

ISC15D002

Title: Collection Development Policy & proposed implementation plan
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Issue

The Library's collection development policy is being updated in light of the University's plans for increases in student numbers and its emerging teaching and research priorities up to 2030. With the library and its external store now full, along with requests for additional study spaces, the Library needs to agree with the community a sustainable way forward for the next 15 years and beyond.

Recommendation

Members are invited to approve this final draft policy and proposed implementation plan.

Risk implications

Without an agreed updated collections policy, it will be difficult to continue to provide collections relevant to UEA's strategic, teaching and research objectives: differing expectations across the University will not be met, the Library infrastructure will not be kept to a reasonable standard, and the ability to retain a research-level Library collection will be in doubt.

Although the paper proposes a short-term plan to see the Library through the next 3-5 years, the need for additional space beyond that needs to be agreed now and implemented in the context of the University's wider space plans.

Equality and Diversity

An equality impact assessment has been undertaken which is available on request. The main issue is to ensure that, with a move to digital first acquisition, University PCs continue to have up-to-date screen reading software and, on request, enlarged printed extracts can be provided to support those with additional needs.

Timing of Decisions

Tabled for ISSC approval on 20th October, 2015, with indicative implementation over 3-5 years.

Executive summary

Context

- UEA Library is at full capacity¹ with 'short term' adjustments having to be made annually to deal with overflowing shelves in certain key areas including Social Sciences and Health Sciences. The Library has also had to stop accepting donations for the time being.
- UEA Library's journals have increasingly moved online as the market for e-journals is significantly more mature than for e-books. The majority of UEA Library's acquisitions budget continues to be spent on online research journals².
- The percentage of the Library's *existing* book collections that are used to support teaching is approximately 40%, as opposed to 60% which is to support research. This reflects the fact that prior to 2005, the Library was still focused on collection building in its own right.
- Since 2008 the Library has had to move to a more teaching / reading-list led approach to purchasing, largely in response to the institutional focus on the National Student Survey. The *current book purchasing* pattern is approximately 75% to support teaching and 25% to support research, depending on the subject area.

Consultation feedback

The feedback received from the Collection Development consultation needs to be considered in the context of how UEA Library's collections have developed and been invested in over the years (as detailed above), the Corporate Plan, the Learning & Teaching strategy, UEA's 2030 vision³, and likely trends in publishing and how these may affect UEA Library going forward. Following the consultation, reported in detail in a separate paper⁴...

...there is a general consensus for a withdrawal of physical journals, with the caveat that there must be a guarantee of long-term online access⁵.

...there is some agreement about continuing to move to a more digital online library for current journals and undergraduate books, where available.

...there is, however, no consensus about how best to assure the future of the Library's physical research collections and how these should be prioritized against the need to provide additional study spaces or other space needs across the University as a whole.

The consultation has therefore confirmed there is no silver bullet for addressing the University Library's future research collection and space management needs.

So going forward the Library *proposes* to adopt a three-stranded approach:

1. **a more explicit 'digital first' policy for journals and books, gradually reducing the number of physical books being added to the shelves each year⁶.**
2. **a 'deep weed' focusing on past volumes of print journals, and any remaining underutilized book collections. *We anticipate this will secure sufficient space for up to 5 years.***
3. **a business case to provide an extension to the building to accommodate a gradual, but inevitably ongoing, growth in collections from 2020 onwards. The extension would also provide additional study space appropriate for UEA's planned projected growth in student numbers up to 2020⁷ and beyond.**

The degree of emphasis on each strand will be dependent on time, resource and funds the University may choose, or have available, to invest.

UEA Library draft Collection Development policy 2016-2018

Digital first

Where available electronically, the Library adopts a *digital first* policy for buying books to support undergraduate teaching, i.e. we look to purchase an e-book before considering other options. Physical versions are only purchased if the e-book edition is out of date, its format unsuitable, or its license terms insufficient to meet the needs for concurrent student access.

The Library also adopts a *digital first* policy for books to support research where available, provided that the format is suitable for reading 'cover to cover'.

The Library adopts a *digital first* policy for current journal subscriptions⁸, unless post-cancellation access rights to the subscribed years are not likely to be available in future.

The *digital first* policy is supported by information and digital skills induction for all students, with a self-service *online first* approach to training in this area.

The *digital library* is accessed through UEA Library's web and mobile presence, with suitably differentiated offerings for undergraduates and researchers.

Journal collections

The Library applies a *digital first* approach to current and past journal subscriptions, unless post-cancellation access rights *to the subscribed years* are not available. In such cases, a print version may be retained by the Library as an assurance of long-term access to the journal for UEA researchers.

The Library keeps its past physical journal collections under constant review and wherever possible undertakes physical journal withdrawals from the Main Library and External Store, having checked that appropriate long-term arrangements for ongoing online access and preservation seem to be in place⁹.

If current journal subscriptions are cancelled, the Library endeavors to retain access to the previously subscribed years but cannot commit to keeping any previously *gratis* access to additional back volumes¹⁰. Instead where long-term journal backfile access is then required by faculty, the Library prioritises any 'end of year spend'¹¹ on digital journal backfile collections, purchased in perpetuity.

Book collections

The Library undertakes ongoing interdisciplinary physical book collection reviews in consultation with faculty:

- to ensure items with minimal usage¹² are withdrawn to make space for collections most relevant to current teaching and research.
- to ensure the value of UEA's past investments in physical research book collections are maintained.

To facilitate this, in liaison with faculty, the Library will publish '*collection statements*'¹³ for each discipline area, clearly stating an agreed approach to future collection building and to stock withdrawal, nuanced depending on the discipline areas concerned and subject to biennial review (i.e. every two years).

Where subjects are no longer taught, proposals for book withdrawals of whole subject areas must be agreed with the relevant Faculty Executive(s) and signed off by ISSC, to ensure any plans for the subject's future re-emergence have been taken into account.

Book buying

Reading lists items and books for undergraduate teaching are prioritized, with research book selection based on agreed discipline collection development statements¹⁴.

Reading lists: UEA Library purchases core books and materials on reading lists, coupled with selective purchase of secondary books as funds permit¹⁵. For selective readings, UEA may also purchase digitized journal articles or book chapters to provide seamless access to students via its online reading list and digitization service.

User selection: As part of its provision, UEA Library selectively subscribes to 'patron driven' services to facilitate user involvement in book selection to ensure timely delivery of resources at point of need¹⁶.

Book donations

Undergraduate-level donations¹⁷ are not normally accepted. Other donations are assessed against the criteria outlined in the separate discipline collection statements which will be appended to this policy as they are developed.

Interlending and document supply

The Library takes a *digital first* approach to interlending and document supply service, with online delivery taking precedence over traditional print-based options, where available. Where more cost effective, or to meet time constraints, this may involve purchasing items rather than borrowing the item from elsewhere.

New courses, new Schools & new disciplines

The Library has a 'one in, one out' approach to new journal acquisitions owing to funds available and the danger, otherwise, of book funds being eroded.

The Library sets aside an annual 'transition fund' to support journal acquisitions for new courses and modules¹⁸. This is provided on the expectation of a further journal review across the discipline concerned, so that the following year the recurrent journal cost will have been reabsorbed within the relevant school/faculty allocation.

For new Schools, or new discipline areas, the faculty and Library must agree in advance an institutional business case for both start-up and recurrent funding¹⁹.

Archives

In consultation with faculty, UEA Library undertakes selective acquisition of archives to meet anticipated research and teaching needs, primarily by UEA researchers. This is outlined in a separate Archives policy in Appendix F.

Databases and software

UEA Library acquires web based full text and bibliographic databases to support the current research and learning needs of the university. Content should normally be hosted on publisher platforms that provide concurrent access via standard University authentication mechanisms. Direct hosting and library management of usernames and passwords are not generally supported²⁰.

Commentary and proposed implementation plan

In summary, the above Collection Development policy considered three trajectories:

Option 1: A *self-renewing library*, within its existing building footprint, achieved through a radical, ongoing programme of withdrawals affecting both teaching and research journal and book collections. This would result in a gradual move towards a 'teaching-focused' collection and is not recommended because it is clearly inconsistent with UEA's research-led aspirations and would be irreversible.

Option 2: A *digital first library*, within the existing building footprint, with some short-term intensively-focused withdrawals in specific areas, which will enable the Library to 'stand still' *for the next 5 years* (i.e. to make sufficient space to add new books to stock²¹).

Option 3: An *extended library* to come on-stream from 2020 onwards, with additional space for ongoing growth of its research collections & archives, complemented by additional study spaces to accommodate the University's longer-term growth aspirations. This would enable UEA to sustain its balance between teaching and research collections over the longer term.

We know that, depending on their discipline or personal perspective, different parts of the community would each have chosen a different option. The Library's assessment is that option 2 in the short term, combined with option 3 for additional space in the medium term, would be most closely aligned with the direction of the UEA Plan, UEA's stated existing and potential future plans for growth in student numbers, and UEA's aspiration as a research-led institution.

The Library acknowledges that it leaves itself open to criticism by suggesting that additional space for physical research collections may need to be found in the medium term. This seems an awkward stance to take in an environment where electronic books and e-journals seem to be becoming ubiquitous, and open access is gaining ground for journal articles. Also we acknowledge there is a trend towards "...academic libraries being reimagined as spaces where learning, collaboration and intellectual engagement take centre stage"²² rather than being storehouses for collections.

However, despite these factors, we have a responsibility to state the strong arguments for UEA to plan for the gradual future growth of its physical collections:

1. Unlike many other UK HEI libraries, UEA is constrained by its geographical location and its researchers have limited alternative libraries²³ to access other research collections. This makes a difference to the extent of withdrawals that can be undertaken at UEA without affecting research.
2. That encouraging wider research-level book reading, beyond undergraduate-level texts, is regarded as an essential part of the UEA's pedagogical approach, distinguishing UEA from more teaching-focused institutions. By contrast, although there has been some rationalisation under the New Academic Model, UEA modules and reading lists still change considerably year on year, to keep learning fresh, current and engaging. To support this, inevitably more physical space is needed to house collections covering the full diversity of topics being selected.
3. That the physical collection, built up over the years, has significant value in terms of attracting postgraduate researchers, especially in Humanities and Social Sciences where the Library is often seen as their equivalent of the scientists' "laboratory". Those Schools will need space for their

physical collections to grow if they are to provide a research-led experience for their future undergraduates and researchers.

4. In order to meet any future UEA aspirations for new Schools or disciplines, additional space will be needed so that collections with sufficient depth to support research, as well as teaching, can be built up from the outset.
5. The fact that e-books, though a key part of the Library's strategy, are in reality far from being ubiquitous and have not yet become a panacea to replace physical books. Although currently still offering reasonable value for money²⁴, there are weaknesses in the existing e-book models available for academic libraries²⁵. These include restrictions on concurrent users and on the number of uses per annum, relatively poor screen resolutions making them less than ideal for reading books 'cover to cover', and the fact that many undergraduate books are deliberately excluded by publishers so as to avoid loss of income. Indeed emerging pricing models emerging from publishers, and textbook providers like Kortext and Pearson, are based on models far more costly than the existing ones and current trends suggest there is a real danger that in future the most popular core e-books will become unaffordable for libraries.

Implications for Library strategy and planning

The findings from the Collection Development consultation point to the need to plan for both gradual growth in the collections as well as additional study space for students²⁶.

Clearly the library building, and its existing infrastructure (especially in terms of access to power, IT and toilets) will be insufficient to meet UEA's aspirations for growth which is why we believe the next step is to make the business case for an extension.

But why the Library? Why not just provide student study spaces elsewhere on campus and store research books in an external, off site store?

The advantage of having study spaces and collections collocated in a central building are:

- Students have ready access to all the physical books, as well as the digital collections, when they work in the Library building.
- There is 24/7, 365 access to the building.
- There is a staffed presence at all times, providing a safe and secure environment.
- The collections can be easily browsed compared with an external store.
- Students tell us that the Library remains their 'place of choice' when they plan to study together.

Other universities are building new libraries or library extensions²⁷ on the understanding that, although it is also important to have a variety of other learning spaces across campus, students still tend to associate study space with the Library. In many disciplines, student feedback in the NSS about university provision of study space will still be affected by whether or not they were able to access a space in the Library when they needed it, regardless of other provision across the campus.

Proposed short-term action

To free up enough space for another five years of new acquisitions we therefore propose to:

1. Run a project over the next 3-5 years focusing on physical journal withdrawals, combined with a 'deep weed' of any remaining underutilized book stock, particularly focused on out-of-date textbooks. Based on existing resources, the Library estimates it could withdraw up to 50,000 journal volumes and books over the next 3-5 years²⁸.

2. Move to a more explicitly 'digital first' policy, which should also result in a gradual reduction in the number of physical books purchased, perhaps by between 500-1000 items per annum. This may slow growth but will not be sufficient to reduce significantly the space needed for physical stock in the medium term.
3. Identify funding for new rolling stack on Floor 02²⁹ of the Library which would enable us to store books and journals at twice the existing density, freeing up space for an additional 70 study spaces to address short-term study space needs³⁰.
4. Prepare a business case for an extension for the medium term, with appropriate updated infrastructure³¹, recognizing current University priorities and looking for synergy with other planned capital works.

End of Report

Endnotes and appendices follow below

¹ The Library's physical journal stock consists of 1,094 runs of current journals. The Library's physical journal stock takes up 3,323 metres of shelf space in the Main Library and 2,504 metres of shelf space in the External Store. The Library's physical book stock consists of approximately 752,554 items.

² Library expenditure as reported to SCONUL for the 2013/14 year is as follows:

- Total information provision and access expenditure: £3,316,322
 - Books: £523,841.40
 - Print journals: £100,351
 - Serial titles purchased in both print and electronic form: £310,216
 - Electronic journals including bundles: £1,302,273
 - Aggregated full-text journal databases: £206,826
 - E-books: £428,260

A copy of the full SCONUL statistics return for 2013/14 is available on request.

³ See https://www.uea.ac.uk/uea2030/question?p=uea-2030-vision&post_id=122

⁴ See separate report on the Collection Development consultation, available on request from Nicholas.lewis@uea.ac.uk

⁵ In some cases, this kind of guarantee is not available for subscribed e-only material. This is because ongoing access is dependent upon publisher licensing rather than UEA's physical ownership of the materials. This will provide some limitations on the extent of withdrawals that can be made.

⁶ For data on UEA Library's spend on physical books and e-books and the number of items received per annum, please see Appendix A.

⁷ UEA estimated student number growth. See Appendix B.

⁸ Moving away from print journal subscriptions can cause problems for external users who may only have access to the Library's physical collections. To ensure continued access to the collections for partners and external users, the Library will increase the number of terminals available for 'walk-in' access to its digital library collections.

⁹ If a withdrawn journal subsequently moves to a different online provider or the provider unexpectedly goes out of business, the Library will endeavour to source materials via journal preservation services (such as Portico) or via document supply and interlending. However the Library cannot provide a 100% guarantee of future access to withdrawn print journal materials. Having to occasionally resort to interlending to source journals no longer available online will be more cost effective to UEA than retaining all past print journal collections 'just in case'.

¹⁰ 'Digital only' subscriptions sometimes come with a publisher-gifted gratis backfile (i.e. journal volumes from previous years) with online access to past volumes of the journal prior to the actual subscription year. These are only available whilst the subscription is maintained and are often provided by publishers to 'hook' institutions into never cancelling. These 'gratis' backfiles have never been purchased and therefore there are no guaranteed archival access rights.

¹¹ The amount set aside for the Library's 'end of year' spend is not known until around June/July of each academic year and is dependent upon the year's annual journal price inflation, exchange rates and 'book orders committed but not yet received from the supplier'.

¹² An assessment of usage is not solely based on borrowing statistics but also on estimates of likely levels of usage within the library (browsing) and knowledge of what is being taught and researched as outlined in the proposed discipline collection statements.

¹³ Collection statements will ensure decisions about withdrawals are made in the context of each discipline's likely growth and development at UEA and ensure that different pedagogical and research needs across the Schools are properly considered and recorded.

¹⁴ Owing to book fund levels, UEA Library can no longer afford to purchase research books 'just in case' but instead will work towards a more targeted approach to research collection-building based on the discipline collection statements as they emerge.

¹⁵ Owing to book fund levels, UEA Library cannot commit to purchasing all items on reading lists especially where lists are presented as bibliographies rather than as core and secondary readings.

¹⁶ For more detail and data on UEA's user/patron driven service, please see Appendix E.

¹⁷ The cost of manual in-house processing of undergraduate-level donations tends to outweigh the value of the donation.

¹⁸ Making a commitment to a new journal title at the expense of another can involve several months of deliberations because the subscription year runs January to January, with renewal commitments already made from the September before. Therefore to consult and elicit a cancellation can take up to 12 months. This small 'transition fund' is top-sliced as part of the Library's existing budget allocation for journals.

¹⁹ Since ISD/Library 5 year budgets are set on the basis of the existing status quo. New School or discipline initiatives can only otherwise be accommodated by reducing expenditure on resources across all other Schools, leading to journal cancellations and less money to spend on books across all disciplines.

²⁰ The principle of Library resource provision is to maximize value for money from university investments and provide seamless, self-service access on and off the site, 24/7, 365. The Library does not have levels of staff resource to provide individual 1-1 tailored support for software and dataset related products which may often better located within individual School or faculties where more specialist support or understanding may be available.

²¹ The Library adds up to 13,000 physical books to stock per annum. See Appendix A.

²² Barclay, D. (2015). This is the end of the library as we know it. Retrieved September 2015, from <http://tinyurl.com/ngoyxuj>

²³ Cambridge University being the main option. Unlike with London, UEA has no British Library or Senate House down the road. This puts UEA at a disadvantage in comparison with its competitors who often have another major research Library in their location.

²⁴ Library e-books to lend are becoming increasingly expensive, having risen up to 20% per title in the last year alone - in 2013/14 the average cost was £100-110 per e-book, in 2014/15 this rose to £120 per e-book. Please see Appendix A for a summary of UEA Library e-book purchasing.

²⁵ See Appendix C for examples of publisher imposed licences and restrictions for academic library book lending.

²⁶ The projected student growth numbers in UEA's plans are given in Appendix B below.

²⁷ Essex, Exeter and Aberdeen are examples of similar geographically isolated HEIs that have chosen to build library extensions in recent years.

²⁸ UEA Library physical book withdrawal figures: 2012/13: 7,203 items withdrawn; 2013/14 16,388 items withdrawn (PG rooms space project); 2014/15: 11,868 items withdrawn

²⁹ Indicative costs incl. VAT, to provide same specification as elsewhere in the Library are £115,000, although this would be subject to revision and full tender.

³⁰ For further details of UEA Library study space projections, please see Appendix D.

³¹ For example, at present there are insufficient toilets and power outlets within the existing footprint of the building.

Appendix A UEA Library: individual book purchasing statistics 2012-2015

| | Physical books purchased | Individual e-books purchased from aggregators | Total books purchased | % of books which are e-books | Total physical + e-book spend | E-book spend from aggregators (excluding database packages) | Physical book spend | Average amount UEA Library spent on printed book | Average price UEA Library spent on an e-book |
|------------------|--------------------------|---|-----------------------|------------------------------|-------------------------------|---|---------------------|--|--|
| 2014/2015 | 12,847 | 2,376 | 15,223 | 16% | 743,462 | 286,720 | 456,742 | £36 | £121 |
| 2013/2014 | 12,495 | 2,092 | 14,587 | 15% | 709,503 | 208,863 | 500,640 | £40 | £100 |
| 2012/2013 | 15,422 | 1,584 | 17,026 | 11% | 570,703 | 171,695 | 399,008 | £26 | £108 |

The figures relate to *individual* e-book titles purchased from our 3 major multi-publisher supplier platforms, excluding e-book purchased in packages. It does not cover e-books or book / reference content purchased from specific publishers such as Wiley, Elsevier and Taylor and Francis.

The average price spent on an individual e-book is an estimated, extrapolated figure.

Appendix B Projected UG and PG student growth (FTE) Source: UEA Planning 03/09/15

2014-15 = 14,294 FTE

2015-16 = 15,227 FTE

2016-17 = 17,447 FTE

Appendix C Examples of publisher imposed licences and restrictions for academic library e-book lending:

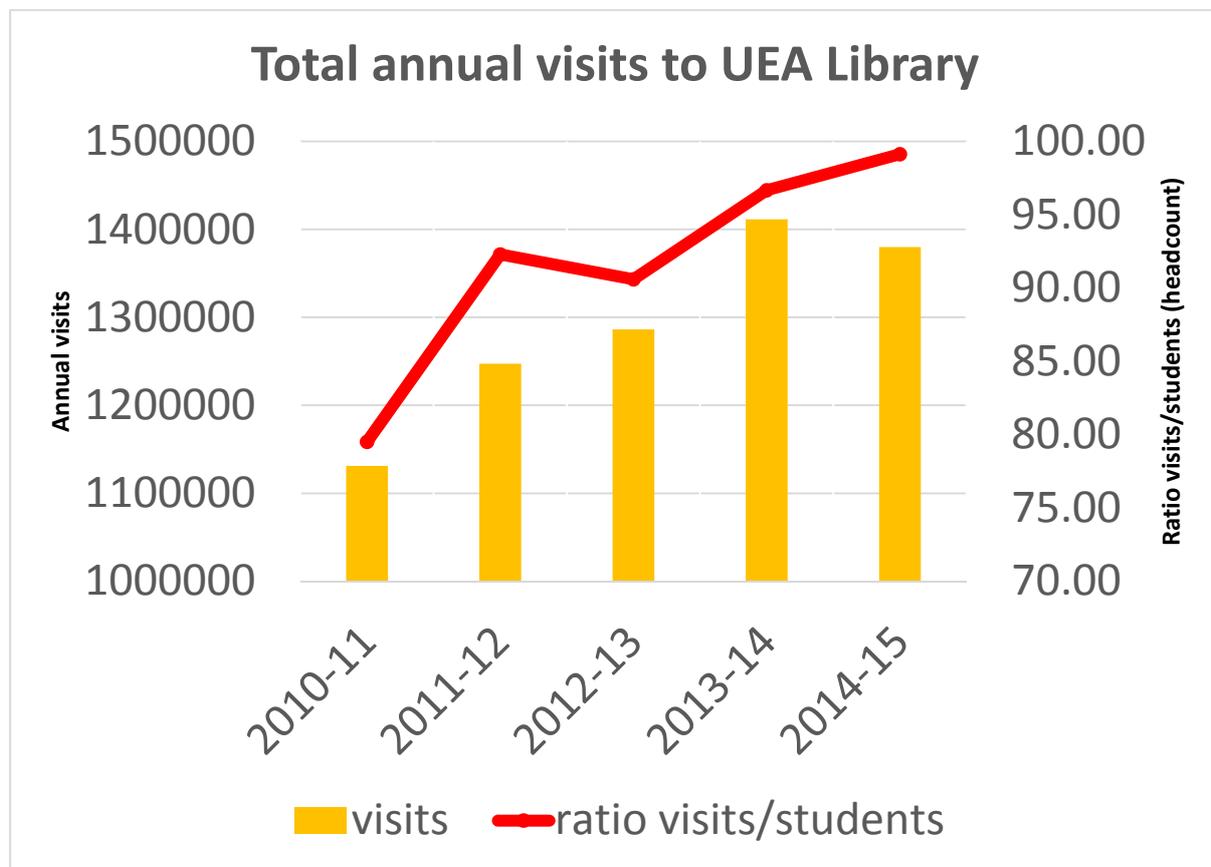
- Single User (perpetual): Unlimited access, providing only one concurrent user.
- Multiple User or Textbook (perpetual): Unlimited access, providing up to 3 concurrent users.
- Access (perpetual), aka Non-Linear™ Lending: An average of 325 accesses or credits per year, no concurrent limit, credits cannot be carried over, and are automatically renewed yearly at no additional cost.
- UA – Unlimited Access: No restrictions on the number of loans or simultaneous users allowed. A loan is defined as access by an individual patron within a 24-hour period that exceeds the free browse period or if the user chooses to download, copy or print from the e-book. EBL e-books have a free browse period (10 minutes for owned books and 5 minutes for non-owned book).

Appendix D Study space projections

Provision of student study space in the Library is acknowledged as an important factor in student satisfaction.

Student surveys have consistently fed back concerns about Library overcrowding at key points in the academic year, especially at exam times and students studying in groups on staircases and in alcoves have not been an uncommon sight in recent years.

The following table shows that our overall footfall continues to rise year on year (in proportion to the number of FTEs we have). This is despite the provision in 2014/15 of wireless in residences and additional social study spaces in the Union building.



Using these headcount figures, and UEA's projected student growth figures for the next three years, it is possible to estimate the following percentage increases in footfall per annum:

| UG & PG Student Headcounts (PLN projections for Financial Plan – 09/15) | 2014-15 | 2015-16 | 2016-17 | 2017-18 | |
|--|--------------|---------------------------|--------------|--------------|-----------------------------|
| Student headcount | 15044 | 15565³² | 16510 | 17647 | |
| Footfall into the Library | 1,379,820 | | | | |
| Average swipes per student (based on headcount figures) | 91.72 | | | | |
| Projected footfall based on 90 swipes per student | | 1,400,850 | 1,485,900 | 1,588,230 | |
| Estimated percentage increase per annum | | 3.5% | 6% | 7% | = 16.5% over 3 years |

In 2013/14 UEA had 1,481 study spaces for its 14,035 FTE students. In the same year, at a ratio of 1 study space to 9.48 FTEs³³ students, UEA was already below the average in terms of its ratio of study space per FTE compared with other top-ranking NSS & THSES institutions (1 per 8.64).

UEA's space per student ratio remained below average in 2014/15 at 9.24 per FTE. We have estimated that just *to maintain this ratio* going forward, given the increased footfall, the Library would be looking at increasing its study space provision by around 16.5%. This would need at least another 244 study spaces³⁴ over the next three years alone.

The key message is that without further investment in study spaces, UEA Library may fall further behind the curve which may well affect future NSS scores and rankings. If action is not agreed, we can see that the planned growth in student numbers at UEA is likely to contribute to the already competing demands on the existing space within UEA's Library.

Appendix E Patron-driven e-books

UEA's spend on Patron Driven (user-selected) electronic books fluctuates annually between 15% and 30% of the overall number of e-books UEA Library purchases each year (see table below). Owing to budget constraints, the service has not been heavily promoted and we suspect that is why we have seen a fall-off in requests this year.

In the collection development consultation, 68% of students fed back that library users should be able to choose books for the Library (as opposed to just 23% thinking that should be left to librarians and faculty). This suggests there may be considerable 'added value' from promoting the Library's patron driven services more widely.

There was a general consensus in the consultation feedback that 'user selection' services were an essential part of the wider Library offering, being timely and user focused. They are a quick way of providing access to items on reading lists that have not been previously advised to the Library and for texts to support extended essays and dissertations. Patron and demand-driven services are now

widely adopted across other HEIs as part of a strategy of meeting student and NSS expectations in an increasingly global, 24/7, 365 environment.

| | 2014-2015 | | 2013-2014 | | 2012-2013 | |
|------------------------------------|------------|-------------|------------|-------------|------------|-------------|
| | Quantity | £ inc VAT | Quantity | £ inc VAT | Quantity | £ inc VAT |
| Patron Driven Total | 363 | £41,955.52 | 474 | £45,301.27 | 465 | £39,985.74 |
| All e-books total (inc PDA) | 2,376 | £286,720.76 | 2,092 | £208,862.69 | 1,584 | £171,694.45 |
| % patron driven | 15% | | 22% | | 29% | |

Appendix F Archives policy

UEA Library's Archive, hereafter referred to as The Archive, will prioritise the acquisition and preservation of its collections in accordance with the strategic, teaching and research objectives of the University. It is recognised that the University's strategy and approaches to teaching and research will change over time and this policy will therefore be reviewed on an annual basis.

The Archive will:

- make its collections available predominantly for the purposes of private study and research. (Request for access for other reasons will be at the discretion of The Archive)
- co-ordinate its acquisitions policy with those of other local and national archives, including other UEA archive collections, the Sainsbury Centre for Visual Arts, the Norfolk Records Office and the Norwich Research Park.
- identify opportunities to support University research initiatives such as the Eastern Academic Research Consortium (ARC) and the CHASE partnership for doctoral training.
- seek to promote the academic value of its collections through partnerships with faculty and external partners.
- embed archives awareness training in its information skills and postgraduate training sessions.
- seek to increase the usage of The Archive by a wider range of academics, researchers and members of the public

In consultation with the University and faculty, The Archive will collect, preserve, and develop materials in the following areas:

1. a selective documentary record of the University of East Anglia including records of literary, scientific or other educational events held at UEA.
2. materials relevant to a national archive of contemporary writing, including papers of literary authors with an association with UEA.
3. papers related to contemporary science and scientific writing, especially the environment, climate change and conservation.
4. modernist art, design and architecture.

For existing collections that will no longer be developed, please see Annex A.

On determining which collections to accept or reject, the following criteria will be taken into account to inform the decision made by The Archive:

1. Fit with the above areas identified above
2. Relevance to current and future UEA research and teaching
3. Potential usage
4. Potential reputational benefit
5. Size of the collection

In addition to the above criteria, the following principles will also be taken into account. Exceptions may be made at the discretion of the Director of Information Services or his representative, for example when collections might otherwise be permanently lost, at immediate risk, or are in danger of being split up in a way that would permanently diminish their value for scholarship.

1. The Archive will not normally purchase collections. If collections are offered on that basis, the Archive will seek to identify and advise on other suitable national or international archive locations for the collections concerned.
2. Collections may be accepted on a loan basis or “on deposit” only, where ownership does not transfer to the archive, i.e. a collection passed for storage and safe-keeping. However, to ensure return on investment and the value of the collection for research, the period of loan will not normally be less than 20 years.
3. Collections will not be accepted without having an agreed, affordable and scheduled plan for cataloguing, and therefore being made accessible within a reasonable period of time, normally 18 months to 2 years from the date of acquisition. The Archive can advise on suitable temporary storage for donated material that lies outside this, but will not accept liability for any ongoing storage costs associated with such acquisitions by other parts of the University.
4. The Archive will predominantly accept material in a physical paper format although digital, electronic and audiovisual material will occasionally be considered subject to technical feasibility and ongoing costs of long term preservation and access.
5. The Archive will not take on the hosting of third party websites.
6. Artefacts will be accepted in exceptional circumstances, e.g. when integral to a paper-based collection agreed to be held by The Archive.
7. The Archive will not accept unsolicited and/or anonymous donations to the archives, nor any responsibility for the further storage or relocation of the same, nor responsibility for any consequences arising from their disposal.
8. Personal book collections will not normally be accepted alongside author papers unless they significantly enhance an understanding of the author’s life and work, and this will be at the discretion of the Director of Information Services or his representative in consultation with faculty.

The terms of deposit of a collection will be set out in a written agreement - normally a deed of gift or loan agreement signed by the donor(s) and a representative of the University. Where a deed of gift is signed for a donation, ownership is passed to the University. A further Appendix to the deed will outline the arrangements in respect of relocation (e.g. whether entirely, or just partly, into The Archive) and the agreed schedule for cataloguing of the collection.

Collections which are passed to the ownership of The Archive are subject to the provisions of the Freedom of Information Act 2000 and Data Protection Act 1998 for so long as they are held by the University of East Anglia and the University has the sole authority and responsibility regarding disclosure under either Act. The Archive is able to hold confidential material under embargo and, in the case of an FOI request, will seek to apply the relevant exemption under section 41(1). This applies to information obtained by the public authority (i.e. the University) from any other person where "the disclosure of the information to the public (otherwise than under this Act) by the public authority holding it would constitute a breach of confidence actionable by that or any other person".

Where they exist, nationally and internationally agreed standards for archival description and archival storage and maintenance will be applied. In the absence of formal standards, best current practice will be followed.

January 2015

Annex A

The following existing collections will continue to be preserved but no longer developed. Where appropriate, in due course, such collections may be offered to other national archives where there is related material and potentially greater synergy.

- The records of the University of East Anglia. These are now retained in departments in accordance with UEA's records retention policy. Where such records might longer term contribute to a selective documentary record of the University, selective acquisition will be considered as noted above.
- Papers of pre- twentieth century literary writers, unless of direct and ongoing relevance to research and teaching priorities of the University.
- Papers of members and former members of the University, unless they are appropriate to be considered as part of a selective documentary record of the University (as detailed above).
- Papers of men and women living in East Anglia whose interests and affiliations are national rather than regional. These may be more appropriate for holding by the Norfolk Records Office.
- Printed ephemera relating to the arts and heritage in Britain. It is anticipated that these may be more appropriate for other local or national collections.
- UEA theses. It is anticipated that if the archive becomes full, an alternative location will be found for these to be retained on closed access.

³² This figure shows only a 3.5% increase in headcount compared with the projected 4.6% increase in FTEs, due to the projected reduction in the number of part-time students but increase in full-time students.

³³ 2013/14 figures are the most recent figures available for institutional comparison purposes. They also exclude UEA's INTO students who we know are relatively heavy library users, especially overnight.

³⁴ 16.5% of 1,481 study spaces