

Collection Management Policy

Collection Analysis and Decision Support Tools

Collection management decisions are supported by the use of collection analysis and decision support tools. These enable liaison librarians to make well---reasoned assessments of the collection, for example, how Library resources add to the BorrowDirect collective collection, how local collections are enhanced by CRL and HathiTrust collections, and the extent to which resources are used locally and by readers in partner libraries.

Collection analysis and decision support tools are multiple and inform decision---making at various points. Standards for and decision---making based on data are found in subsequent sections of this policy.

Understanding current use and forecasting future use

Library circulation history, COUNTER---compliant and proprietary electronic usage statistics, and BorrowDirect resource sharing reports enable liaison librarians to understand the use of specific titles and classes of titles by Dartmouth and Ivy Plus readers. When liaison librarians find trends toward lower use for classes of titles, their knowledge of faculty research and teaching emphases and statistics on numbers of degrees granted in the Dartmouth Fact Book (which includes time-series statistics) may provide supplemental information for decision---making.

Retention decisions

Decisions to retain legacy print and physical media public documents may be informed by reviewing the U.S. Federal Depository Library Program requirements and any relevant requirements from state and international bodies.

Decisions to retain legacy print and media copies of electronic materials should include review of archiving of electronic copies in Portico (for journals, books, and disciplinary collections), physical copy holdings in CRL and its partners (includes Linda Hall Library, Law Library Microform Consortium, and the U.S. Agricultural Information Network), HathiTrust full---text public domain holdings, and Ivy Plus collective collection holdings. PAPR (Print Archives Preservation Registry) records provide a better understanding of what Ivy Plus , regional, and national print retention agreements include specific titles. The Library catalog will note those titles which the Library has agreed to retain.

Meta---analysis

Liaison librarians may gain a better understanding of large---scale collections changes through the analysis of OCLC WorldCat database holdings and longitudinal review of Association of Research Libraries (ARL) annual statistics. While WorldCat provides a snapshot of international holdings in the current moment only, combining these data with librarian knowledge of the relative rarity or popularity of titles and formats over time may suggest broad trends in format changes and in retention decisions. These may be compared to ARL statistics, especially those on collections statistics and collections spending, to determine how individual library and consortial decisions may change the availability of resources to scholars at the international level.

The Library's collection analysis and assessment efforts are led by the Head of Collection Development and Analysis, who works closely with individual liaison librarians, the Collection Analysis Team, and the Associate Librarian for Access & Collection Strategies.

Bibliographic Records, Discovery, and Access

Effective collection management activities require accurate analysis of collection data and the ability to compare and contrast collection inventories across multiple institutions. As the Library and our peers engage in broad and bold moves to redefine strategies for local collection holdings, and to share information about collection strengths and commitments, it is necessary to record, store, and display retention decisions and other administrative metadata that result from collection management projects.

The collection analysis goals are dependent on accurate, complete and well--- formed metadata on which to base the analysis. To support collection analysis and management, the Library commits to creating and storing the following types of metadata:

- Complete bibliographic description, including, whenever possible, metadata about the work, the expression, the manifestation and the item (see Functional Requirements for Bibliographic Records for definitions).
- Accurate holdings data for any titles that are expressed in more than one physical piece.
- Source of funds and payment amounts.
- Decisions regarding retention, or metadata to support these decisions such as special features of the item, named collections of which the item is a part, known institutional connections, collaborative collection development and retention commitments, and bibliographer decisions.
- Circulation and in---house use data (circulation data are available from July 1993 to present. In--- house use data have been gathered for some collections in the recent past).
- Library location data.
- Classification data, when available.

This commitment includes assigning staff resources to the creation and management of these metadata. It is essential that Library policies regarding metadata creation and management be adhered to in order to guarantee the accuracy and permanence of these metadata.

The Library is committed to sharing metadata in support of collection management with any communities where these data will be used to support shared print archiving. This means that the library will maintain its membership in the OCLC collaborative, and regularly contribute information to OCLC WorldCat about titles held. We are actively exploring the emerging opportunities presented by developments “in progress” at OCLC to support shared print archiving, such as the assignment of unique Library Identifiers to shared storage facilities, and the potential to store and display administrative metadata and detailed holdings data, as well as print archiving services being developed at the Center for Research Libraries. After the Library has made policy decisions about participating in registries of shared print archives, the Library will provide relevant metadata to these registries. The Library is committed to providing adequate Library staff resources to these efforts.

The Library is the sole database of record for Library metadata that describe the physical and commercially procured digital collections. The Library is committed to the accurate maintenance of that database, and to maintaining reasonable parity with the OCLC WorldCat database.

Guidelines for on---campus retention and transfer of materials

The Library’s information resources are assessed and reviewed on a regular basis to ensure that the on--- campus collection remains actively used and relevant to readers and that low---use materials held in the Dartmouth Library Depository (DLD) are not duplicated or easily available through the Ivy Plus collective collection or Center for Research Libraries. Liaison librarians work with the Head of Collection Development and Analysis, staff in Access Services, Cataloging and Metadata Services, and Acquisitions Service to identify materials that meet some or all of the criteria below on a regular basis.

The primary criterion for on---campus retention of materials is consistent, ongoing use by Dartmouth readers.

Materials that receive low use, but have enduring relevance for Dartmouth and Ivy Plus readers and have limited availability in other formats or within the collective collection, are candidates for transfer to the DLD (with circulating or “in Library use” status).

From time to time, primary source materials held on campus or in the DLD may become candidates for transfer to Special Collections. Decisions on transfer to Special Collections are managed by that department. Additionally, the Head of Special Collections may advise liaison librarians on “in Library use” designation for specific titles held in the DLD. “In Library use”

designation does not preclude lending via BorrowDirect; such loans should be made under the same conditions as Special Collections interlibrary lending.

Retention reviews and decisions are ongoing collection management activities.

1. Related collection development activities include:

- Regular reviews (every two years) of approval plans, to ensure that the Library continues to receive materials appropriate to reader needs and collective collection building
- Requiring vendor identifications of new editions, so that liaison librarians can evaluate and check older versions in the library as candidates for transfer or deaccessioning during the ordering process
- Criteria for retention or transfer
- Considerations for on---campus retention include:
 - Steady circulation or current use by Dartmouth readers, including curricular support
 - Importance in the discipline as it is defined and practiced at Dartmouth
 - Currency of the edition
 - Physical condition of the volume (i.e., in good condition)
 - Currency of the physical format (i.e., a non---print format readable with current technology)
 - Materials not duplicated in another format

2. Considerations for transfer to the DLD include:

- Specific collective collection building agreements and ongoing use within the Ivy Plus partnership
- Limited availability of the work through the following:
 - The collective collection (Ivy Plus)
 - Center for Research Libraries and its partners
 - HathiTrust
- Other print retention agreements
 - Inclusion in a shared print retention agreement
 - Enduring relevance to the discipline as it is defined at Dartmouth
 - Criticality of maintaining a local copy (e.g., few copies in the collective collection and no digital edition available)

3. Criteria for “in library use” status for materials transferred to the DLD:

- Replacement difficulty (for items of enduring interest to Dartmouth and not widely held across the collective collection)
- Fragile physical condition

- Cost of the item
- Rarity or concern about theft or vandalism (e.g., important plates or maps that might be removed)
- Original Dartmouth publications

Selection for withdrawal and deaccessioning of printed and other physical materials

The collection management lifecycle includes decisions on permanently removing or deaccessioning titles from the collection. The following criteria should be considered for deaccessioning:

- Removal of print or durable media titles duplicated by electronic format
- Removal of media titles duplicated by newer formats
- Removal of duplicates
- Removal of low-use titles commonly held by the collective collection
- Removal of older editions that are no longer relevant to research and teaching at Dartmouth
- Removal of items in poor physical condition that can be replaced with digital access

Outcomes of this process may include improved access to the physical collection for our readers, including space for newer materials, or reassignment of floor space to support reader priorities. Deaccessioning should always be done with the goal of strengthening the collection to meet the needs of Dartmouth and Ivy Plus readers.

Ongoing or phased projects are generally preferred to one-time efforts. Communication of time frames and benchmarks, workflow support from and coordination with the collections services areas and relevant liaison librarian are critical to ensure success. The entire process crosses many departments and includes identification of deaccessioning targets, selection of titles, review and decision-making, record updating, removal, and disposition. Without clear priorities and communication, collection management capacity is diminished.

Liaison librarians should work with the Head of Acquisitions Services and Collection Assessment and relevant staff to identify likely candidates for deaccessioning (See Section IV for collections analysis tools.). Data collection and analysis might be based on format, publication date, availability in the collective collection, or collective collection development agreements. In a library system as diverse as Dartmouth's there will be no one-size-fits-all criterion. Deaccessioning will be based on the liaison librarian's knowledge of the subject area as defined at Dartmouth, curriculum and research activities, faculty consultation as appropriate, and whether local retention of a physical copy is critical to Dartmouth or the collective collection. Collection development policies should provide guidance.

Bibliographic records are permanently retained for deaccessioned items to document prior print ownership should access to HathiTrust in-copyright digital copies be required.

Documentation of long-term retention commitments for shared print archiving will be noted in the catalog record. Titles which Dartmouth has committed to retain are not candidates for deaccessioning.

As noted above, the Library's deaccessioning criteria takes into account the holdings within the library system and of other libraries, especially Ivy Plus libraries. Decisions to discard or retain are dependent on collective collection development policies, Ivy Plus or other shared print agreements, or holdings in

OCLC WorldCat, the Center for Research Libraries and its partners, Portico, or HathiTrust's public domain collection.

Unique holdings, commonly called "last copies", are not candidates for deaccessioning.

Deaccessioning decisions are, by their nature, evaluative and subjective. Safeguards to avoid loss of critical titles are necessary to protect staff, readers, and materials. Collection services staff will post lists of items to be deaccessioned for review, with firm deadlines for response. The Associate Librarian for Information Resources or a designate may review and sign off on lists or project plans. The Library collection is one of Dartmouth's most valuable assets and contains individual items of high value. A double signature should protect liaison librarians from any suggestion of impropriety.

Replacement of a Library holding with a gift copy should not be routine, as processing of both copies requires considerable staff time. The conservators in Preservation Services can repair damaged library volumes to make them useable or recommend options for replacement, including local or out-sourced digitization. Preservation relies on a user-based referral and will see items needing repair when they circulate through local use or BorrowDirect/interlibrary loan.

Disposition of unwanted titles is done in a variety of ways and detailed in Section VIII. The library discourages the placement of serials in academic departments, as such space is generally at a premium; liaison librarians should contact the Associate Librarian for Information Resources if they receive such a faculty request. Access Services staff will check returned books for the "withdrawn" stamp so that deaccessioned materials do not get re-added to the collection.

Deaccessioning decisions are made to maintain a vibrant, useful collection and our actions through title selection, communication, processing, and disposition should reflect that.

Guidelines for disposition of deaccessioned materials

The disposition of deaccessioned materials should take into account the possibility of sharing our deaccessioned resources with others who can put them to use. Identification of and

transfer to candidate libraries or organizations should not be so staff-intensive that more resources are devoted to disposing of the materials than in selection and processing.

Processing should include updating the bibliographic record to note the decision to remove, suppressing the record from public view, and stamping the item as deaccessioned. Bibliographic records for deaccessioned items must be kept permanently in order to demonstrate former ownership to HathiTrust, should access to the Trust's in-copyright digital copy be required at some future date.

From time to time, review of older or unusual (e.g., gray literature, Dartmouth-related) materials may be made by the Associate Librarian for Information Resources or the Head of Special Collections before permanent disposition.

Disposition outlets for materials by format:

1. Print journals

Print titles should be offered first to:

1. Ivy Plus or other partners in shared print retention agreements
2. Center for Research Libraries, for JStor titles not needed by shared print partners
3. California Digital Library, for JStor titles not needed by shared print partners
4. Collaborative collection development partners
5. Linda Hall Library (for science and engineering titles)

Library staff will search these databases to identify lacks that our discarded volumes will fill (in regard to list items 1,2,3,and 5).

If emerging collaborative collection development partners express interest in our discarded journal volumes, we will offer those volumes according to the terms of the partnership.

If local libraries express interest in receiving discarded volumes, fulfillment of these requests will be evaluated by the Associate Librarian for Information Resources and a workflow will be developed to support the agreement.

2. Monographs

Monographs may be offered to:

1. Ivy Plus or other partners in shared print retention agreements
2. Better World Books or another resale or donation outlet (a list of these is maintained by Acquisitions Services)

resale. Those materials should be clearly marked so that they do not come back to the collection

Liaison librarians gather input from readers, especially faculty, as part of the collection management process and ensure that their disciplinary communities are well informed about changes to the collections in their areas. The Library Leadership Group is responsible for the development of policies that guide key activities across the Library; the Dean of Libraries and the Associate Librarian for Information Resources take leadership in articulating collection development and management policy at the institutional level and assist and support liaison librarians as they work with departments, individuals, or partners outside of Dartmouth.

In addition to regular communication with readers on collection development and management activities, major changes or events must be communicated in a timely and appropriate manner. Major events include, but are not limited to:

- The purchase or receipt of a significant collection or object
- Expansion of high priority Library partnerships, such as Ivy Plus/BorrowDirect
- New commitments to support collections, such as membership in HathiTrust and the Center for Research Libraries
- Development of shared print retention agreements
- Library-wide print deaccessioning projects

The Dean of Libraries will communicate with Dartmouth senior administration in regard to major events. The Dean or the Associate Librarian for Information Resources may prepare e-mail announcements on these events, work with Dartmouth Public Affairs, or speak with campus media outlets, including The Dartmouth. The Associate Librarian will provide liaison librarians and other Library staff with talking points to support them in their conversations with readers.

Liaison librarians should not hesitate to ask the Dean or Associate Librarian for support and attendance at departmental or other meetings, if they deem this to be helpful.

All communications on collection management and development activities should stress the Library's primary goal of ensuring that readers have access to the full breadth of information that they need, now and in the future. All collections decisions, whether small or very large scale, are made to assist the Library in thoughtfully managing its assets and resources to that end.

The Dartmouth College Library fosters intellectual growth and advances the mission of Dartmouth College and affiliated communities by supporting excellence and innovation in education and research, managing and delivering information, and partnering to develop and disseminate new scholarship.

Dartmouth College Library is committed to retaining the intellectual content of materials throughout their lifecycle, ensuring the preservation and long-term access of its collections and information resources in all formats. Proper storage environment and housing, staff and

user education in careful handling, binding, and treatment of individual items are methods used to protect and improve conditions to extend the useful life of materials in original form. Digitization of materials at risk can prevent further damage from use and ensure that content in obsolete formats is not lost. See the Dartmouth College Library Digital Preservation Policy for digital preservation scope and principles.

Preservation Services works in close consultation with subject selectors, and other Library staff members to identify, assess and prioritize materials needing preservation attention. Preservation decisions are always made within the context of the Library's collection development policies, balancing costs and limitations of resources, historical and scholarly value of the materials, and the needs of the users.