

OA Collection Development Policies



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University of Alberta Libraries Collection Development Policy

November, 2006

This policy establishes the overall selection standards and criteria for the acquisition of library materials. The collection policies of the individual area libraries describe the scope of the collections under their administration.

The University of Alberta Libraries exist primarily to support the University's teaching and research functions and to provide an information source for University staff and the general public. As the repository of one of the major Canadian research collections, the Library also serves the needs of the wider regional, national and international communities. This policy acknowledges the need to rely on cooperative resource-sharing activities to extend the breadth and depth of our collections.

Collection management at the University of Alberta is the responsibility of professional library staff. This function is carried out in consultation with faculty, students and other users. To contact the librarian responsible for collecting materials in your subject area, please visit [Liaison Librarians](#).

The University of Alberta Library subscribes to the professional codes and standards adopted by the Canadian Library Association including the [Statement of Intellectual Freedom](#).

We are committed to the principles of open access, as outlined in the [IFLA Statement on Open Access to Scholarly Literature and Research Documentation](#). Open access (OA) benefits researchers and learners by equalizing access to research information and facilitating scholarly communication. The University of Alberta Libraries include OA products in our collections, and provide support for members of the University of Alberta community who want to publish in OA formats. For more information about open access, please contact your [liaison librarian](#).

General Criteria for Selection of Library Materials

The library will consider acquiring information in any format needed to support the University's academic programs. The following criteria are considered by librarians in the selection of material:

1. Support of both current and future research or teaching needs.
2. Appropriateness for graduate or undergraduate programs, and/or research at the University of Alberta.
3. Quality of the material.
4. Minimal duplication of materials among the libraries.
5. Accessibility of appropriate material at other institutions.
6. Type and cost of support needed for materials selected.
7. Gift and free materials will be considered for inclusion in the collection according to the same selection criteria used for decisions to purchase materials. ([Information about Donations](#))

Collections Policies

- [Augustana Faculty Library](#)
- [Bibliothèque St. Jean](#)
- [Canadian Circumpolar Collection](#)
- [Herbert T. Coutts Library](#)
- [Humanities and Social Sciences Library](#)
- [John A. Weir Memorial Library](#)
- [John W. Scott Health Sciences Library](#)
- [Science and Technology Library](#)
- [William C. Wonders Map Collection](#)



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Principles for Acquiring and Licensing Information in Digital Formats

University of California Libraries
Collection Development Committee
July, 2006

Preamble

The University of California continually expands and evolves its strategic approach to building well organized, professionally managed, comprehensive collections of information needed to realize the goals of the University's academic programs and its public service mission. The University of California Libraries collections strategy is to carefully coordinate and collaboratively manage a variety of library collections, including both those held in common and those held by a single campus that are shared across the university.

Comprehensive collections that meet the University's mission cannot be continuously assembled when scholarly publications are offered only at hyper-inflating subscription prices. Therefore, the University and its libraries also have a strategic interest in advancing a marketplace for scholarly materials that is economically balanced and sustainable.

The following principles are provided to inform and guide the University and its employees (at both campus and university-wide levels) in their business relationships with providers of scholarly information in digital formats.

These principles replace the University of California Libraries Principles For Acquiring And Licensing Information In Digital Formats 1996. The UC libraries have benefited from, and seek to contribute to the academic library community's longstanding efforts in the identification and promulgation of collection development principles for digital materials.

Further information about how the UC libraries operationalize these principles is contained in the California Digital Library's Checklist of Points to be Addressed in a CDL License Agreement and in the full text of the CDL Standard License Agreement available on the CDL website.

1) COLLECTION DEVELOPMENT

- a. Collection development criteria pertaining to quality and relevance should be paramount and should be applied consistently across formats, including digital resources.
- b. Digital materials should be at least equivalent to their print counterparts, if such exist, i.e. they should be complete and able to be considered and managed as a copy of record.
- c. Balance must be maintained among:
 - disciplines;
 - instructional and research tools;
 - the differing needs of each campus.
- d. UC should retain authority for selecting and deselecting materials. Its selection prerogative covers content decisions at the title level and preferences of format and should not be compromised by provider-defined connections between titles or between print and digital products.
- e. UC will evaluate the cost/benefits of licensing digital resources of out of copyright information against opportunities to digitize equivalent UC resources or participate in other non-profit third-party digitizing efforts of that information.

2) COSTS & PRICING

- a. UC seeks and encourages methods for pricing electronic content that balance the financial requirements of information providers and the budgets and mission of the UC libraries. UC will give preference to vendors and products that have, or are developing, business models and practices that are economically sustainable for UC. Sustainable practices include reasonable absolute price changes, and explicit and reasonable bases for price changes, ideally reflecting actual amortized and/or operating costs.
- b. The price of a resource to UC should be aligned with its value to UC. Value is necessarily multi-variate, including but not limited to use, price-per-page, price-per-citation, impact factor, and relevance to UC academic programs. UC will endeavor to refine indicators of value and to share the use of those indicators with resource providers.
- c. Publishers can and should gain operational efficiencies, particularly in the marginal costs of adding and distributing content. These efficiency gains should be passed on to customers in the form of significant reductions in the "unit-cost" of information. Publishers should be discouraged from increasing prices to amortize print to digital conversion costs over short timeframes.
- d. Content and access costs should be separated. UC should have flexibility in selecting appropriate access mechanisms and levels and should be able to alter these agreements for an existing license, subject only to access and use restrictions in the license agreement. Where possible, business terms should separate content pricing from pricing for access.
- e. Because UC has a coordinated and collaboratively managed variety of library collections and services in which the collections of the individual campuses are enriched by capabilities to access the resources of all the others, "cross-access" should be a contractual option. Cross-access business terms should be based on actual or realistic estimates of UC audience, account for the fact that the university is a single system, and acknowledge efficiencies in conducting business with one rather than multiple (campus) parties.

3) TRANSFORMATIVE STRATEGIES

- a. The libraries make principled investments in publishing business models that produce high quality scholarly content and have the potential for transforming scholarly communication. A publishing or distribution effort can be considered transformative when it is developed principally to reduce access barriers (e.g. open access models), to provide an alternative to expensive for-profit efforts, and to establish long-term economic sustainability (e.g. by redistributing production costs) that is affordable by libraries.
- b. UC consideration of scholarly publishing endeavors is informed by endorsements and analyses by key organizations supporting transformative models such as the Scholarly Publishing and Academic Resources Coalition (SPARC) and the International Coalition of Library Consortia (ICOLC).
- c. UC encourages publishers who develop scholarly communication models that represent innovative forms of quality or peer review processes and new publication modalities. Products should leverage technology for efficiencies in production, timely distribution, and integration with other resources.
- d. UC-affiliated authors are major contributors to scholarly journals and other publications whose content is licensed by the UC libraries for teaching, research and patient care purposes. The libraries support the right of UC authors whose scholarly work is included in materials licensed by UC to retain copyright to their work, transferring only first-publication and/or commercial use rights to the publisher while retaining all other non-commercial use and distribution rights.

4) LICENSING

- a. Information providers should employ a standard agreement that contains all of the elements of UC's Model License Agreement, which describes the rights of libraries and their authorized users in terms that are readable and explicit. Permitted uses should include standard academic practices such as interlibrary loan, the inclusion of materials in printed and online coursepacks and reserve reading lists, and ad-hoc sharing of individual items by scholars and researchers.

<http://libraries.universityofcalifornia.edu/cdc/principlesforacquiring.html>

- b. As a public institution with a broad mandate to serve the State of California, UC's "authorized users" include faculty, staff, students and all on-site users of the UC facility. UC's "site" includes every location, physically and virtually, maintained by UC for use by a bona fide member of the UC community. UC makes a good faith effort to authenticate authorized users. UC takes privacy concerns seriously and will not implement systems that abridge or threaten personal privacy. UC will work with and give preference to vendors that have, or are dedicated to developing scalable models for authentication.
- c. UC requires business terms that provide for perpetual access by the approved community of users to content that has been purchased or licensed at any point in time. Contracts should specify the means and responsibilities for providing perpetual access in the event that a resource is subsequently canceled or removed by the vendor.
- d. Licenses should provide for archival deposit of perpetually-licensed content in one or more third-party trusted digital preservation repositories to safeguard the long-term integrity of the material. The preservation repository should comply with the emerging standards for digital preservation such as the Open Archival Information System (OAIS) Reference Model and the RLG/NARA Audit Checklist for the Certification of Trusted Digital Repositories.
- e. Vendors should also provide a means for UC to take possession of the complete digital files of perpetually-licensed content, at the university's option, either for business reasons or as a means to provide perpetual access. Business terms define appropriate uses of such archival copies.
- f. UC affirms the importance of fair use in fulfilling its libraries' missions and requires that licenses not abrogate the rights allowed it or its members under copyright law, including, but not limited to, fair use and inter-library loan.

5) FUNCTIONALITY & INTEROPERABILITY

- a. UC use data compliant with COUNTER standards should be available to UC as part of contractual provisions for a license. The confidentiality of individual users and their searches must be fully protected. Use data generated by UC may be available to the information provider.
- b. UC will give preference to products whose design and architecture do not constrain access and service integration. Characteristics of such products include explicit and industry standard data formats, support for metadata and data export, and methods for interoperability such as application program interfaces (APIs) and reference (OpenURL) linking.
- c. Interfaces should conform to industry standards (including performance standards), concentrate on known functional requirements, and avoid the unnecessary proliferation of platforms. UC should share usability findings and functional requirements information with vendors.
- d. Information providers must keep UC informed of format and content changes and coordinate their implementation with UC.

More detailed information about UC functionality requirements can be found at <http://cdlib.org/vendors/>.

Comments and suggestions are welcome and should be addressed to the Collection Development Committee (see <http://libraries.universityofcalifornia.edu/cdc/>).

A [PDF version](#) of this document is available.

RELEVANT LINKS:

UC-Focused

Checklist of Points to be Addressed in a CDL License Agreement.
<http://www.cdlib.org/vendors/checklist.html>

[The Regents Of The University Of California.] Standard License Agreement.
<http://www.cdlib.org/vendors/CDLModelLicense.rtf>

Joint Steering Committee for Shared Collections. Factors to Consider When Licensing Out-of-Copyright Materials
<http://cdlib.org/inside/collect/outofcopyright.rtf>

<http://libraries.universityofcalifornia.edu/cdc/principlesforacquiring.html>

Other

Counting Online Usage of Networked Electronic Resources (COUNTER).
<http://www.projectcounter.org/>

International Coalition of Library Consortia (ICOLC).
<http://www.library.yale.edu/consortia/>

RLG/NARA Audit Checklist for the Certification of Trusted Digital Repositories.
http://www.rlg.org/en/page.php?Page_ID=20769

SPARC (Scholarly Publishing and Academic Resources Coalition).
<http://www.arl.org/sparc/>

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Factors to Consider When Licensing Out-of-Copyright Materials

California Digital Library

Joint Steering Committee for Shared Collections - July 2006

A number of recent announcements of mass digitization projects that include out-of-copyright material are challenging our collective decision-making process when these same materials are available in a commercially licensed product. The SLASIAC 2005 progress report on *Systemwide Strategic Directions For Libraries And Scholarly Information* called attention to this issue, referring to the UC's participation in large-scale digitization efforts as potentially offering opportunities for "reducing expenditures on vendor products that are based on out-of-copyright and other public domain materials." Do we license a commercial version of out-of-copyright content when a digitized version is already openly available? How do we assess whether an open digitized version is sufficiently robust to meet UC's needs? Do we license content to satisfy the immediate needs of UC faculty and students when future digitization projects promise open access? With such prospects in view, should we choose a time-limited subscription to the licensed version over perpetual ownership rights in order to contain our costs? When do we choose to digitize out-of-copyright materials ourselves or with partners using existing UC collections in preference to licensing? Conversely, when is it more cost-effective to license material instead of building it? The SLASIAC report challenges us to incorporate such considerations in our decision process for licensing materials in the public domain.

Evaluation Criteria

Standard evaluation criteria should be applied to any resource under consideration, whether licensed or open access. These include the UC *Principles for Acquiring and Licensing Materials in Digital Formats* and the more specific criteria outlined in documents such as the CDL Technical Requirements for Vendors, CDL Resource Selection Criteria, and the CDL Licensing Checklist. Given the intrinsic benefits of lower cost and barrier-free access that open content initiatives promise, such evaluations necessarily take on a new dimension when competing licensed and open access versions are available. For example, if material is held in an analog format and is (or is planned to be) also available in an open access form, licensing yet another version may warrant special scrutiny or justification.

In the course of evaluating any new resource for systemwide licensing, many individuals and groups will usually be involved:

- bibliographer groups who submit the original request
- CDL staff analyzing campus requests
- JSC in prioritizing requests
- JSC in prioritizing requests

When evaluating requests for systemwide licensing of new resources that include out-of-copyright material, the following factors should be considered by each group involved at the various stages of evaluation:

- Whether an alternative open access version exists or is planned
- Whether UC is actively pursuing or considering a digitization opportunity for the same material, either alone or collaboratively (e.g. CDL-built content through OCA)
- If a future open access version is anticipated, the value of access to content now vs. open access at some point in the future. Factors to consider might include, for example, the level or urgency of user demand and/or potential near-term cost savings through print deduplication and/or remote storage
- A careful appraisal of whether there is sufficient added value in the licensed version to justify the expenditure of scarce collection dollars when an alternative version exists. Factors to critically evaluate in this light might include:
 - The value derived from a relationship to other currently-licensed material (e.g. backfiles of currently-licensed journals where access may be integrated)
 - Aggregation of content under a single interface as opposed to independently-created digitized versions that lack coordinated access
 - Indexing and presentation of content, or other added features that enhance the end user experience. Recognizing end users' increasing preference for 'single search box' simplicity in accessing content, careful judgments should be made about whether an open access resource

<http://www.cdlib.org/inside/collect/outofcopyright.html>

is adequate to satisfy the bulk of UC student and faculty needs

- The degree to which the licensed resource adheres to UC licensing and technical requirements. Nonconformity that might be overlooked when alternatives are unavailable may be less acceptable in the face of open access.

Next Steps

While we recognize that it is 'early days' in the emerging relationship between licensed and open content, the UC libraries' stated interest in developing a more holistic approach to collection development across these domains requires us to increasingly engage such questions. As a first step, bibliographers should attempt to identify relevant open access projects and opportunities in their areas of expertise and address the above criteria in any licensing recommendations submitted to JSC. The CDL licensed content and built content programs will also begin consulting regularly to identify synergies with digitizing initiatives. As we begin to incorporate these criteria in decisions that include public domain content, our collective understanding of these issues and their interplay will increase.

References:

- Systemwide Strategic Directions For Libraries And Scholarly Information. Progress Report [2005].
http://libraries.universityofcalifornia.edu/planning/SSD_progress_report_2005_final.pdf
- Principles for Acquiring and Licensing Materials in Digital Formats.
<http://libraries.universityofcalifornia.edu/cdc/principles.html>
- CDL Technical Requirements for Vendors. **<http://cdlib.org/vendors/#technical>**
- CDL Licensing Checklist. **<http://cdlib.org/vendors/checklist.html>**

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URL: <http://www.cdlib.org/inside/collect/outofcopyright.html>

Contact the CDL

- *Collection development and licensing staff:* [**HTML**]
- *Campus Acquisitions Liaisons:* [**HTML**]
- *UC Bibliographer Group Chairs and JSC Liasons:* [**RTF**]
- *Obtain access to [password-protected] areas of the web site:* **Request a Password**
- *Report a breach of license:* **Cate Hutton**

Questions? Comments?

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