for expenditure on information resources are allocated across Colleges on a formula basis. This methodology aims to match the changing resource needs of Colleges, so that, for example, it takes account of an increase in student recruitment or improved research performance. The formula is based on that used by the Finance Department to allocate the equipment fund, with modifications made to accommodate the library context.

The amount to be allocated is first divided into two elements: teaching and research. This reflects the overall T and R contributions to University income and is the basis for the Finance Department’s funding formula.

The teaching element is allocated on the basis of student FTE numbers taken from the return made to HESA the previous December multiplied by a literature weighting to reflect the different average cost of resources in different disciplines.

The allocation for research is subdivided as follows:
- REF element: (based on the most current REF ratings) multiplied by the number of academic and research staff
- Research Council and Charity Overheads
- QR (quality-related research) funding

University Corporate Services and Offices do not have a Library budget allocation. The Library can acquire and manage information resources for non-academic departments on request with purchase costs being met from the relevant department’s budget.

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9 http://exampapers.le.ac.uk
10 http://www2.le.ac.uk/services/research-data
4.3 Budget to support new degree programmes or modules

New degree programmes or modules may require the purchase of new information resources, particularly if the subject has not been taught before.

Programme/module development teams should consult the Library at an early stage in order for their requirements to be met.

Additional Library capital and recurrent material costs must be included in the projected budget submitted as part of the University’s programme approval process. Requests for advice on estimating these additional costs are very welcome to the Library staff contact for the relevant College.

If the costs cannot be absorbed within the Library’s existing budget, the Library must bid for the additional funding as part of the University’s annual budget planning process and it is, therefore, essential that significant additional costs are identified early.

5. Gifts

Proposed gifts of books and other information resources are welcome. The criteria used in assessing proposed gifts for adding to the Collection are:

- Whether the item is already held
- Relevance to the University’s teaching or research
- The condition of an item
- Space available to accommodate the item appropriately

Gifts may be taken before being fully assessed on the condition that items not required can be disposed of. It is a condition of acceptance that donations will normally become the property of the University of Leicester; they will not necessarily be retained permanently by the Library, and gifts will be organised and located according to the judgement of Library staff.

Valuations of any offered material cannot be undertaken by Library staff.

Gifts of small numbers of books can be accepted at Library service points for later assessment. Larger gifts should be discussed initially with the University Librarian or Deputy University Librarian.

Donation of archival material should be discussed in the first instance with the Archivist. Contact details can be found on the Library Web site.

6. Long term retention

6.1 Collection strengths

Items held as part of the Library’s Special Collections & Archives or which are included in one of the Library’s nationally significant collections (section 2) are retained indefinitely.

6.2 Other items

Any item or journal/series/serial run which has very limited or no other UK holdings is retained indefinitely.
Print journals may be retained indefinitely if they are required to provide access to high quality, print illustrations/images.

Other items may also be retained indefinitely if, in the judgment of Library staff, or following consultation with all departmental Library representatives, they are considered to be of long term research interest or potential.

6.3 Closed access storage of low use items

Single copies of items which are rarely if ever used but which are considered by either Library or academic staff to be of long term value may be removed from the open shelves and kept in closed access storage where space permits. Such items are retrieved from storage on request. (Please see also section 7.2 for requirements relating to review of low use single items for possible disposal).

7. Disposal

Subject to the requirements of section 6 on long term retention, items in the collections may be disposed of guided by the criteria outlined below.

All departmental Library representatives are consulted on potential disposals outlined below except items which are no longer usable due to physical deterioration/technical obsolescence, superseded student textbooks and no use duplicate copies (section 7.2 below).

Unwanted items may be sold or offered to other libraries or charitable organisations as far as possible and in line with the University’s Purchasing Policy.

7.1 General criteria for disposal of items

The following general criteria apply when considering possible items for disposal.

- An item is no longer usable or repairable due to physical deterioration
- The format of the item is technically obsolete and inaccessible and the same information is now available elsewhere
- The item is available electronically on an archival basis

7.2 Criteria applying specifically to disposal of books/single items

Books/single items which meet one of the following criteria will be disposed of:

- Duplicate copy not borrowed for 5 years or more (1 copy is retained)
- Superseded student textbook. Pre-current textbooks may be retained if the content is not misleading and the textbook is in high demand. (1 copy of superseded editions of research monographs is retained; 1 copy of superseded legal practitioners’ texts is retained)

Single copies of books/other items which have not been borrowed for 5 years - and the total loans for the preceding 5 years is 10 or less – may be considered for disposal.

In these cases, borrowing history is used to identify items which may require review, not to make the final decision. Borrowing history is not considered to be the sole indicator of the long term value of a single item. All Library representatives are consulted before any decision is made on disposal of items identified for review on this basis.
7.3 Criteria applying specifically to disposal of journals

Journal parts which meet one of the following criteria may be disposed of.

- Short closed runs with more extensive holdings in other UK university libraries
- Back runs of print journals which are available electronically and which are also held by one of the UK national libraries or by the Bodleian Library, University of Oxford or Cambridge University Library.

8. Preservation and conservation

Preservation refers to measures taken to maximise the usable life of information resources such as storing historical pamphlets in acid free storage boxes to prevent acid damage to paper. Preservation is relevant for both physical and digital items.

Conservation refers to measures taken to restore the physical condition of an item such as restoring the binding of a rare book.

8.1 Preservation

Most items are added to the physical collection in the state that they are acquired and made available for use on open access shelving.

The following steps are taken to increase the usable life of specific items.

**Paperbacks** Covers may be laminated.

**Printed journal issues and pamphlets** Loose issues are boxed. Print journals are bound only if there is no electronic version available and expected use is likely to require it or to prevent the constituent parts from loss.

**Books published before 1850, rare or vulnerable items** These items are kept in environmentally controlled secure storage and are available for reference only use under supervision as part of the Library’s designated Special Collections. The exception is journal runs where it is deemed more appropriate to keep a complete run together on the shelves even if it includes pre 1850 publication dates.

8.1.1 Digital preservation

Most of the Library’s digital information resources are held on remote servers maintained by publishers and other information providers. Access to most of these resources is provided under licence on payment of an annual subscription. Steps are taken to ensure the long term availability of digital content as far as possible.

**Electronic journals**

The policy is to purchase access to electronic journals in perpetuity wherever possible such that if the Library cancels a subscription to a journal, the years to which the Library subscribed remain available.

The Library subscribes to the Portico service which provides an independent, ‘not-for-profit’ back-up for the electronic journals of many publishers. This means that if a publisher who participates in Portico goes out of business their electronic journals will be made available to their subscribers and former subscribers with perpetual access rights from Portico.

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11 http://www.portico.org
Electronic books
Electronic books may be purchased on a subscription or title by title, one off cost basis. While a subscription model does not include perpetual access, it can be appropriate for student textbooks and for providing access to collections offering a wide range of titles at a low cost per title.

Where an eBook is purchased instead of a print book, it is bought on a single title, perpetual access basis. The Library subscribes to the Portico\(^\text{12}\) service which provides an independent, ‘not-for-profit’ back-up for the electronic books of many publishers. This means that if a publisher who participates in Portico goes out of business their electronic books will be made available to their purchasers with perpetual access rights from Portico.

Leicester Research Archive
The University is committed to the long term maintenance and development of the Leicester Research Archive.

Outputs are held in widely adopted file formats only. Most items are currently held as PDF/A (Portable Document Format - Archival). Although this is a proprietary format owned by Adobe, the technical specification has been made publicly available. This means that if Adobe goes out of business the technical information required to maintain and access the format remains available.

Theses are held on paper as well as electronically. The paper copy is regarded as the preservation copy.

Special Collections
A small number of items in the Library’s Special Collections have been digitised selectively in order to make them accessible to a wider audience.

The preservation copy is the original item and not the digital copy.

A limited number of donated archival resources are held on CD/DVD in Special Collections. The Library does not currently support the long term technical preservation and accessibility of donated electronic archives.

8.2 Conservation
Minor repairs are undertaken on items in the Collection in order to increase their usable life if expected usage or the value of the information provided justifies this.

Professional conservation work is only undertaken or required on selected rare books and other items held in Special Collections.

9. Shared Services
The University Library supports a shared services approach to collection development and management, including the national licensing of digital resources.

The Library makes extensive use of Jisc Collections and the North East and Yorkshire Academic Libraries Purchasing Consortium (NEYAL) for the procurement of digital and print information resources respectively – in order to achieve better value for money and terms and conditions than would be possible acting alone.

\(^{12}\) http://www.portico.org
10. Reviewing the policy

This policy is reviewed every three years.

Last updated: May 2015

The following University committees were consulted when updating this policy.


College of Medicine, Biological Sciences & Psychology Academic Committee: 23 April 2015

College of Science & Engineering Academic Committee: 29 April 2015

College of Social Science Academic Committee: 5 May 2015
Appendix A: Procedure for ordering items

1. Sending us your requests
Details of items required for research can be sent to the Library using an online request form on the Library Website.13

Staff who teach are strongly encouraged to use readinglists@Leicester14 - the University’s Web based reading list system. Library staff check your list and then order items as necessary; there is no need to complete separate online forms or send emails.

Please note that the Library needs to be informed at the time of order of an item for teaching purposes:

- whether an item is essential or background reading (this can be indicated on your readinglists@Leicester list)
- how many students there are on the relevant module (in the case of distance learning modules not currently included in the University student records system – SITS)

2. Purchasing policy
eBooks are preferred to print books for teaching purposes, subject to the eBook meeting the following criteria
(a) well designed user interface; (b) perpetual access agreement; (c) at least one chapter at a time can be downloaded for use on a personal device; (d) extracts can be printed; (e) multi-user access available in the case of eBooks which are essential reading; (f) the eBook includes all of the content in the print book; (g) acceptable pricing; (h) the publisher is a member of the Portico archiving service for libraries.

For research or background course reading, a single user licence eBook or one copy of each book is purchased.

For essential course readings, a multi-user licence eBook or multiple copies of books are purchased based on the number of students taking the module. The copy/student ratio generally applied for print books is 1 to 15

New journal and other subscriptions required for teaching are treated in the same way as all new journal subscriptions (see 3.1.4 of the policy).

3. Digitisation
Printed journal articles and chapters from books can be digitised and made available to students via readinglists@Leicester in many cases. Full information about this service is available on the Library Website15.

4. Timescales
To ensure availability, please send new book orders no less than 6 weeks before the start of teaching. If you require items which need to be ordered from overseas, please allow more 6 weeks as far as possible. We will inform you if an item is out-of-print and would recommend using an alternative in these cases.

The deadline for receiving requests for digitised readings is 31 July for semester 1 modules and 30 November for semester 2 modules.

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13 https://www2.le.ac.uk/library/for/staffwhoteach/requesting/order-form
14 http://readinglists.le.ac.uk
15 http://www2.le.ac.uk/library/for/staffwhoteach/copyright