

***External Evaluation of CURL-CoFoR
Collaborative Collection Management
Project and Partnership***

*Commissioned by the Research Information Network (RIN) and the
Consortium of Research Libraries in the British Isles (CURL)*

Report – March 2006

By Dr Marie-Pierre Détraz

External Evaluation of CURL-CoFoR Collaborative Collection Management (CCM) Project and Partnership

Contents of Report

| Headings | Pages |
|---|--------------|
| Executive Summary | 3-9 |
| 1 Introduction | 10-11 |
| Purpose and scope of the study | |
| Methodology | |
| 2 Evaluation of CoFoR-REES | 12-28 |
| Nature of the Agreement | 12-20 |
| Impact of the Agreement | 20-25 |
| Costs and sustainability | 25-25 |
| Conclusions | 25-28 |
| 3 Evaluation of the CoFoR Methodology | 29-40 |
| Drivers, culture and incentives | 29-32 |
| Management issues | 32-33 |
| Extension to other subjects | 33-36 |
| The CoFoR CCM Toolkit | 36-38 |
| Conclusions | 38-40 |
| 4 Recommendations | 41-45 |
| Multi-disciplinary CoFoR framework | 41-43 |
| Estimated costs | 44-45 |
| Appendices | 46-85 |
| Appendix 1 – Contacts and meetings | 46-50 |
| Appendix 2 – Survey analysis | 51-79 |
| Appendix 3 – CoFoR-REES Serials listing | 80-81 |
| Appendix 4 – References | 82-83 |
| Appendix 5 – Glossary | 84-85 |
| | |
| List of Tables, Charts and Diagrams in Main Part of Report | |
| Table 1 – Retention commitments | 13 |
| Table 2 – Transfer commitments | 14 |
| Table 3 – Acquisition commitments | 15 |
| Table 4 – REES acquisition expenditure 2004-05 | 16 |

| | |
|--|-------|
| Table 5 – Collecting scopes versus acquisition commitments | 17-18 |
| Table 6 – Tangible outcomes over the first 18 months of the scheme | 21 |
| Table 7 – Decisions taken for the next two years of the scheme | 21-22 |
| Table 8 – Anticipated outcomes over the next two years of the scheme | 22 |
| Table 9 – Anticipated impact over the period 2008/09 – 20013/14 | 22-23 |
| Table 10 – Anticipated outcomes over the period 2008/09 – 20013/14 | 23 |
| Table 11 – Overall usefulness of the scheme | 24 |
| Table 12 – Space shortage statistics | 30 |
| Table 13 – CCM initiatives of subject-specific library groups | 33-35 |
| Table 14 – Assessment of CoFoR CCM Toolkit | 37-38 |
| Table 15 – Estimated costs of CoFoR Co-ordinating Unit in years 1-3 | 44 |
| Table 16 – Details of estimated costs of CoFoR Co-ordinating Unit in years 1-3 | 45 |
| | |
| Chart 1 – REES acquisition expenditure 2004-2005 | 16 |
| Chart 2 – REES acquisition expenditure 2004-2005 of 4 main contributors | 17 |
| | |
| Diagram 1 – Structure of CoFoR Framework | 43 |

Acknowledgements

I would like to thank all the people who have very kindly helped and supported me through this project and whose contributions have been invaluable. Their names are listed in Appendix 1 of this document.

Particular thanks must go to Dr Gregory Walker, CURL-CoFoR / CoFoR-REES Project Manager, for unfailingly and promptly responding to my numerous queries with the utmost courtesy and patience.

Executive Summary

1 Purpose and methodology

- 1.1 The purpose of this study is to carry out an evaluation of the CURL-CoFoR collaborative collection management (CCM) project, including the CoFoR-REES partnership, and to make recommendations as to possible long-term CCM directions for research libraries across the UK.
- 1.2 A number of methods were used including a questionnaire sent to all 21 CoFoR-REES partners and associates – which had a return rate of 89% – and 20 meetings involving 40 library senior and middle managers in all. The work was carried out over a period of two months from 31 January to 31 March 2006.

2 CCM and the CoFoR project

- 2.1 The search for collaborative collection management (CCM) solutions stems from a widely shared concern acknowledged in the *Final Report* of the Research Support Libraries Group¹ that the uncoordinated development of research collections in university and other research libraries may increasingly jeopardise the nation's ability to provide its researchers with a comprehensive coverage of research material.
- 2.2 The argument in favour of CCM is that no research library can afford to provide its users with all the information resources they need and that there is therefore a need to develop collaborative strategies aimed at introducing a degree of rationalisation in the acquisition and retention of resources across institutions with a view to minimising inessential duplication of collecting efforts, while maximising the chances of avoiding gaps in the Distributed National Research Collection.
- 2.3 Research libraries have however been reluctant to engage in what has been labelled 'deep resource sharing', whereby institutions do not only agree to lend their resources to others but actually trust each other to collect in specific agreed subject areas for the benefit of all researchers across the country. The RSLP-funded study on *Barriers to Resource Sharing among Higher Education Libraries*² concluded that '... the primary barrier to greater and deeper resource sharing [was] that no strong and convincing case for it has been made to HEIs' and recommended that studies demonstrating the benefits – financial and others – of different forms of deep resource sharing be undertaken.
- 2.4 It is within this context that CURL decided to fund CoFoR (Collaboration For Research) and to develop the project on the basis of COCOREES (Collaborative Collection Management Project for Russian and East European Studies) on the grounds that COCOREES was at the time the most advanced of all existing CCM initiatives.
- 2.5 The first main outcome of the CoFoR project is CoFoR-REES – a voluntary scheme whereby research libraries with significant Russian and East European Studies collections make specific commitments on retention, transfers and acquisition in particular areas within the discipline. The partnership, which has an overall annual

¹ Report produced in 2003 and available at <http://www.rslg.ac.uk/>

² The Final Report (January 2002) of the study, conducted by the HECG and CHEMS Consulting, is available at <http://www.rslp.ac.uk/circs/>. The quote is from item 13 in the Executive Summary.

acquisition expenditure on REES materials of ca. £700,000, brings together the majority of substantial REES research collections in the UK. It consists of 19 research libraries from 17 institutions: 14 HEIs (including 12 CURL members), 2 national libraries (including the British Library) and 3 specialised libraries. It has now been in existence for ca. 1½ year

- 2.6 The second main outcome of the CoFoR project is the *Collaborative Collection Management Toolkit*³, which describes the CoFoR methodology for the setting-up and maintenance of similar schemes in other subject areas.

3 Findings

Evaluation of CoFoR-REES

- 3.1 The partner libraries have signed a ten-year Partnership Agreement (1st September 2004 – 31st August 2014) including a list of specific retention, transfer and acquisition commitments allocated to and agreed by each partner library. Some of the main features of the scheme are as follows:
- Retention commitments are expected to last for the whole 10 years and all withdrawn stock is expected to be offered for transfer within the partnership;
 - Partners are not asked to increase the existing scale of their acquisitions or to extend their acquisition into subjects not at present covered by their collecting policies;
 - The Agreement makes it possible for the partners to have their commitments reviewed regularly and at their request 'in the event of serious and unforeseen changes of circumstances', e.g. changes in the institution's research priorities;
 - There is a 12 months' notice to reduce commitments, cancel unique serials titles or withdraw from the scheme;
 - Partner libraries are expected to provide the scheme administrator with data on a yearly basis, including: updates of collection-level descriptions and collecting policies, expenditure and acquisitions data.
- 3.2 The work done on transfers has been particularly significant because it has resulted in most partner institutions identifying a substantial number of subject areas where they are committed to accepting transfers from other institutions for the whole length of the Partnership. This list of subject areas for possible transfers is considerably more indicative of the partner libraries' collecting strengths and priorities than the list of retention commitments, several institutions – including the largest repositories – having just stated their current policies of 'near-total' retention.
- 3.3 The work done on acquisition has been less successful. 10 partner libraries have made acquisition commitments, but only 2 have agreed to specify the length of these commitments, and there are a substantial number of important subject areas missing in the overall acquisition commitment list (e.g. politics, society, 20th-21st Century literature). The reasons given for the scheme's lack of impact on acquisition decisions are, in the case of HE libraries, that budgets are not guaranteed from one year to the next and acquisitions have to meet the changing needs of the institution's researchers.
- 3.4 The additional difficulty when it comes to acquisition commitments is that there is no data indicating the level of acquisition in the designated subjects (the nature of the commitment being to maintain 'current collecting levels'), which makes it impossible to

³ See at http://www.cocorees.ac.uk/docs/COFOR_Toolkit.doc

quantify the extent of these specific commitments. The acquisition commitments made by two of the three major HE contributors (which together with the BL account for 75% of all REES acquisition expenditure) seem to represent only a small or very small proportion of their overall REES acquisition budgets judging by the discrepancy between the scope of their collecting policies and that of their commitments.

- 3.5 Furthermore, as the acquisition commitments are not publicised in the same document as the libraries' collection-level descriptions and collecting policies, there is a danger that a collection designated in the scheme of acquisition commitments may be wrongly thought greater (both in terms of holdings and new acquisitions) than a comparable collection that has not been designated for an acquisition commitment.
- 3.6 A number of partner institutions – 7 out of 17 – said that the scheme had already made an impact on their collection management (CM) decisions and that they had taken decisions or made plans for the next two years in the light of their participation in the scheme. However, quantifiable outcomes in terms of withdrawals, subscription cancellations, transfers, space savings, financial savings and acquisitions having resulted or likely to be resulting from the scheme over the next two years are so far negligible.
- 3.7 There is a feeling amongst the partner libraries that the CoFoR scheme has yet to come into its own and that it is important to preserve and develop it further because:
- It has raised general awareness of UK research libraries' respective collecting strengths and priorities in REES and, in some cases, has made it easier for librarians to discuss CM policies with academics;
 - It has provided a framework for making difficult retention and acquisition decisions in a more rational and nationally responsible way;
 - It has provided a framework for the compilation of a Desiderata List identifying major collecting gaps – i.e. expensive but important research resources that no research library can afford – which constitutes a basis for nationally coordinated acquisition efforts and initiatives;
 - This framework is likely to become increasingly important as research libraries across the country and across sectors experience increasing space shortages and budgetary constraints.
- 3.8 The costs of the scheme to the institutions have been very small and therefore currently a non-issue. It is however important to note that the transfers have so far involved small quantities of items, the partner institutions have been asked to produce only high-level acquisition and expenditure data and some of them did not produce the data which they could not readily provide.

Evaluation of the CoFoR Methodology

- 3.9 There is an overwhelming view amongst HE library managers and representatives of subject-specific library groups that the CoFoR Toolkit – which describes the CoFoR methodology, including, in particular, the Partnership Agreement and Allocation Scheme templates – can only be a starting point in any extension of the scheme to other subject areas because the terms of the Agreement and its underlying principles would have to be discussed and negotiated with each relevant faculty in each of the partner institutions in the same way as CoFoR-REES was.
- 3.10 The reason for this is that most academics are still unfamiliar with the concept of cross-institutional sharing of collecting responsibilities and, when they are introduced to it, are reluctant to embrace the implications of their institutional libraries' declining purchasing

power and space shortages. This is all the more difficult because academics and university senior management operate in a competitive environment, which is not conducive to cross-institutional collaboration. HE librarians will feel comfortable with the 'deep resource sharing' agenda only when both their customers – i.e. the researchers – and their employers – i.e. university senior managers – recognise the need for it. There is therefore a need for a high-level nationally co-ordinated advocacy campaign targeted at researchers and senior university managers to promote the CoFoR framework and articulate the way in which the various currently discussed CCM initiatives, including CoFoR, the National Research Reserve (NRR) and large-scale digitisation efforts, are interconnected with one another.

- 3.11 Discussions with the CoFoR-REES Management Team and subject-specific library groups indicate that neither this high-level advocacy work nor the setting-up and maintenance of other subject-specific schemes are likely to take place within a reasonable timescale or at all without some additional resources. Library budgets are so tight and pressure on staff is so great that subject librarians cannot be expected to carry out the necessary tasks such as negotiating and updating commitments or gathering and updating data. Nor do subject-specific library groups, made up of subject librarians with various levels of responsibility within their own institutions, have the necessary resources to do it themselves or hire staff to do it.
- 3.12 This is not to say that each new subject-specific scheme would need its own CoFoR officer. It is possible to estimate on the basis of the work done by CoFoR-REES that one full-time CoFoR officer would be able to assist subject groups in setting up and maintaining a dozen or so subject-specific schemes over a period of three years. The creation of one dedicated CoFoR post would also help to achieve a degree of consistency in the area of advocacy and data collection across the disciplines, while ensuring that the framework remains light-touch – a concern repeatedly voiced in the meetings held for the purpose of this study – as the CoFoR officer would work in partnership with the subject-specific groups.
- 3.13 Judging by both the responses of the libraries contacted for this study and the 'strategically important and vulnerable subjects' recommended by HEFCE for additional government support, there seems to be a consensus as to the need to concentrate on area studies and related languages (e.g. Asian, Latin American, REES studies), which cut across disciplines (e.g. history, politics, law, literature), including the whole area of modern foreign languages and literatures. It is however important to note that the CoFoR experiment does not seem to have been much discussed in the context of medicine and other scientific disciplines. The Mapping Medicine project, which is currently on hold, may provide an opportunity for further discussion of these issues in relation to scientific subjects.
- 3.14 The CoFoR CCM Toolkit document has been well received as a standard package for conducting the discussions and negotiations between libraries and between libraries and academics rather than as a set of procedures that can be implemented straightaway across subject areas. There is a need for a 'lite' version without, in particular, the guidelines referring to the Research Mapping and the Serials Listing, both exercises having proved cumbersome and costly⁴.
- 3.15 Rather than engage in a very detailed and labour-intensive research mapping, it is proposed that partner libraries include instead succinct summaries of their institutions'

⁴ See CURL-CoFoR Project. *Final Report of the Project Management Team (abridged)* at <http://www.cocorees.ac.uk/Coforfinalrep02.doc>, p. 9: 'Experimental work was done during 2003 ... on the feasibility of showing the effectiveness of library support for research by relating the research

relevant research priorities in the Collection Policy Statements to be updated on a yearly basis.

- 3.16 The CoFoR Project Management Team has concluded that the methodology used to produce the Serials Listing could not be extended to other subject areas⁵. It is proposed that the next stage be to discuss the possibility of a CoFoR-SUNCAT project with a view to establishing whether SUNCAT can identify duplicates and unique holdings of serials in areas designated by the scheme⁶.

4 Recommendations

In the light of the findings made by the study it is recommended that:

- 4.1 CoFoR be supported and further developed into a multi-disciplinary framework by building on the work achieved by CoFoR-REES but also improving some of the methodology in order to maximise its impact.
- 4.2 The current methodology be improved in two major areas:
- Leadership and advocacy – there is a need for a high-level and high-profile advocacy campaign aimed at researchers and senior university managers, which senior and middle library managers can build upon within their own institutions, in order to generate a climate conducive to a more pro-active approach to the cross-institutional sharing of collecting responsibilities;
 - Data gathering – there is a need to develop a more sophisticated and transparent cross-institutional data-gathering methodology, taking account of the specificity of each subject area, with the view to narrowing the information gap between high-level holdings, expenditure and budgetary data and the identification of specific collecting efforts;
- 4.3 The work be done within the framework of a structure combining both central and distributed elements, broadly as follows (see also Diagram 1 at the end of Executive Summary, with indication of estimated costs for a period of 3 years):
- Distributed elements – Subject Groups including subject librarians (some of them will also be members of already established subject-specific library groups), who, in partnership with the CoFoR officer, will: (a) develop and supervise the subject-specific schemes in the same way as the CoFoR Management Team has developed and supervised CoFoR-REES; (b) liaise with the relevant scholarly associations in the same way as CoFoR-REES has liaised with BASEES; (c) liaise with the relevant subject-specific library groups in the same way as CoFoR-REES has liaised with COSEELIS, especially to discuss ways of improving the data-gathering; (d) develop strategies to implement the high-level advocacy campaign at institutional level;

⁵ See CURL-CoFoR Project. *Final Report of the Project Management Team (abridged)* at <http://www.cocorees.ac.uk/Coforfinalrep02.doc>, p. 8: 'While REES may prove to be a fairly extreme case in this respect, it may still be the case that the cost of comparable serial listings for other subjects (which should include the cost of regular updating) will prove to be prohibitive unless they can be sponsored as separate projects or carried out as contributions to a larger national serials record.'

⁶ See Appendix 3.

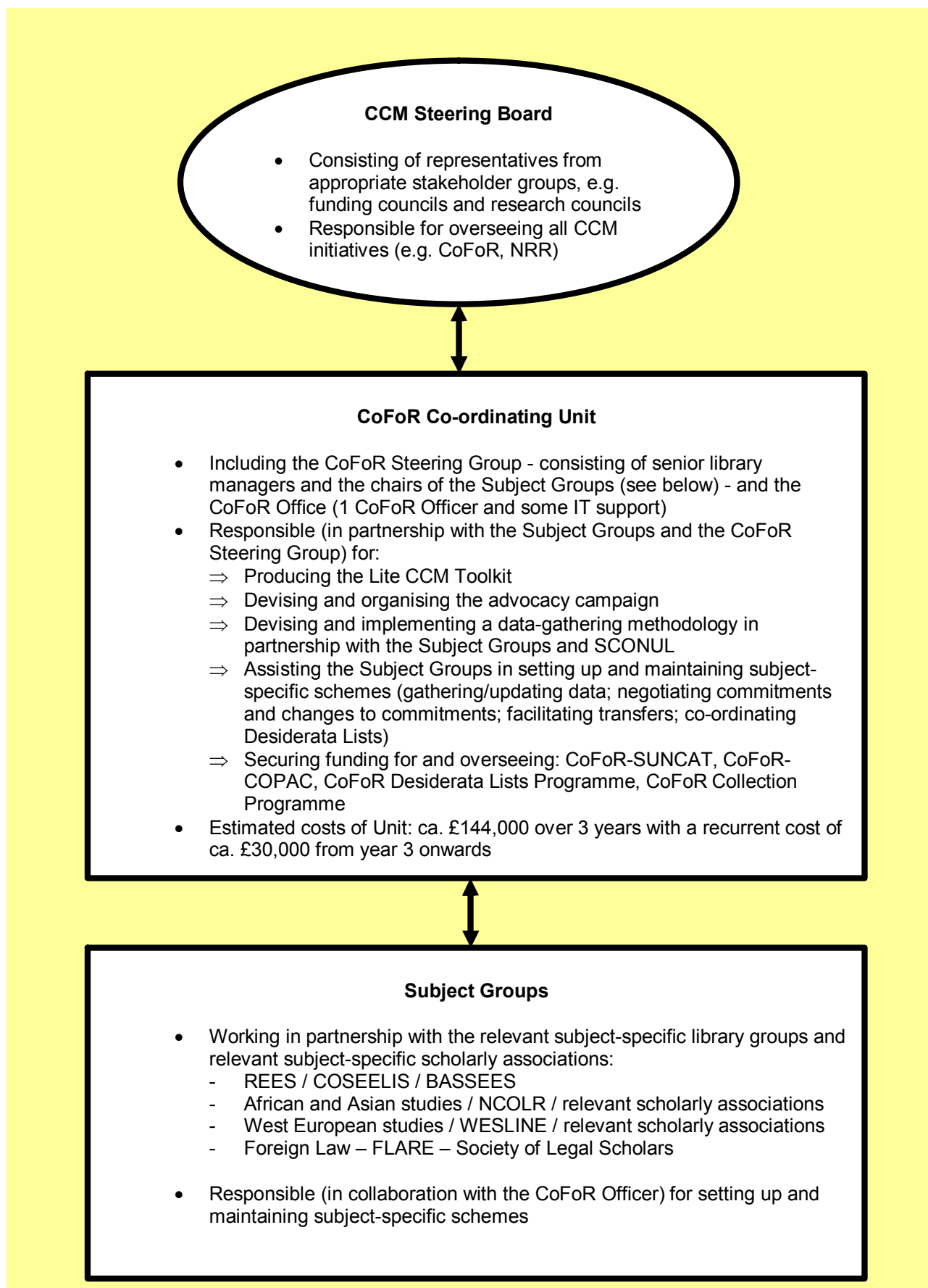
- Central elements – a centrally funded CoFoR Co-ordinating Unit with one officer and some IT support which, in partnership with the Subject Groups and the CoFoR Steering Group, will (a) co-ordinate the high-level advocacy campaign across partner institutions; (b) develop a more sophisticated data-gathering methodology taking into account the specificity of each subject area; (c) assist the Subject Groups in setting up and maintaining the subject-specific schemes by carrying a number of tasks, in particular: negotiating and updating commitments, gathering and updating data, facilitating transfer decisions, co-ordinating and acting on the Desiderata Lists; (d) assist the CoFoR Steering Group in developing further initiatives to maximise the impact of CoFoR (see 4.4);
- Governance – a CoFoR Steering Group consisting of senior library managers and the chairs of the Subject Groups, whose main role will be (a) to oversee the development of the various CoFoR schemes and the work of the CoFoR officer; (b) to report to the CCM Steering Board; and (c) to develop further initiatives aimed at maximising the impact of CoFoR (see 4.4) and make a case for their funding to the CCM Steering Board.

4.4 The CoFoR Steering Group, in partnership with the CoFoR Co-ordinating Unit, develop and secure funding for the following initiatives with a view to maximising the impact of CoFoR:

- A CoFoR-SUNCAT Project to determine whether SUNCAT can identify duplicates and unique holdings of serials in the areas designated by the various subject-specific schemes;
- A CoFoR-COPAC Programme to add to COPAC the catalogues of research collections held in non-CURL libraries that have been recognised as being of national significance by CoFoR (e.g. see the catalogue of the REES collection held by the University of Essex, a non-CURL CoFoR-REES partner, now accessible via COPAC) – The CURL Board has agreed in principle to the inclusion of data describing research collections held in non-CURL libraries but there is currently no co-ordinated and appropriately funded programme to implement the policy in a systematic way;
- A CoFoR Desiderata Lists Programme enabling CoFoR subject-specific schemes to make a case / bid for extra central funds to finance some of the collecting gaps identified in these lists;
- A CoFoR Collection Programme enabling CoFoR libraries to bid for extra central funds to continue developing and providing access to major research collections which they can no longer justify developing in terms of their own institutions' research priorities. The case would have to be made to the CoFoR Steering Group that these collections are of national significance and the material nowhere else collected to an appropriate research level in the UK.

4.5 CoFoR concentrate in the first instance on area studies and related languages (e.g. Asian, African, Latin American, REES studies), including the whole area of modern foreign languages and literatures – specific foci and priorities within these broad areas having to be identified by the subject-specific library groups listed in Diagram 1 – while also encouraging subject librarians specialised in sciences to discuss, possibly within the context of Mapping Medicine – whether a similar approach can be applied to scientific subjects.

Diagram 1 – Structure of CoFoR Framework



1 Introduction

Purpose and scope of the study

- 1.1 As agreed with the funders, the Research Information Network (RIN) and the Consortium of Research Libraries in the British Isles (CURL), the purpose of this study has been to carry out an evaluation of the CURL-CoFoR collaborative collection management (CCM) project and partnership⁷ and to make recommendations as to possible long-term CCM directions for research libraries across the UK. This has entailed:
- Evaluating the benefits brought by the CURL-CoFoR scheme to the Russian and East European Studies (REES) community – this element of the scheme will be referred to as CoFoR-REES – and assess its sustainability;
 - Assessing whether the CoFoR methodology – including the CCM Toolkit – is transferable to other disciplines and, if it is, whether and how it should be modified to facilitate this transfer;
 - Making recommendations on subject areas, methodologies and appropriate governance structures for the extension of CCM to other disciplines;
- 1.2 It was also agreed with the funders that a number of other CCM projects and initiatives would be examined with a view to establishing what all these schemes have in common, where they differ and whether common CCM strategies and procedures could be shared or further developed into a multi-disciplinary scheme.
- 1.3 The work was carried out over a period of two months from 31 January to 31 March 2006.

Methodology

- 1.4 A number of methods have been used to carry out this review:
- Preliminary background research and examination of relevant documentation whether downloaded from relevant web sites or provided by contacts (see Appendix 1 for list of contacts and Appendix 4 for literature references);
 - Questionnaire emailed to the CoFoR-REES 19 partners and 2 associates to assess the current and anticipated benefits and costs of the scheme, identify possible current and anticipated obstacles to implementation and seek the views of the institutions involved as to the effectiveness of the CoFoR methodology and its transferability to other disciplines (see Appendix 2 for the survey analysis);
 - Meetings with 12 CoFoR-REES libraries – universities of Birmingham, Cambridge, Essex, Glasgow, Leeds, Manchester and Oxford (Bodleian, Sackler and Taylorian), the Scott Polar Research Institute, UCL and the British Library) – for further discussion of the issues (see Appendix 1 for list of meetings following the list of contacts' names); the selection of this sub-set of CoFoR-REES libraries was determined by the need to include:
 - CURL and non-CURL libraries;
 - HE and other research libraries;

⁷ See <http://www.cocorees.ac.uk/> for information on CURL-CoFoR

- Large and smaller libraries;
 - Libraries specialising in REES and multi-disciplinary libraries;
 - Libraries that were original members of the COCOREES⁸ group and 'new' partners;
 - Libraries with partner and associate status within the scheme⁹;
 - Libraries whose representatives were members of the CURL-CoFoR Management Team (one representative being also the Chair of COSEELIS, the Council for Slavonic and East European Library and Information Services);
- Meetings with members of the CoFoR-REES Management Team including separate meetings with the Project Director, the Project Manager and the BL representative.
 - Meeting and telephone call with 2 HE institutions which decided not to join CoFoR-REES at the time of the project.
 - Broad examination of the outcomes of 4 other CCM projects, including 3 other RSLP CCM Strand Projects¹⁰ – CASBAH, FLAG and Mapping Asia – and Mapping Medicine, which was funded by the Wellcome Trust; and meetings with directors and/or other representatives of these schemes. As it was necessary to select a sub-set of RSLP CCM projects because of time and budgetary constraints, the emphasis was placed on projects with a UK-wide focus, a relatively wide subject coverage and a focus on broad CCM issues;
 - Meetings with representatives of 2 subject-specific library associations with a long-standing history of collaboration – ARLIS (Art Libraries Society) and SCOLMA (Standing Conference on Library Materials on Africa) – (see Appendix 1 for list of meetings following the list of contacts' names);
 - Further liaising by email and the telephone with relevant contacts, as and when appropriate;
 - Meetings with the funders' group – the first one at the beginning of the project to finalise the work plan and the second one six weeks through the work for an informal discussion of the findings;

⁸ COCOREES: Collaborative Collection Management Project for Russian and East European Studies, the RSLP project from which the CURL-CoFoR project followed on.

⁹ It was not possible to have meetings with either of the two associates: SCRSS did not have the staff resources to participate in any aspects of the evaluation study; the views of St Antony's College were recorded in Oxford's co-ordinated response to the questionnaire (see Appendix 2).

¹⁰ The complete list of RSLP CCM Strand Projects, with links to the projects' web sites, is available at <http://www.rslp.ac.uk/projects/> .

2 Evaluation of CoFoR-REES

2.1 This evaluation of CoFoR-REES is based on:

- The survey analysis available in Appendix 2 of this document – the return rate for the questionnaire was 89%¹¹;
- The discussions that took place in the above-mentioned meetings – there were 20 meetings involving 40 library senior and middle managers in all;
- Exchanges of email and telephone conversations with some of the contacts listed in Appendix 1 of this document;
- The documentation listed in Appendix 4 of this document;

Nature of the Agreement

2.2 CoFoR-REES is a voluntary scheme whereby research libraries with significant collections in Russian and East European Studies (REES) make specific commitments on retention, transfers and acquisition¹² in particular areas within the discipline. The partnership, which comprises 19¹³ research libraries - mostly from the HE sector - as well as the British Library, has signed a ten-year Partnership Agreement (1st September 2004 – 31st August 2014) including a list of specific retention, transfer and acquisition commitments allocated to and agreed by each partner library. The main features of the scheme are as follows¹⁴:

- Each partner library's retention and acquisition commitments and offers for transfer are negotiated via a Scheme Administrator – the aim being to achieve the most coherent possible scheme in terms of UK-wide coverage;
- There are some minimum commitments to be agreed by all partners in terms of retention, i.e. retention commitments are expected to last for the whole duration of the Partnership and all withdrawn stock is expected to be offered for transfer within the partnership;
- There are some minimum commitments to be agreed in terms of access, i.e. access to the material covered by the scheme will be granted by partner libraries 'on conditions no more restrictive than those applying to their main research collections';
- Partners are not asked to increase the existing scale of their acquisitions or to extend their acquisition into subjects or areas not at present covered by their collecting policies;
- Partners keep the savings they make through the scheme (e.g. by not having to purchase items in areas where other partner libraries have committed to collecting) and are not necessarily expected to spend these savings on REES materials;

¹¹ See details in Appendix 2 of this document

¹² Policies known under the umbrella of Collection Management (CM) relate to both collection management of existing and new holdings (e.g. cataloguing, retention / withdrawal (possibly by transfer), access, electronic access etc.) and to collection development (e.g. acquisition of new resources through purchases, subscriptions, donations or transfers from other repositories). For the sake of this report, the phrase CM or CCM will refer only to retention, transfer and acquisition, transfers being relevant to both collection development and collection management.

¹³ The Partnership includes 19 libraries but 17 institutions, the Bodleian, the Sackler and the Taylorian being all included in OULS (Oxford University Library Services).

¹⁴ Documentation about the scheme is available at <http://www.cocorees.ac.uk/links.html>.

- The Agreement makes it possible for the partners to have their commitments reviewed regularly and at their request ‘in the event of serious and unforeseen changes of circumstances’, e.g. changes in the institution’s research priorities;
- There is a 12 months’ notice to reduce commitments, cancel unique serials titles or withdraw from the scheme;
- It is an evidence-based operation, so partner libraries are expected to provide the Scheme Administrator with data on a yearly basis, including: updates of collection-level descriptions and collecting policies (including information on research priorities) and expenditure and acquisitions data;

2.3 Each partner library’s specific retention, transfer and acquisition commitments are described in the *Scheme of Commitments* document and their collecting scope in a separate document, *CoFoR Partner Libraries’ Collection Policy Statements for Russian and East European Studies*, both available on the COCOREES web site¹⁵. Note that for the sake of this exercise there are 17 rather 19 partners, as Oxford decided to send one co-ordinated response for the Bodleian, the Sackler and the Taylor Institution libraries.

Scope of the retention and transfer commitments

2.4 10 out of the 17 CoFoR-REES partners have committed to retaining all their REES stock on the grounds that their institutions have a policy of ‘near-total’¹⁶ retention and on the understanding that they are expected to inform the Partnership of any changes in their retention policy. The remaining 7 partners have committed to retaining stock as follows:

Table 1 - Retention commitments (the understanding being that the other partners have a policy of ‘near-total retention’)

| | |
|----------------|---|
| Birmingham | Defence (arms control & regional security in Russia /Central & Eastern Europe, defence industry & its conversion); Economics (Russian/Soviet economies & industry); History (economics & industrial history of Russia /SU); Politics/Government (SU to 1945); Science/Technology (science & technology policy in Russia); Society (migration, housing in Russia /Former SU) |
| Bradford | Yugoslavia & successor states (economics, politics/government, society) |
| Bristol | Czech and Slovakian language and literature |
| LSE | Economics (transition & reform in Central & Eastern Europe/Former SU); International Relations (post-Soviet foreign policy, East-West relations); Politics (Communism & revolutionary movements; transition & reform in Central & Eastern Europe /Former SU); Society (ethnic conflict & nationalism in Central & Eastern Europe /Former SU) |
| Manchester | Russian/Soviet cinema, Russian/Soviet gender studies |
| Polish Library | Library of record for expatriate Polish publications |
| RIIA | Most holdings over 30-35 years old transferred to LSE; major press cuttings collection (part on film) needs retention (some already at BL Colindale) |

2.5 More interestingly, 16 out of 17 partners – i.e. all except RIIA – have committed to accepting transfers in a number of specific areas, this information providing a much better indication of where the libraries see their collecting strengths – 8 of the 10

¹⁵ See <http://www.cocorees.ac.uk/coforallocrev07.doc> and http://www.cocorees.ac.uk/coll_temp.html

¹⁶ As a rule, ‘near-total’ means everything except duplicates or copies of superseded textbooks and of reference materials.

libraries that have described their retention policy as 'near-total' having designated very specific areas for the acceptance of transfers:

Table 2 – Transfer commitments

| | |
|----------------|---|
| Birmingham | As Retention, except Science /Technology |
| Bradford | As Retention (<i>build-up</i>) |
| Bristol | Czech, Slovakian language/literature (<i>build-up</i>) |
| BL | Subjects/countries as shown in Tables 2 and 3, subject to targeted research support for other partners (see 'Local & national support' above). Special consideration for transfers making good war losses |
| Cambridge | Archaeology (Russia/Soviet/ Central Asia); Art (Russia); History (Anglo-Russian relationships); Literature (C18 Russia) |
| Essex | Economics (Russia/Former SU); Law (commercial law in Central Eastern Europe /Former SU – (<i>build-up</i>)); Society (poverty in Russia – (<i>build-up</i>)); Continue to receive transfers from SCRSS |
| Glasgow | Defence (security & civil-military relationships in post-Soviet Eastern Europe); Economics (globalisation in Central & Eastern Europe, accounting); International Relations (Former SU and EU, NATO); Media (Russian/Soviet censorship, Russian broadcasting); Politics (Marxism & Trotskyism; public opinion & elections; STM (health & safety in CEE); Baltic studies – (<i>build-up</i>) |
| Leeds | History (Soviet Siberia, Russian Far East [both including contemporary developments], Anglo-Russian relationships – based at Leeds Russian Archive); Russian émigré literature, culture, history; Religion (Russian Orthodox Church; Russian/East European church-state relationships) |
| LSE | As Retention. Continue to receive transfers from RIIA |
| Manchester | Cinema (Russian/Soviet – <i>build-up</i>); Gender studies (Russia/Soviet – <i>build-up</i>) |
| NLS | Scottish interest. Russian Polar regions (<i>not</i> anthology, ethnology, folklore, languages) |
| Nottingham | History (Former Yugoslavia); Serbo-Croat language/literature |
| Oxford | Archaeology (Central & Eastern Europe, Euro Russia, Egyptology);Folklore (Russia/Eastern Europe); History (Russia/Former SU/Central & Eastern Europe, ex as noted); Linguistics (comparative/history Slavonic, Old Church Slavonic); Literature (Russian/Soviet C20-21, Russian women's writing, Albania, Bulgaria, Poland, Serbia); Media (Russian/Soviet publishing); Music (Russia/Central & Eastern Europe) |
| Polish Library | Works in Polish and on Poland published abroad |
| UCL (SSEES) | (<i>all as defined in the library's collection management policy</i>) Art/Archaeology (Russian/Soviet); Cinema (Russia /Central & Eastern Europe); Economics (Russia /Central & Eastern Europe and EU accession – <i>build-up</i>); History (Poland); Languages (modern Russian; Belorussian & Hungarian languages & literatures; Literature (Russian C19; Belorussian, Hungarian); Politics/Government (Russia /Central & Eastern Europe – <i>build-up</i>); Religion (Russian culture & religion); Science /Technology (technology & innovation in CEE – <i>build-up</i>); Society (minorities in Former SU/ Central & Eastern Europe); Theatre (Russian performance arts); Albanian studies- <i>build-up</i> . Romanian studies. |
| SPRI | Russian North, incl. Siberia & Russian Far East |

Scope of the acquisition commitments

2.6 10 out of the 17 partner institutions have made acquisition commitments but only 2 have agreed to specify the length of these commitments, as show in the following table. Note that:

- These commitments do not at present include maintenance of serial subscriptions – an area where commitments could not be negotiated before the end of the project because of the late production of the serials list;
- The BL commitment is wording under Acquisition in Schedule B of their Agreement as follows: 'The BL's status as the principal national research collection in REES is acknowledged, with subject and country coverage as

shown in Tables 2 [coverage by subject] and 3 [coverage by country / language] of the Annex to the Partnership Agreement. It is expected that you will maintain the level of collecting in these fields, and the present wide range of REES serials, to the extent that funding allows.'

Table 3 - Acquisition commitments

| | Acquisition commitments | Length of commitments |
|----------------|---|----------------------------------|
| Birmingham | <ul style="list-style-type: none"> Russian & Soviet economics & industrial history | |
| BL | <ul style="list-style-type: none"> In all subjects (except education & numismatics) & countries /languages listed in tables 2 & 3 of the Scheme of Commitments | |
| Cambridge | <ul style="list-style-type: none"> Archaeology (Russia, USSR, Central Asia) | |
| Glasgow | <ul style="list-style-type: none"> Baltic studies Russian & Soviet censorship Trotsky | 5 years and 10 years for Trotsky |
| Leeds | <ul style="list-style-type: none"> Anglo-Russian relations | |
| LSE | <ul style="list-style-type: none"> Communism & revolutionary movements in Central & Eastern Europe and former Soviet Union | 10 years |
| NLS | <ul style="list-style-type: none"> Scottish relations with Russia, the former Soviet Union and Central & Eastern Europe | |
| Polish Library | <ul style="list-style-type: none"> Works in Polish and on Poland published abroad | |
| UCL (SSEES) | <ul style="list-style-type: none"> C19 Russian literature Albanian studies Romanian studies | |
| SPRI | <ul style="list-style-type: none"> Russian North (Including Siberia and Russian Far East) | |

2.7 When matched against the scheme's overall coverage by subject and country/language as identified in tables 2 and 3 of the *Scheme of Commitments* – and excluding the British Library, which collects in nearly all the categories listed –, it is clear that this list of acquisition commitments, unlike the list of areas where partner libraries have committed to accepting transfers, is lacking a substantial number of important subject areas, in particular (and that is only considering Russia and the other countries that used to be part of the USSR):

- History; Politics and government; Society
- International relations (beyond relations with England and Scotland)
- 20th and 21st Century Literature
- Languages

2.8 The nature of the commitment as far as acquisition is concerned is that the library commits to maintaining current collecting levels in the subject(s) stated. However, there is no data indicating the level of acquisition in these designated subjects – for example, we know that LSE has a budget of ca. £20,000 to acquire in a broad area of REES-related subjects (including economics, international relations and politics), but the scheme does not tell us how much is spent on Communism and Revolutionary Movements in Russia and Central & Eastern Europe, which is the area where LSE have made an acquisition commitment. One of the partner libraries has actually queried what is exactly meant by 'maintaining current levels of acquisition', wondering whether it referred to 'the number of titles purchased, the expenditure or the general level of coverage'.

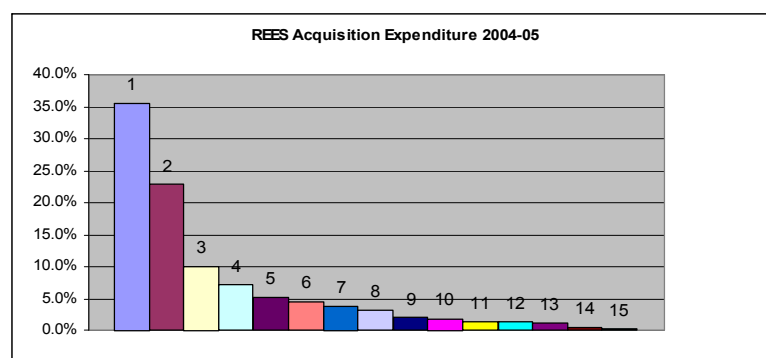
2.9 That it is impossible to assess the scope of the acquisition commitments in quantitative terms is all the more problematic because the high-level expenditure figures on REES acquisitions compiled in section 3 of the *Survey Analysis* reveal wide

discrepancies in the partner institutions' overall acquisition efforts in REES – ranging from ca. £1,400 at SPRI to ca. £250,000 at UCL –, as demonstrated in the following table and charts:

Table 4 - REES Acquisition Expenditure 2004-05 - Note that the figures provided by the partner institutions can only be indicative as they are not fully comparable (see footnotes)

| | | REES Acquisition Expenditure 2004-05 in £ | REES Acquisition Expenditure 2004-05 in % |
|----|--------------------------|--|--|
| 1 | UCL | £ 252,119.00 | 35.6% |
| 2 | BL ¹⁷ | £ 162,064.00 | 22.9% |
| 3 | Oxford | £ 70,912.00 | 10.0% |
| 4 | Glasgow | £ 49,884.00 | 7.0% |
| 5 | Essex | £ 36,644.00 | 5.2% |
| 6 | Cambridge ¹⁸ | £ 31,538.00 | 4.4% |
| 7 | Birmingham | £ 26,382.00 | 3.7% |
| 8 | LSE | £ 22,730.00 | 3.2% |
| 9 | Leeds | £ 13,689.00 | 1.9% |
| 10 | Nottingham | £ 12,020.00 | 1.7% |
| 11 | NLS | £ 9,250.00 | 1.3% |
| 12 | Bristol | £ 8,997.00 | 1.3% |
| 13 | Bradford | £ 8,162.00 | 1.2% |
| 14 | Manchester ¹⁹ | £ 3,000.00 | 0.4% |
| 15 | SPRI ²⁰ | £ 1,400.00 | 0.2% |
| | RIIA ²¹ | - | - |
| | Total | £ 708,791.00 | 100.0% |

Chart 1 – REES Acquisition Expenditure 2004-2005 – Note that the numbers refer to the same institutions as in the above table



¹⁷ The BL figure does not include serials or REES material in languages other than Slavonic and East European languages.

¹⁸ The Cambridge figure does not include serials – because the institution does not currently configure its management information in a way that makes it easy to extract such data;

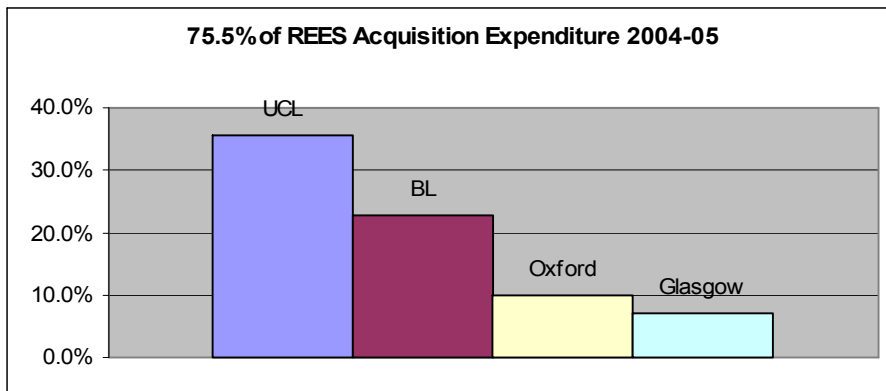
¹⁹ The Manchester figure does not include serials – because the institution does not currently configure its management information in a way that makes it easy to extract such data;

²⁰ The figure used for SPRI is their budget figure for 2005-06 rather than their expenditure figure for 2004-05, which they did not provide.

²¹ RIIA do not have the resources to analyse their acquisitions by subject areas.

2.10 According to these figures, three quarters of the total acquisition expenditure on REES is down to 4 institutions – UCL (SSEES), the British Library, Oxford and Glasgow, as shown in the following chart:

Chart 2 – REES Acquisition Expenditure 2004-2005 of 4 main contributors



2.11 Only 2 of the 3 main HE contributors – UCL and Glasgow – have made acquisition commitments. Oxford felt that they could not make the financial commitment required by CoFoR because if they agreed to commit to ‘maintaining levels of acquisition in Russian, Czech and Slovak history’ as suggested in the CoFoR proposal, significant cuts would have to be made to other subject areas, which would very soon lead to a situation in which the Bodleian would not be able to respond to local university requirements.

2.12 It is likely that the specific acquisition commitments made by UCL and Glasgow – the issue does not arise with the BL as their commitment covers all areas ‘to the extent that funding allows’ – represent only a small or very small proportion of their overall REES acquisition budgets, as suggested by this table:

Table 5 – Collecting scopes versus acquisition commitments

| UCL (SSEES) - £ 252,119 (i.e. 35.6% of the Partnership’s overall REES acquisition expenditure) | |
|---|--|
| Collecting Scope (by subject) ²² | Acquisition Commitments |
| <p>The languages, culture, literature, history, social sciences (politics, economics, sociology and geography) and bibliography of the countries above [Russia, the whole of the former USSR (for history and the social sciences), Ukraine, Belarus, Finland, Poland, Czech Republic, Slovakia, Yugoslavia and its successor states, Hungary, Romania, Bulgaria, Albania, Estonia, Latvia, Lithuania, the former GDR (for history, politics and economic life)]. The broadest and deepest collecting relates to Russia, particularly its history, politics, language and literature. Material on philosophy and religion, art and architecture, cinema and theatre, minorities, the media and the environment is also collected in greater depth in relation to Russia than to other countries.</p> <p>The collections on the Czech Republic and Slovakia, Poland and Ukraine are smaller but very significant nationally in the core areas of history, literature and language, politics and economics, with subsidiary subjects covered where is being</p> | <ul style="list-style-type: none"> • C19 Russian literature • Albanian studies • Romanian studies |

²² As described in the Policy Statements available at http://www.cocorees.ac.uk/coll_temp.html

| | |
|---|--|
| <p>carried out at SSEES.</p> <p>The collections on South-Eastern Europe are being increasingly developed in a growing range of subjects in collaboration with the School's Centre for South-East European Studies.</p> <p>Collecting for other countries is of research level in the library's main fields of interest but much less extensive, if active at all, in subsidiary fields of interest (see below).</p> <p>Subsidiary fields of interest are the arts in general, demography, ethnography and religion, some of which assume greater importance for particular countries (see above). Folklore (oral tradition) is collected as part of literature.</p> <p>Leading daily and literary newspapers are acquired. Coverage of official publications is very selective except for more regular representation of constitutional documents, statistics, official reference publications and bibliographies.</p> <p>Reference books and textbooks are collected to support undergraduate teaching of western European history, the history of political ideas, sociology, economics and linguistics, and literary theory.</p> <p>Archaeology and Law are not collected in depth in view of collections elsewhere at UCL. In Byzantine studies the library acquires only works on Byzantine-Slav relations and some on the Balkans. It does not collect descriptive material on the minor Finno-Ugrian languages or other non-Slavonic languages of the former USSR. Natural sciences and technology are not collected except for a very limited amount on their history. Musical scores and sheet maps are not currently acquired by SSEES but by the University of London Library.</p> | |
| Glasgow - £49,884 (i.e. 7% of the Partnership's overall REES acquisition expenditure) | |
| Collecting Scope (by subject) | Acquisition Commitments |
| <p>Russian/Soviet domestic & foreign policy; Cultural politics & social change in post-Soviet Russia; Gender in Russia / USSR; Russian and Soviet history (incl. Russian Revolution; cultural history); Russian language, including for social scientists; Russian literature; Russian/Soviet economy; Russian/Soviet media & censorship.</p> <p>The Baltic States (statehood, nationality, identity)</p> <p>Polish politics; Polish history; Polish language, including for social scientists; Polish literature; Polish media and censorship; Polish education.</p> <p>Czech history and politics; Czech language and literature; Czech media.</p> <p>Central and E European politics; History of Central and E Europe; Economic and social history of Central and E Europe 1918-1989; Nationalism in Central and Eastern Europe; Gender in Central and Eastern Europe; Central and East European culture; Geography and peoples in Central and Eastern Europe; Media (inc. cinema) in Central and Eastern Europe; Political economy of contemporary Central Europe; Literature, politics and society in 19th century Central and E Europe; Civil society and the state in Eastern and Central Europe.</p> <p>Communist and post-Communist politics</p> <p>Microfilm (or other suitable) editions of previously closed Soviet archives, maintenance of nationally important Russian and Eastern European newspaper collection</p> | <ul style="list-style-type: none"> • Baltic studies • Russian & Soviet censorship • Trotsky |

2.13 The above highlights two major limitations of the scheme as far as acquisition commitments are concerned:

- As the libraries' collecting efforts in each subject area within REES is not transparently quantified – using holdings figures and acquisition budgetary or expenditure figures –, it is impossible to assess the relative importance of collections described with identical or similar terms: e.g. both UCL (SSEES) and Oxford (Taylor Institution Library) hold substantial collections in 19th Century Russian Literature, but how do they compare in size and what is the respective libraries' level of acquisitions in this area²³?
- As the acquisition commitments are not publicised in the same document as the libraries' collection-level descriptions and collecting policies, there is a danger that users – including both researchers and librarians who are not familiar with the ins and outs of the scheme – should wrongly assume that a collection designated for an acquisition commitment has to be greater than a similar collection that has not been designated for an acquisition commitment: e.g. the fact that UCL (SSEES) has included its 19th Century Russian Literature collection in its acquisition commitments does not necessarily mean that it is greater than the 19th Century Russian Literature collection held at the Taylor Institution Library (Oxford having made no acquisition commitments)²⁴.

The Desiderata List

2.14 CoFoR-REES has also produced a *National Desiderata List for Russian and East European Studies*, compiled in partnership with COCOREES and BASEES²⁵. The Desiderata List contains expensive resources recognised as being of great importance for REES research work which libraries cannot afford to purchase. It contains 31 large sets of microforms amounting to ca. £673,000 in all and 9 e-publication subscriptions amounting to ca. £41,000 in all per annum²⁶, both figures amounting to a total of ca. £714,000, which is roughly equivalent to the total amount of REES acquisition expenditure across the Partnership in 2004-05 (£708,791).

2.15 Negotiations conducted in the course of the project with ProQuest and Thomson Gale resulted in proposals that could not be taken up by any of the partners for a number of reasons described in the CoFoR Project Final Report as follows²⁷:

- Only a minority of partners can – in present financial circumstances – afford to participate in the acquisition of major research resources, even at discounted prices.
- In some cases at least, suppliers' offers have translated into prices no lower than individual libraries are already paying.

²³ Oxford have been concerned by the lack of clarity as to the rationale behind the choice of subject areas for some of the commitments suggested by the scheme as these do not necessarily mirror the strengths of the institutions' collections.

²⁴ In fact some 'very rough' estimates, very kindly produced by The Taylor and SSEES libraries for this study (these figures do not formally exist on paper), seem to indicate that the Oxford collection might be larger (ca. 22,000 volumes) than the SSEES one (ca. 15,000 volumes), and, while Oxford did not make an acquisition commitment, it is intent on continuing collecting in this area.

²⁵ This is based on the latest version of the document (dated June 2005) provided by the Project Manager rather than the July 2003 version available on the COCOREES web site at <http://www.cocorees.ac.uk/desiderata.html>.

²⁶ These figures are approximate as some of them were given in £ with VAT, others in £ without VAT, others in Euros and others in \$. Figures in Euros and \$ were converted into £ on 16.03.06.

²⁷ See the *CURL-CoFoR Project Final Report* at <http://www.cocorees.ac.uk/Coforfinalrep02.doc>, p.11

- The administrative costs of switching suppliers may outweigh any savings made on subscription rates.

JISC has confirmed to the Project Manager its willingness to consider recommendations from CoFoR for titles to be added to the list of deals that are negotiated with e-publishers²⁸.

- 2.16 The Desiderata List constitutes what is so far the most specifically articulated identification of gaps in the REES Distributed National Research Collection and consequently a good basis for further nationally co-ordinated collaborative efforts and initiatives.

Impact of the Agreement

- 2.17 The purpose of the survey (see Appendix 2 for detailed analysis) was to assess the impact of the scheme on the partner libraries' collection management (CM) policies in REES – including tangible outcomes in terms of withdrawals, subscription cancellations, transfers, space savings, financial savings and acquisitions that have resulted from the scheme – as well as the partner libraries' overall perception of the usefulness of the scheme. As the evaluation study began only eighteen months after the Agreement was signed by the partners, it was decided to evaluate the impact:
- Which the scheme has made so far;
 - Which the scheme has made on the CM decisions taken by partner libraries for the next two years – i.e. 2006/07 – 2007/08;
 - Which the partners anticipate the scheme will have during the second part of the ten-year Partnership, i.e. over the period 2008/09 – 20013/14.

Impact so far

- 2.18 7 partner libraries said that the scheme had already made an impact on their CM decisions. In the case of 5 of these libraries (Bristol, Glasgow, Leeds, Nottingham and UCL) this has taken the form of agreed transfers in or out. The two other libraries made a statement about the general impact of the scheme, Birmingham confirming that they 'have not / will not withdraw stock in subjects designated for retention and have / will protect uniquely held journal titles'; and the BL making the point that the scheme 'had added weight to its case for continuing collecting in areas where the scheme has identified it as the sole or lead collecting institution (especially language-based area studies where the BL has to back up provision for proposed centres of excellence)'.
- 2.19 The overall volume of withdrawals, subscription cancellations, transfers²⁹, space savings, financial savings and acquisitions resulting from the scheme so far is however negligible, as shown in the following table:

²⁸ There was also some negotiation over *World News Connection (WNC)* with East View. However the CoFoR negotiation was overtaken by events with Oxford and UCL (SEESS) eventually including WNC in a global figure for a package of East View products.

²⁹ An additional transfer involving several runs of 10 Russian-language journal titles was organised in September 2005 from Portsmouth University Library – not a CoFoR-REES partner or associate – to 5 HE libraries including 3 CoFoR-REES partners (Birmingham, Glasgow and Bristol) and 2 non-CoFoR-REES partners or associates (Durham and Keele). The other 30 titles that Portsmouth needed to dispose of – their Russian courses having been discontinued – were already held by at least two other UK libraries.

Table 6 – Tangible outcomes over the first 18 months of the scheme

| | Over the first 18 months of scheme |
|---|--|
| Withdrawals | 300 monographs and 10 serials runs |
| Subscription cancellations | 10 titles |
| Transfers in and out (figures counted only once) | 130 monographs and 2 serials runs |
| Space savings | 25 linear meters |
| Financial savings | £3,000 (from cancellation of serials) |
| Acquisitions | <ul style="list-style-type: none"> Bristol have been able to concentrate on building up their collection of Czech and Slovak films as a result of not having to purchase the material donated by Leeds; RIIA have used the money saved from their 2 subscription cancellations to reinstate other serials; |

Impact on decisions taken for the next two years

2.20 7 partner libraries said that they had taken decisions / made plans for the next two years – i.e. 2006/07 – 2007/08 – in the light of their participation in the scheme. There is not an exact overlap between this group and the group who said the scheme had already had an impact:

- Birmingham, BL, Leeds, Nottingham and UCL answered positively to both questions;
- Bristol and Glasgow were involved in transfers during the first 18 months but answered negatively to the second question;
- 2 libraries, which answered the first question negatively – RIIA and SPRI – said yes to the second question.

2.21 The 7 libraries which positively answered the question describe their decisions as follows:

Table 7 – Decisions taken for the next two years of the scheme

| | Acquisition | Withdrawal/ Possible Transfer | Serials |
|------------|---|---|---|
| Birmingham | Increased acquisitions of monographs on economic, industrial and social history of Russia, USSR and former Soviet Union | Russian literary material no longer needed for learning or research; out-of-date language-learning materials in Russian and East European languages | Will review of serials duplicated by other partners |
| BL | More formal and systematic discussion and cooperation over large and expensive purchases (e.g. microform sets and subscriptions to e-resources) | | |
| Leeds | To maintain current level of purchasing on Siberia as agreed in scheme although their Siberian specialist has now retired | | |
| Nottingham | | Scheme will impact on relegation exercise and sequence of events in | |

| | | | |
|------|--|--|---|
| | | decisions about withdrawal of material | |
| RIIA | | | Have reviewed their serial holdings and re-instated subscriptions to some titles which had lapsed |
| SPRI | | | Have reviewed their serial holdings and decided to focus on material relevant to their regional interests |
| UCL | | Are considering transferring some less used material to the BL | |

2.22 Only a few respondents volunteered some figures for the next two years. There is a noticeable increase in the volume of transfers, which however remains minimal in terms of the overall picture and originates mainly from one institution, as shown in the following table:

Table 8 – Anticipated outcomes over the next two years of the scheme

| | Anticipated over the next 2 years |
|-----------------------------------|--|
| Withdrawals | 4,100 monographs (4,000 at Birmingham and 100 at Nottingham); small numbers of serials runs (Birmingham, Nottingham, RIIA) |
| Subscription cancellations | Cannot predict |
| Transfers out | 5,000 monographs to be offered for transfer: Birmingham (4,000), Bradford (500), Leeds (225), Nottingham (275); |
| Space savings | 200 linear meters (Birmingham) |

Anticipated impact over the period 2008/09 – 20013/14

2.23 8 partner libraries said the scheme would have an impact on their CM decisions over the period 2008/09 – 20013/14, as follows:

Table 9 – Anticipated impact of the scheme over the period 2008/09 – 20013/14

| | Acquisition | Withdrawal/ Possible Transfer | Serials |
|--------------------------------------|---|---|---|
| Birmingham (As 2006/07 – 2007/08) | Increased acquisitions of monographs on economic, industrial and social history of Russia, USSR and former Soviet Union | No longer needed Russian literary material; out-of-date language-learning materials in Russian and East European languages | Will review of serials duplicated by other partners |
| Bradford | | Highly likely to withdraw a significant number of REES material and offer them for transfer while maintaining their commitments | |
| BL | (As 2006/07 – 2007/08) More formal and systematic discussion and cooperation over large and expensive | | Some rationalisation of holdings of serials / official publications, possibly involving |

| | | | |
|---|--|---|-----------------------------------|
| | purchases (e.g. microform sets and subscriptions to e-resources) | | withdrawal / transfer of material |
| Glasgow (if university priorities do not change) | More consultation on purchase of expensive materials | More transfers from partners | |
| Leeds | It is assumed that Leeds will continue to maintain current level of purchasing on Siberia as agreed in scheme although their Siberian specialist has now retired | Hope to offer Bulgarian & Ukrainian material for transfer, which would free a substantial amount of space, but the academic department still needs to be convinced (although there is no current planned research and teaching in these subjects) | |
| Nottingham | | Most of the relegation exercise to be completed by then but space constraints will probably mean on-going need to withdraw material | |
| SPRI | Will avoid duplication of material marginal to their core interests (to be redefined) especially in relation to Cambridge University Library | | |
| UCL | | SSEES Library likely to be full within the next few years; so need to focus more precisely on School's teaching & research needs; likely to lead to transfer from and to other partners; | |

2.24 However, only Birmingham quantified withdrawals, transfers, space and financial savings for the last six years of the scheme:

Table 10 - Anticipated outcomes over the period 2008/09 – 20013/14

| | Anticipated by Birmingham over the period 2008/09 – 20013/14 |
|--------------------------|--|
| Withdrawals | 2,500 monographs |
| Transfers out | Same as withdrawals |
| Space savings | 100 linear meters |
| Financial savings | £2,500 |

2.25 Bradford said they may have to make a block offer for transfer as a result of possible drastic changes in teaching and research and RIIA may offer for transfer – if they can afford to organise it – the items published in 1965-75, which they intend to withdraw regardless of the scheme.

2.26 The scope of the decisions that have not been quantified is likely to vary a great deal and it is not easy on the basis of this survey to assess their impact in terms of the REES Distributed National Research Collection. As far as HE libraries are concerned, the decisions made by Birmingham are those which are the most likely to have the greatest impact in terms of acquisition, and the Leeds decision to continue collecting

in Siberian studies is interesting inasmuch as it shows that the scheme can result in some local decisions being influenced by the national picture.

- 2.27 5 partner libraries – Bristol, Cambridge, Manchester, the NLS and RIIA – said they could not anticipate the impact of the scheme on their CM decisions over the last six years of the scheme. 3 partner libraries – Essex, LSE and Oxford – said they anticipated the scheme to have little or no impact on their CM decisions (but would be happy to consider transfers in).

Overall usefulness of the scheme

- 2.28 The responses to the questions as to the usefulness of the scheme for making decisions on retention, withdrawal / transfer and acquisition of REES materials clearly indicate that the scheme is perceived as being particularly useful for transfers, as shown by these figures:

Table 11 – Overall usefulness of the scheme

| Has the scheme made it easier / will the scheme make it easier for your library | No. of libraries that said YES |
|---|---------------------------------------|
| 1. To decide which of its REES material needs to be retained? | 6 |
| 2. To decide which of its REES material needs to be withdrawn or transferred (e.g. for space saving)? | 10 |
| 3. To commit to some or to further acquisitions responsibilities? | 4 |

- 2.29 The reason given for the scheme's lack of impact on retention decisions is that the institution has a total or near-total retention policy. However it is interesting to note that 4 institutions (Glasgow, Nottingham, Oxford and RIIA) also indicated that the need might arise in the future to introduce a more selective retention policy because of space and/or acquisition budget constraints and that the scheme will then make it much easier to make responsible local decisions. Cambridge, which said that the scheme would not help to make retention decisions – because they have a policy of near-total retention – also said that the scheme might possibly help them to decide what material to withdraw / transfer – which might be a reflection of Cambridge's increasing concerns about space shortages and financial constraints. The BL said the question was not applicable to them, but indicated in another section of the questionnaire that it might consider some rationalisation of holdings of serials and official publications (legal gazettes via the FLARE initiative³⁰) that may involve the withdrawal / transfer of material. So only 4 libraries believe that the scheme would not help them to decide what needs to be retained or withdrawn / transferred.
- 2.30 The reason given for the scheme's lack of impact on acquisition decisions is in the case of HE libraries that acquisitions have to meet the needs of researchers at institutional level and in the case of the BL – as will transpire from the draft of their new collection development policy to be soon submitted for public consultation – that in its capacity as a national library it has the mission to build consistent collections for both preservation and access to all researchers. However, in addition to the 4 libraries which said that the scheme would help to commit to further acquisition responsibilities, another 5 – Bristol, Glasgow, Leeds, Nottingham and Oxford – said it may be the case in the future. And, while the BL does not want to be or to be seen as a mere back-up for HE research libraries, it is aware that acquiring all that is published is impossible and is therefore keen on liaising with other research libraries to maximise the UK-wide coverage of research collections.

³⁰ See section 3.14 of this document

2.31 It is also important to stress that all but two respondents made explicit positive comments about the scheme, which can be summarised as follows:

- The scheme has raised general awareness of UK research libraries' respective collecting strengths and priorities in REES and, in some cases, has made it easier for librarians to discuss CM policies with academics;
- It provides a framework for making difficult retention decisions in a more rational and nationally responsible way as it makes it possible to withdraw / transfer material with the knowledge that no unique or rare items will be lost and that small scattered collections can be brought together in one place, thus making the idea of disposing of material more palatable to academics;
- It provides a framework for making difficult acquisition decisions in a more rational and nationally responsible way as it makes it possible to fine-tune acquisition practices and, if necessary, reduce purchases of 'marginal' material that is 'core' material in other institutions;
- It provides a framework for the compilation of a Desiderata List identifying major collecting gaps – i.e. expensive but important research resources that no research library can afford – which constitutes a basis for nationally coordinated acquisition efforts and initiatives;
- This framework is likely to become increasingly important as research libraries across the country and in all sectors experience more and more space shortages and budgetary constraints.

Costs and sustainability

2.32 The survey analysis shows that the cost of the scheme to the institution has so far remained a non-issue. Respondents either did not have much to say about it or explicitly said that the cost to the institution had been small. 5 institutions produced figures ranging from £500 to £1,525. 3 libraries gave an indication of staff time (from 1 to 3 days).

2.33 Interestingly, some respondents pointed out that some of the activities listed in the Costs section of the questionnaire – e.g. CM policy statements or liaison with academics – were within the normal job remit of the staff concerned and therefore should not be included in the costs incurred for participating in the scheme. Data gathering was also described as a routine activity by some.

2.34 It is however important to note that the transfers have so far involved small quantities of items, the partner institutions have been asked to produce only high-level acquisition and expenditure data and some of them just did not produce the data which they could not readily provide (e.g. for REES serials or material in languages other than Slavonic and East European languages).

2.35 The sustainability issue as far as the partner libraries are concerned rests only with the provision of central funding for the retention of a part-time Scheme Administrator post, which is deemed essential for the scheme to keep going³¹.

³¹ The British Library, UCL and COSEELIS have recently agreed to contribute £500 each towards a part-time CoFoR-REES Scheme Administrator, pending further decisions by RIN and CURL. This will make it possible to gather the latest data for REES accessions and expenditure, to record changes in

Conclusions

- 2.36 The element of the scheme that has so far shed the greatest light on possible future directions for the collaborative management of the REES Distributed National Research Collection is the work done on transfers and the identification of collecting gaps rather than the work done on retention and acquisition.
- 2.37 The work done on transfers is significant not so much because of the actual number of transfers already carried out or envisaged for the next two years but because it has resulted in all partner institutions but one (a specialised library) identifying a substantial number of subject areas where they are committed to accepting transfers from other institutions for the whole length of the Partnership. This list of subject areas for possible transfers is considerably more indicative of the partner libraries' collecting strengths and priorities than the list of retention commitments, nearly 60% of institutions – including the largest repositories – having just stated their current policies of 'near-total' retention.
- 2.38 It is also revealing that to the questions as to the usefulness of the scheme for making decisions on retention, withdrawal/transfer and acquisition of materials, the greatest number of respondents – 10 – should have answered that the scheme had made it easier to decide what material to withdraw/transfer (as opposed to 6 for retention and 4 for acquisition). At least a third of the partners are considering transferring material out in the future.
- 2.39 The Desiderata List, which contains 31 large sets of microforms amounting to ca. £673,000 in all and 9 e-publication subscriptions amounting to ca. £41,000 in all per annum, constitutes what is so far the most specifically articulated identification of gaps in the REES Distributed National Research Collection and therefore a basis for nationally coordinated acquisition efforts and initiatives.
- 2.40 10 partner libraries have made acquisition commitments. However, only 2 libraries have agreed to specify the length of these commitments, and there is a substantial number of important subject areas missing in the list of acquisition commitments - e.g. history; politics and government; international relations (beyond relations with England and Scotland); society; 20th and 21st Century literature; and languages – (except in the case of the British Library, which collects in nearly all the categories listed 'to the extent that funding allows'). The list of subject areas for possible transfers is comparatively much more comprehensive. The reason given for the scheme's lack of impact on acquisition decisions is, in the case of HE libraries, that acquisition budgets are not guaranteed from one year to the next and acquisitions have to meet the changing needs of researchers at institutional level.
- 2.41 The additional difficulty when it comes to acquisition commitments is that there is no data indicating the level of acquisition in the designated subjects (the nature of the commitment being to maintain current collecting levels in the subjects stated), which makes it impossible to assess the extent of these specific commitments in quantitative terms. It is all the more problematic because (a) high-level expenditure figures on REES acquisitions reveal wide discrepancies in the partner institutions' overall acquisition efforts in this discipline – ranging from ca. £1,400 to ca. £250,000 a year; and (b) the specific acquisition commitments made by two of the three major HE

collecting policies (including research priorities) and partnership commitments and to facilitate prospective transfers.

- contributors (which together with the BL account for 75% of all REES acquisition expenditure) seem to represent only a small or very small proportion of their overall REES acquisition budgets judging by the discrepancy between the scope of their collecting policies and that of their commitments.
- 2.42 Furthermore, as the acquisition commitments are not publicised in the same document as the libraries' collection-level descriptions and collecting policies, there is a danger that users – including both researchers and librarians who are not familiar with the ins and outs of the scheme – may wrongly assume that a collection designated in the scheme of acquisition commitments is necessarily greater than a comparable collection that has not been designated for an acquisition commitment.
- 2.43 7 partner libraries said that the scheme had already made an impact on their CM decisions and that they had taken decisions or made plans for the next two years in the light of their participation in the scheme. However, quantifiable outcomes in terms of withdrawals, subscription cancellations, transfers, space savings, financial savings and acquisitions having resulted from the scheme have so far been negligible. The data provided by the partners in terms of what has already taken place and what has so far been envisaged for the next two years indicates that by the time the scheme will have been in its fourth year, the number of withdrawals and therefore items offered for transfer may be around 5,000 (possibly including a few serials runs). The number of subscription cancellations cannot be predicted and therefore neither can be the amount of financial savings, as 'visible' financial savings are more likely to result from the cancellation of subscriptions.
- 2.44 8 partner libraries think the scheme will have an impact on their CM decisions over the period 2008/09 – 20013/14, but as a rule cannot quantify what this impact may be. Some of the examples given however indicate that the effect of these decisions on the REES Distributed National Research Collection is likely to vary a great deal from one institution to the next. 5 partner libraries said they could not anticipate the impact of the scheme over this period and the remaining 3 libraries expect the scheme to have little or no impact on their CM decisions (but would be happy to consider transfers in).
- 2.45 The costs of the scheme to the institutions have been very small. The 5 institutions which actually produced some data quoted figures ranging from £500 to £1,525. Some respondents pointed out that some of the activities required by the scheme – e.g. CM policy statements, liaison with academics and data gathering – were within the normal job remit of the staff concerned. A couple of respondents referred to pressure on staff time that can slow down some aspects of the implementation of the scheme, e.g. the organisation of transfers.
- 2.46 It is however important to note that the transfers have so far involved small quantities of items, the partner institutions have been asked to produce only high-level acquisition and expenditure data and some of them did not produce the data which they could not readily provide (e.g. REES serials or material in languages other than Slavonic and East European languages).
- 2.47 There is a feeling that the scheme has yet to come into its own and is likely to grow in importance over time. All but two respondents made explicit positive comments about the scheme, which can be summarised as follows³²:

³² Durham' and Edinburgh's decisions not to join CoFoR-REES must not be interpreted as a rejection of the scheme by these institutions. Durham did not feel they could make any commitments about their REES collections while the restructuring of their East-Asian department was under discussion; Edinburgh thought their REES budget was too small for them to be able to make any significant

- The scheme has raised general awareness of UK research libraries' respective collecting strengths and priorities in REES and, in some cases, has made it easier for librarians to discuss CM policies with academics;
- It provides a framework for making difficult retention decisions in a more rational and nationally responsible way as it makes it possible to withdraw / transfer material with the knowledge that no unique or rare items will be lost and that small scattered collections can be brought together in one place, thus making the idea of disposing of material more palatable to academics;
- It provides a framework for making difficult acquisition decisions in a more rational and nationally responsible way as it makes it possible to fine-tune acquisition practices and, if necessary, reduce purchases of 'marginal' material that is 'core' material in other institutions;
- It provides a framework for the compilation of a Desiderata List identifying major collecting gaps – i.e. expensive but important research resources that no research library can afford – which constitutes a basis for nationally coordinated acquisition efforts and initiatives;
- This framework is likely to become increasingly important as research libraries across the country and across sectors experience more space shortages and budgetary constraints – several respondents who said that the scheme did not impact on their retention decisions because they have a policy of near-total retention also said that the need to have a more selective retention policy might arise in the future and that the scheme will then make it much easier to make responsible local decisions.

commitments. Edinburgh have recently included the CCM concept in their reviewed Library Collection Policy, are involved with the CASS initiative and have recently accepted a couple of transfers (Japanese studies and classics) from two other Scottish university libraries.

3 Evaluation of the CoFoR Methodology

3.1 The CoFoR methodology has been formally described in the *Collaborative Collection Management Toolkit*³³ produced by the CoFoR Project, whose brief was to devise a CCM scheme that could be extended to a variety of subject areas, CoFoR-REES being only a test bed for it. It however quickly became apparent, while discussing the transferability of CoFoR-REES to other disciplines in the meetings that were held in connection with this study, that the debate to be had was about the political/financial and cultural context in which the CoFoR Agreement has to operate rather than about the minutiae of the Toolkit document. This section will therefore discuss the CoFoR methodology in this sequence:

- Drivers that influence the CM decision-making process in HE research libraries and their implications as to the methodology required for CoFoR;
- Management issues;
- Identification of the subject areas that are more likely to benefit from CoFoR;
- Assessment of the CoFoR Toolkit document;

The discussion will also take the other CCM initiatives listed in section 1.4 of this document into account.

Drivers, culture and incentives

3.2 There is an overwhelming view amongst HE library managers and representatives of subject-specific library groups that the CoFoR Agreement can only be a starting point in any extension of the scheme to other subject areas because it would have to be discussed and negotiated with each relevant faculty in each of the partner institutions in the same way as CoFoR-REES was. The discussion would not have to take place only over Schedule B – where the exact retention, transfer and acquisition commitments of the institution are listed – but also over Schedule A, which stipulates the main principles of the scheme, because (a) most academics are still unfamiliar with the concept of cross-institutional sharing of collecting responsibilities and, when they are introduced to it, are reluctant to embrace the implications of their institutional libraries' declining purchasing power and space shortages; and (b) academics and university senior management operate in a competitive environment, which is not conducive to cross-institutional collaboration.

3.3 HE librarians' primary responsibility is to provide their own academics and students with electronic or local (i.e. at the institution) physical access to the widest possible range of information resources relevant to the institution's specific teaching and research priorities. The drivers behind these libraries' participation in a scheme like CoFoR therefore tend to be 'negative factors' – i.e. limited purchasing power and increasing space shortages. To put it crudely, HE libraries are more likely to engage in what has been referred to as 'deep resource sharing' when this type of collaboration is the only way for them to enhance access to research information which their researchers need but which they cannot themselves afford to purchase and/or retain.

3.4 The fact that HE libraries have to tailor their acquisition policies and practices to their institutions' research strategies – which evolve within a competitive environment encouraged by government policies – makes the co-ordination of collecting efforts across libraries to secure the most comprehensive possible Distributed National Research Collection difficult, as what makes sense locally – e.g. stopping collecting, say, in Iranian studies because it is no longer one of the institution's research interests – does not necessarily makes sense nationally – if the institution's Iranian collection happens to be the most substantial one in the country. Nevertheless the economic

³³ See at http://www.cocorees.ac.uk/docs/COFOR_Toolkit.doc

drivers are there, even if budgetary constraints and space shortages are experienced to different levels and in different subject areas by the different libraries. The survey analysis recently carried out for the CURL-BL Storage consultancy study has revealed that 92% of CURL senior managers see space shortage as a high priority issue – 71% of them also saying that their university senior managers share their concerns – and 54% said that they were considering substantial disposals of stock. The following table extracted from the storage survey analysis gives an indication of the scope of the problem³⁴:

Table 12 – Space shortage statistics

| Summary of Main Points – Part 1, Question 4 – Space shortage statistics (in linear km) | | | |
|--|-----------------------------------|--------------------------------------|--|
| Storage space shortage is a particularly acute problem in CURL libraries and, albeit to a lesser extent, in municipal libraries. | | | |
| Estimated Space Shortage in Linear Km - approximate and conservative figures (some unknowns and no NLS figures) | | | |
| | CURL libraries (24 in all) | Other HE libraries (9 in all) | Large Public libraries (4 in all) |
| Estimated shortage now | 32.00 | 0.00 | 8.00 |
| Estimated shortage, 2005-2010 | 102.00 | 7.50 | 6.00 |
| Estimated shortage, 2010-2015 | 104.00 | 5.00 | 6.00 |
| Total | 238.00 | 12.50 | 20.00 |

- 3.5 These concerns are shared by the HE legal deposit libraries, which, as transpired from discussions held with some of their staff within the context of this study, seem to find it increasingly difficult to resolve the tension between their national and local (institutional) roles both in terms of acquisition budgets (for non-UK publications) and storage space. It is unclear whether the large storage facility which Oxford are currently planning will resolve the University’s storage space shortage for as long as the originally predicted 20 years or so. Cambridge University Library is in the process of investigating ways of rationalising its storage space.
- 3.6 An acknowledgement of the economic drivers behind HE librarians’ increasing interest in ‘deep resource sharing’ as a means of finding solutions to increasingly inadequate institutional storage space and purchasing power is however insufficient to ensure that cross-institutional collaboration of this kind materialise. There is a need to generate a cultural change – by means of a high-level advocacy campaign backed by a system of targeted financial incentives – so that the ‘negative’ financial drivers can produce new innovative ways of collaborating.
- 3.7 There are two main issues that any CoFoR type of initiative will need to tackle in order to maximise the impact of the scheme.

³⁴ Survey analysis commissioned from MPD Consultancy by CHEMS Consulting for their study *Optimising Storage and Access in UK Research Libraries* co-funded by CURL and the British Library, pp. 12, 15 and 23.

3.8 The first issue is the complexity of co-ordinating disparate and competing collecting policies and practices into a national framework sufficiently flexible to accommodate evolving institutional priorities yet capable of guaranteeing the development and retention of the most comprehensive possible Distributed National Research Collection for the benefit of all UK researchers. The evaluation of CoFoR-REES in section 2 of this document suggests that the CoFoR methodology as developed so far may be better at delivering the *flexibility* than the *comprehensiveness*. This is not to dismiss the achievements of the scheme – it is unlikely that HE libraries would have currently agreed to sign up to a scheme showing a lesser degree of flexibility – but rather to highlight how it could be improved. This would involve:

- Narrowing the information gap between high-level acquisition, expenditure and budgetary data and the identification of specific collecting efforts (e.g. what does it mean when Institutions A and B both say they are collecting in Russian economics ‘to research level’? Even estimates would be helpful.) – rather than insisting on formal acquisition commitments, which HE libraries are not in a position to give as their budgets are not guaranteed from one year to the next and they have to serve a constituency of users whose research priorities are partly defined by the inconsistencies of the competitive environment in which they are expected to operate.

A more sophisticated and transparent³⁵ cross-institutional data-gathering methodology to inform CCM decisions at both local (institutional) and national level is however unlikely to be developed without the injection of some central funding – CoFoR-REES did not seek to gather more detailed data because the Project Management Team knew that most institutions would not have it and subject-specific library groups, such as COSEELIS, do not have the resources to carry out this kind of exercise. Comments made in the meetings conducted for this study indicate that libraries might be prepared to do more work on data but only as long as the additional work produces clear benefits to the institution.

- Devising a system of incentives (if only match-funding) aimed at ensuring that research libraries continue to preserve, develop and provide wide access to major research collections recognised as being of national significance by CoFoR when these collections are no longer essential to support the research priorities of their institutions. The process of selection would be along these lines: say CoFoR library A decides to stop collecting in Chinese Studies because the subject is no longer a research interest at the university, CoFoR would (a) assess the significance of the collection; (b) if the collection is deemed unique and of national significance, CoFoR would ask other CoFoR libraries already collecting or wishing to start collecting in Chinese Studies if they were interested in having the collection transferred to them; (c) If there is another CoFoR library interested in having the collection transferred to them for further development within the context of their current collecting policy, library A would be invited to transfer the collection to them; (d) if no other CoFoR library were interested in accepting a transfer, CoFoR would invite library A to accept a CoFoR grant to continue to develop the collection for the research community as a whole.

3.9 The second issue is the complexity of advocating the cross-institutional sharing of collecting responsibilities – necessitated by research libraries’ limited purchasing power

³⁵ Transparency does not necessarily mean that the data should be available on the CoFoR web site – a move that library managers are likely to resist because financial data without a context can be misleading –, but the data would have to be made available to the scheme administrator and within the partnership to inform both national and local (institutional) decisions.

and storage space – to institution-based researchers who traditionally expect their own institutions' libraries to collect 'to research level' in areas where they are researching – an expectation reinforced by the competitive academic culture fostered at government and institution levels. The limited commitments made by the CoFoR-REES partner libraries and the reasons they gave – in both the survey and the meetings – for their cautious support of the scheme all point to the same conclusion that HE librarians will feel comfortable with the 'deep resource sharing' agenda only when both their customers – i.e. the researchers – and their employers – i.e. university senior managers – recognise the need for it. This will require the formulation and implementation of a high-level nationally co-ordinated advocacy campaign targeted at researchers and senior university managers to promote the CoFoR framework and articulate the way in which the various currently discussed CCM initiatives, including CoFoR, are interconnected with one another, in particular: CoFoR for the sharing of retention and collecting responsibilities; the National Research Reserve (NRR) and the co-ordination of digitisation efforts (including safe e-repositories) - in addition to transfers and reduced de-duplication via CoFoR - for alleviating physical space shortages; consortial deal negotiations with e-publishers to maximise the use of acquisition budgets, encourage a full move to e-journals, which in turn, combined with the setting-up of safe e-repositories, will alleviate physical space shortages.

Management issues

- 3.10 Discussions with the CoFoR-REES Management Team and subject-specific library groups indicate that neither the high-level advocacy work – low-key piecemeal initiatives are unlikely to produce the cultural shift necessary to secure the support of increasing numbers of researchers at institutional level – nor the setting-up and maintenance of the various subject-specific schemes are likely to take place within a reasonable timescale or at all without some additional resources because:
- Library budgets are so tight and pressure on staff is so great that local priorities will always take precedence over sustained CCM efforts if there is no CoFoR office to keep the momentum going and fulfil a number of tasks including: negotiating and updating commitments, gathering and updating data, facilitating transfer decisions, co-ordinating and acting on the Desiderata List;
 - Subject-specific library groups do not have the necessary resources to hire someone to do the work; nor do they have the time to do it themselves as these groups are composed of institution-based subject librarians whose time is limited – their contributions will however be essential because of their expert knowledge of the collections, their direct links with the institutions and academics and the cross-institutional network they have established.
- 3.11 This is not to say that each subject-specific scheme needs its own CoFoR officer. It is possible to estimate on the basis of the work done by CoFoR-REES that one full-time CoFoR officer would be able to assist subject groups in setting up and maintaining a dozen or so subject-specific schemes (see section 4 of this document for details).
- 3.12 The creation of one dedicated CoFoR post would also minimise the risk of duplication of effort in the area of advocacy and data collection, while ensuring that the framework remains light-touch – a concern repeatedly voiced in the discussions held in the course of this study – as the CoFoR officer would work in partnership with the subject groups responsible for the schemes.
- 3.13 If there is no nationally funded and co-ordinated framework, collaborative efforts will continue – especially via the subject-specific library groups and in the form of small-

scale bilateral agreements between libraries –, but the process will remain slow and haphazard and will not amount to a coherent national strategy.

Extension to other subjects

3.14 Judging by the responses to question 17 in the questionnaire and comments made in the meetings, there seems to be a widely shared view amongst librarians that further CCM initiatives within the CoFoR framework should concentrate on:

- Overseas publications, as UK publications are systematically collected by the British Library and the HE legal deposit libraries – as long as it does not result in the physical separation of UK and overseas publications on the shelves;
- ‘Beleaguered’ areas, i.e. subject areas that are particularly threatened by UK-wide changes in teaching and research priorities, e.g. West European languages and literatures;
- ‘Smaller areas’, also referred to as ‘area studies’, e.g. Asian, African, Latin American, REES studies or Foreign Law because:
 - It is easier to identify - for consultation purposes - academics with a good knowledge of these collections across the country (where do you start with Economics or History?);
 - There is a concentration of overseas publications in these areas;
 - As one of the interviewees pointed out, ‘there are enough “small areas” to make it worthwhile’;
 - There already are subject-specific library groups with an expert knowledge of these collections, some of them long-established and already engaged in collection mapping, in particular: *Note that the following does not claim to be a comprehensive list of organisations or activities:*

Table 13 – CCM initiatives of subject-specific library groups

| Subject-specific Library Groups | CCM initiatives/links with relevant projects and Interest in CoFoR |
|--|---|
| ARLIS - Art libraries | http://www.arlis.org.uk/ |
| CCM initiatives / links with relevant projects | <ul style="list-style-type: none"> • See arlis.net at http://www.arlis.net/ (developed with RSLP & BL CPP funds) providing access to: <ul style="list-style-type: none"> - Directory of Resources (no collecting policies or acquisition figures) - Periodicals Database, maintained by the NAL, which has developed an automated way of generating lists of unique serials titles from the Database (by title only, not at volume or holdings level). SUNCAT has been approached to discuss the possibility of having the Database incorporated in SUNCAT - it may be possible to search SUNCAT and connect back to the institutions’ databases to find out about holdings. • So far CCM initiatives within ARLIS have tended to take the form of bi-lateral agreements between institutions that may or may not develop into multi-lateral ones, so the CoFoR approach would be quite novel within this community. • Connection with RSLP HOGARTH Project http://www.courtauld.ac.uk/hogarth/index.html Retrospective conversion of sales & exhibition catalogues with partners contributing collection-level descriptions to arlis-net |

| | |
|--|--|
| Interest in CoFoR | ARLIS may be interested in securing funding for a project enabling them to test the CoFoR methodology on the subject area of art and design, and making use of and building upon their existing infrastructure. |
| COSEELIS - Slavonic and East European Studies | http://www.lib.gla.ac.uk/COSEELIS/ |
| CCM initiatives & links with relevant projects | RSLP COCOREES Project and CURL-CoFoR/CoFoR-REES |
| FLARE - Foreign Law | http://ials.sas.ac.uk/flare/flare.htm - Partnership: BL, Cambridge, IALS, Oxford and SOAS |
| CCM initiatives / links with relevant projects | <ul style="list-style-type: none"> • Regular meetings of FLARE partners • Regular discussions of purchases between IALS and BL • Some sharing of acquisition responsibilities between IALS and SOAS and between IALS and the BL³⁶ • Description and rationalisation of collections of the Official Gazettes of some European countries across the FLARE partnership • Preliminary discussions on allocating primary responsibilities for collecting legal materials from central and east European countries • FLARE and FLAG web sites hosted and maintained by IALS • Connection with RSLP FLAG Project - http://ials.sas.ac.uk/library/flag/flag.htm: <ul style="list-style-type: none"> - Database of Descriptions of Collections held by more than 60 research libraries (no collecting policy statements), updated in 2004 with funding (19.5 staff days' worth) from IALS - List of areas for which materials are being actively collected (first step towards identifying gaps) |
| Interest in CoFoR | FLARE would be interested in exploring the possibility of participating in a CoFoR type of CCM scheme. Law material is as a rule expensive and many HE libraries have had to reduce their acquisition levels significantly over the years with the result that responsibility for maintaining adequate collecting levels has been increasingly resting with the FLARE libraries. A rationalisation of Foreign Law material would therefore benefit the whole library community and ensure better overall coverage of foreign law nationally. Furthermore, law material occupies much shelf space and accumulates at a faster rate than materials in other subject areas since it is largely serials based. When shelf space is at a premium, rationalisation of holdings becomes an important consideration. |
| NCOLR – Orientalist Studies – including: | http://www.bodley.ox.ac.uk/users/gae/NCOLR/NCOLRWEB.htm <ul style="list-style-type: none"> • China Library Group • Hebraica Libraries Group http://www.lib.cam.ac.uk/hebraica/hebraicam2.htm • Japan Library Group http://www.jlgweb.org.uk/introduction.htm • Korea Library Group • Middle East Libraries Group http://www.groups.ex.ac.uk/MELCOM/ |

³⁶ Collecting of foreign legal materials at the BL focuses on extensive acquisition of government documents, especially legal gazettes, primary and secondary legislation issued by the Government Printer and Parliamentary papers and proceedings. The BL does not generally collect commercially produced versions of legislation, codes or case law and has formally agreed with the IALS Library that it will take the lead in these areas for most jurisdictions.

| | |
|---|--|
| | <ul style="list-style-type: none"> • South Asia Archive & Library Group • South East Asia Library Group http://www.bodley.ox.ac.uk/users/gae/NCOLR/salg1.htm • Standing Conference on Library Materials on Africa (SCOLMA) http://www.lse.ac.uk/library/scolma/ |
| CCM initiatives / links with relevant projects | <ul style="list-style-type: none"> • RSLP Mapping Asia Project - http://www.asiamap.ac.uk/index.php <ul style="list-style-type: none"> - Database of Description of Library Collections (ca. 100 libraries / no annual data included) - Database of Newspaper Titles with holdings information (it would probably be possible to draw a list of unique titles from this database) - Both databases regularly updated by project officer (10 hours a month) co-funded by SOAS and NCOLR • RSLP CASBAH Project (Caribbean Studies & History of Black and Asian peoples in the UK) - http://www.casbah.ac.uk/: <ul style="list-style-type: none"> - Description of Library Collections (ca. 400 records) - Database not maintained (see reasons in footnote³⁷) and no further CASBAH collaboration after completion of RSLP, so further CCM initiatives would have to take place within the framework of SCOLMA • SCOLMA : <ul style="list-style-type: none"> - Acquisitions Specialization Scheme (by area and some subjects described in very broad terms, e.g.: Exeter: Ghana; Leeds: Geology) – not systematically updated on a regular basis - In the process of gathering data for a new online edition of their Directory of Libraries and Special Collections on Africa in the UK and Europe – hope to finalise it by the end of the year |
| Interest in CoFoR | <ul style="list-style-type: none"> • The Mapping Asia group is interested in discussing CoFoR further but in the framework of the NCOLR • SCOLMA would also be interested in discussing how they could build on their Acquisitions Specialization Scheme and Directory of Libraries within the context of CoFoR |
| WESLINE - West European Studies – including: | <p>http://www.ulrls.lon.ac.uk/wesline/</p> <ul style="list-style-type: none"> • ACLAIR - Latin American & Iberian studies http://www.aclair.org.uk/ • FSLG – French Studies http://fslg.libr.port.ac.uk/ • GSLG – German Studies http://www.gslg.org.uk/ • ISLG - Italian Studies http://www.bl.uk/collections/wider/italian/italstulib.html |
| Interest in CoFoR | Some members of these groups attended the CoFoR workshop where the CoFoR Toolkit was publicised a few months ago. |

³⁷ The updating of the CASBAH database was not seen as a priority by ICS (the lead institution for the project) for a number of reasons: while Caribbean studies remains a focus for the Institute, UK-based Black history is not; the Institute holds a substantial proportion of the ‘distributed national collection’ for Caribbean studies; the CASBAH database is not comprehensive and therefore unhelpful to identify gaps; the ICS would have to pay the ULCC (University of London Computer Centre) to have access to the database; anything other than reactively responding to updates would require additional staff time. The ICS is however interested in CCM initiatives. For example, it is currently discussing with LSE the possibility of rationalising official publications holdings for Australian / Oceania studies; it is a partner in the SCOLMA Acquisitions Specialization Scheme and intends to set up a Caribbean Studies network in collaboration with the Society of Caribbean Studies with a view, partially, to identifying acquisition gaps.

- 3.15 No one in the responses to the questionnaire or in meetings involving the CoFoR partners suggested medicine or any other scientific discipline for an extension of the CoFoR-REES scheme, even in meetings involving senior managers whose responsibilities are across all disciplines. The general feeling seems to be that the most urgent CCM issues in the SMT disciplines are the collaborative negotiation of consortial or joint subscription deals for the electronic provision of current research information and the creation of safe e-repositories to archive it (thus making it possible to dispose of the hard copy). However, it must be said that none of the meetings involved subject librarians specialised in the sciences and there is no evidence that the CoFoR experiment has been discussed amongst this category of library staff. This is an issue which might need further examination possibly in the context of the Mapping Medicine project³⁸, funded by the Wellcome Trust. The aim of Mapping Medicine was to enable partner libraries to reduce overlap and re-focus their collection activities if appropriate, whilst ensuring the most comprehensive possible coverage of the various subject areas. In addition to the collection analysis performed with the OCLC ACAS software³⁹, a list of Centres of Excellence and broad Collection Development Policies, the Project has produced a very limited CCM Scheme where partners have committed to the concept of transfer within the partnership and to informing partners of any radical changes in their collecting policies. No transfers have so far taken place, the project being on hold because of a lack of funding opportunities for Phase 2.
- 3.16 As shown by Table 13, a great deal of the CCM work achieved by the groups and projects mentioned in this section relates to collection mapping – a fact that will need to be taken into account when examining some elements of the CoFoR CCM Toolkit.
- 3.17 Interestingly, the subject areas identified in the course of this study significantly overlap with two of the four ‘strategically important and vulnerable subjects’ recommended by HEFCE for additional government support, i.e.: Modern foreign languages and Area studies and related languages, including (a) Arabic and Turkish language studies and other Middle Eastern area studies, former Soviet Union Caucasus and central Asian area studies; (b) Japanese, Chinese and other far eastern languages and area studies; studies relating to recent EU accession countries, especially those in Eastern Europe and the Baltic (which includes new accession countries such as Bulgaria and Romania scheduled for entry in January 2007)⁴⁰.

The CoFoR CCM Toolkit

- 3.18 Although the Toolkit document was derived from the work done with the CoFoR-REES partners rather than devised for them, approximately two thirds of them commented on it in the relevant section of the questionnaire. Most of them have found the document very clear and comprehensive (except for the lack of guidelines on electronic resources). Half a dozen respondents noted it was rather long (67 pages), some of them suggesting a ‘lite’ version be produced⁴¹ - a view also shared by many participants in the meetings held for this study.

³⁸ See at <http://library.wellcome.ac.uk/node226.html>

³⁹ No consensus has been reached within the UK library community as to the reliability of the OCLC software. See Final Report of the CURL/RSLP Collection Mapping Project, September 2002, at <http://www.curl.ac.uk/projects/iCAS%20final%20report.pdf>.

⁴⁰ See at <http://www.hefce.ac.uk/aboutus/sis/>; the other two areas identified by HEFCE are Science, Technology, Engineering & Mathematics and land-based studies.

⁴¹ See Survey Analysis in Appendix 2 for suggestions to improve the presentation.

3.19 The following table gives an indication of what the author of this report thinks should be retained, modified or removed for a 'lite' version of the Toolkit, bearing in mind however that the re-writing will depend on future decisions as to the extension of the scheme:

Table 14 – Assessment of CoFoR CCM Toolkit

| Items as described in the Toolkit (see list on pp. 1-2 of the document) | Proposed changes |
|---|--|
| 1. Implementation Guide for CCM | <p><u>To shorten</u> This introductory section could be greatly shortened to include a succinct version of (a) Purposes of scheme and (b) Main principles (including some of the main points made in Consultation and Academic & Professional Contacts). The sub-sections focusing on the management of the scheme (Minimum Kit for CCM Scheme, IT infrastructure and Management Style) should be removed although these notes could form the basis of the discussions leading to the setting-up of an extended scheme.</p> |
| 2. Framework Partnership Agreement | <p><u>To keep</u> Mentioned as one of the most useful sections in responses to questionnaire and indeed essential. This is basically the text of the CoFoR-REES Partnership scheme. There is no point in modifying it as it is likely to be used as a basis for discussions for the setting-up of other partnerships rather than as a definitive text.</p> |
| 3. Framework Allocation Scheme | <p><u>To keep</u> Same comments as for Item 2</p> |
| 4. Framework Collection Policy Statement | <p><u>To modify</u> Mentioned as one of the most useful sections in responses to questionnaire and indeed essential. However, it is important to emphasise that one of the outcomes of RSLP has been a proliferation of different templates and methodologies to describe collections and collecting policies (even if some of them are loosely based on the RSLP-UKOLN collection description tool⁴²) – a development that has been justified as necessary to fit the needs of different subject areas. For example: the CoFoR collection-level descriptions are mostly free text; those on the Mapping Asia web site are also free text but divided in specific headings (content, history and development, strengths, subjects etc.); the FLAG database operates at title level and include shelf-marks; ARLIS-net describes subjects using the Dewey system; some databases include information on the institutions' collection policies in the collection-level descriptions rather than in separate collection policy statements as in CoFoR-REES. Any effort to systematise the methodology is likely to be costly and runs the risk of significantly slowing down the data-gathering work and negotiations over commitments. Efforts would be best spent on agreeing – within each subject-specific scheme – on the breakdown of subject/area sub-categories and the level of acquisition, expenditure and budgetary data required to back up collecting statements.</p> |
| 5. Transfer Procedures | <p><u>To keep</u> Same comments as for Items 2 and 3</p> |
| 6. Terms of Reference and Job Descriptions | <p><u>To remove</u> It will be up to the governing bodies of any future framework/scheme to define their roles and responsibilities (although these notes could form the basis of the discussions aimed at defining their terms of reference). The job descriptions will depend on the nature of the proposed extended scheme / framework (e.g. Should the administrator also have an advocacy role and at what level?)</p> |
| 7. Finance and assessment Guidance Notes | <p><u>To remove</u> These notes refer to two very different types of data: (a) costing of the scheme – this should be removed, although the notes are useful in providing cost estimates for an extended scheme (see Section 4 of this report); (b) data to compile with a view to quantifying some of the benefits of the scheme (e.g. Savings from</p> |

⁴² See at <http://www.ukoln.ac.uk/metadata/rslp/tool/>

| | |
|--|--|
| | purchases no longer made) – this could be included in Item 11 (Data Collection Guidance Notes) |
| 8. Research Mapping Guidance Notes | To remove The labour-intensive, time-consuming and therefore costly Research Mapping exercise carried out by CoFoR-REES has turned out to be unnecessarily detailed for the setting-up of the scheme ⁴³ (and, on a more anecdotal basis, this section of the Toolkit has provoked some reactions of disbelief in the meetings held for this study). It is proposed that the relevant research priorities of each institution be instead succinctly included in the Collection Policy Statements (see Item 4 in this table) to be updated on a yearly basis. |
| 9. Serials Listing and Deduplication Guidance Notes | To remove The CoFoR Project has come to the conclusion that the methodology used by the project has proved to be cumbersome and prohibitively costly for any extension to other subject areas ⁴⁴ . It is proposed that the next stage be for the research library community to discuss the possibility of a CoFoR-SUNCAT project with a view to establishing whether SUNCAT can identify duplicates and unique holdings of serials in designated areas ⁴⁵ . |
| 10. Collection Description Guidance Notes | To modify Same comments as for Item 4 |
| 11. Data Collection Guidance Notes | To modify Essential, CoFoR being an evidence-based scheme. However, the Item might need changing in relation to the comments made about Items 4, 8-10, and the governing bodies of an extended CoFoR might want to reflect on the level of acquisition and expenditure data required (see section 2.13 of this document). |
| 12. Retention Policy Guidance Notes | To remove The usefulness of this section is unclear. Some of it could be succinctly included in Item 4 (Framework Collection Policy Statement). CoFoR-REES has shown that little can be learned from most libraries' current retention policy statements, although this could change. |
| 13. Desiderata Listing and Consortial Acquisition Guidance Notes | To keep And describe as <i>Essential</i> rather than <i>Optional</i> . |

Conclusions

3.20 There is an overwhelming view amongst HE library managers and representatives of subject-specific library groups that the CoFoR Agreement can only be a starting point in any extension of the scheme to other subject areas because it would have to be discussed and negotiated with each relevant faculty in each of the partner institutions in the same way as CoFoR-REES was, and this for two main reasons: (a) most academics are still unfamiliar with the concept of cross-institutional sharing of collecting responsibilities and, when they are introduced to it, are reluctant to embrace the implications of their institutional libraries' declining purchasing power and space

⁴³ See CURL-CoFoR Project. *Final Report of the Project Management Team (abridged)* at <http://www.cocorees.ac.uk/Coforfinalrep02.doc>, p. 9: 'Experimental work was done during 2003 ... on the feasibility of showing the effectiveness of library support for research by relating the research mapping findings to the existing COCOREES collection descriptions within a single database. This proved unproductive, principally because the level of detail in collection descriptions was too broad, and the range of subject headings too limited, to be linked accurately to the research map.'

⁴⁴ Ibid p. 8: 'While REES may prove to be a fairly extreme case in this respect, it may still be the case that the cost of comparable serial listings for other subjects (which should include the cost of regular updating) will prove to be prohibitive unless they can be sponsored as separate projects or carried out as contributions to a larger national serials record.'

⁴⁵ See Appendix 3.

- shortages; and (b) academics and university senior management operate in a competitive environment, which is not conducive to cross-institutional collaboration.
- 3.21 HE librarians' primary responsibility is to provide their own academics and students with electronic or local (i.e. at the institution) physical access to the widest possible range of information resources relevant to the institution's specific teaching and research priorities. The drivers behind these libraries' participation in a scheme like CoFoR therefore tend to be 'negative factors' – i.e. limited purchasing power and increasing space shortages. However, the economic drivers are there, even if budgetary constraints and space shortages are experienced to different levels and in different subject areas by the different libraries.
- 3.22 An acknowledgement of the economic drivers behind HE librarians' increasing interest in 'deep resource sharing' as a means of finding solutions to increasingly inadequate institutional storage space and purchasing power is however insufficient to ensure that cross-institutional collaboration of this kind materialise. There is a need to generate a cultural change – by means of a high-level advocacy campaign backed by a system of targeted financial incentives – so that the 'negative' financial drivers can produce new innovative ways of collaborating.
- 3.23 Financial incentives will need to be of two different kinds: (a) some central funding to develop a more sophisticated and transparent cross-institutional data-gathering methodology with a view to narrowing the information gap between high-level acquisition, expenditure and budgetary data and the identification of specific collecting efforts – subject-specific library groups, such as COSEELIS, do not have the resources to carry out this kind of exercise and libraries are more likely to do more work on data in partnership with these groups if some central support is provided and if it is clear to them that the additional work will produce clear benefits to the institution; (b) a system of incentives aimed at ensuring that research libraries continue to preserve, develop and provide wide access to research collections recognised as being of national significance by CoFoR when these collections are no longer essential to support the research priorities of their institutions.
- 3.24 HE librarians will feel comfortable with the 'deep resource sharing' agenda only when both their customers – i.e. the researchers – and their employers – i.e. university senior managers – recognise the need for it. There is therefore a need for a high-level nationally co-ordinated advocacy campaign targeted at researchers and senior university managers to promote the CoFoR framework and articulate the way in which the various currently discussed CCM initiatives, including CoFoR, the National Research Reserve (NRR) and large-scale digitisation efforts, are interconnected with one another.
- 3.25 Discussions with the CoFoR-REES Management Team and subject-specific library groups indicate that neither this high-level advocacy work nor the setting-up and maintenance of other subject-specific schemes are likely to take place within a reasonable timescale or at all without some additional resources. Library budgets are so tight and pressure on library staff is so great that they cannot be expected to carry out the necessary tasks such as negotiating and updating commitments or gathering and updating data. Nor do subject-specific library groups have the necessary resources to do it themselves or hire staff to do it.
- 3.26 This is not to say that each new subject-specific scheme would need its own CoFoR officer. It is possible to estimate on the basis of the work done by CoFoR-REES that one full-time CoFoR officer would be able to assist subject groups in setting up and maintaining a dozen or so subject-specific schemes.

- 3.27 The creation of one dedicated CoFoR post would also minimise the risk of duplication of effort in the area of advocacy and data collection, while ensuring that the framework remains light-touch – a concern repeatedly voiced in the meetings held for the purpose of this study – as the CoFoR Officer would work in partnership with the subject groups responsible for the schemes.
- 3.28 If there is no nationally funded and co-ordinated framework, collaborative efforts will continue – especially via the subject-specific library groups and in the form of small-scale bilateral agreements between libraries –, but the process will remain slow and haphazard and will not amount to a coherent national strategy.
- 3.29 Judging by both the responses of the libraries contacted for this study and the ‘strategically important and vulnerable subjects’ recommended by HEFCE for additional government support, there seems to be a consensus as to the need to concentrate on area studies and related languages (e.g. Asian, African, Latin American, REES studies) including the whole area of modern foreign languages and literatures. The libraries’ rationale is (a) that there is a concentration of overseas publications in these areas and gaps in the collecting of overseas publications have an even worse impact on the Distributed National Research Collection, UK publications being at least systematically collected by the British Library and the HE legal deposit libraries; and (b) with the ‘smaller’ better defined areas, it is easier to engage in consultation with researchers both at institutional level and via the subject-specific library groups and their links with the relevant scholarly associations.
- 3.30 It is however important to note that the CoFoR experiment does not seem to have been much discussed in the context of medicine and other scientific disciplines – no scientific subject librarians were involved in the meetings organised for this study. The Mapping Medicine project, which is currently on hold, may provide an opportunity for further discussion of these issues in relation to scientific subjects.
- 3.31 The CoFoR CCM Toolkit, which includes the text of the CoFoR Agreement, has been well received but as a standard package to serve as a platform for discussion and negotiation between libraries and between libraries and academics rather than as a set of procedures that can be implemented straightaway across disciplines. It is proposed that a number of changes be made for a ‘lite’ version of the document, in particular: the removal of the guidelines referring to the Research Mapping and the Serials Listing, both exercises having proved to be cumbersome and costly – although broad institutional research priorities ought to be included in the Collection Policy Statements to be updated on an annual basis and the listing of duplicates and unique serials titles discussed further with SUNCAT (which did not exist at the time when the CURL-CoFoR project began). It is also proposed that the sections on collection-level descriptions and collection policy statements reflect the diversity of methodologies already developed by various subject-specific library groups and mapping projects, and the section on data-gathering be modified in accordance with the decisions to be made in relation to the level of details necessary to maximise the impact of the scheme.

4 Recommendations

In the light of the findings made by the study it is recommended that:

Multi-disciplinary CoFoR framework

- 4.1 CoFoR be supported and further developed into a multi-disciplinary framework by building on the work achieved by CoFoR-REES but also improving some of the methodology in order to maximise its impact.
- 4.2 The current methodology be improved in two major areas:
 - Leadership and advocacy – there is a need for a high-level and high-profile advocacy campaign aimed at researchers and senior university managers, which senior and middle library managers can build upon within their own institutions, in order to generate a climate conducive to a more collaborative sharing of collecting responsibilities across the UK;
 - Data gathering – there is a need to develop a more sophisticated and transparent cross-institutional data-gathering methodology, taking account of the specificity of each subject area, with the view to narrowing the information gap between high-level holdings, expenditure and budgetary data and the identification of specific collecting efforts;
- 4.3 The work be done within the framework of a structure combining both central and distributed elements, broadly as follows (see also Diagram 1 page 43):
 - Distributed elements – Subject Groups including subject librarians (some of them will also be members of already established subject-specific library groups), who, in partnership with the CoFoR officer, will: (a) develop and supervise the subject-specific schemes in the same way as the CoFoR Management Team has developed and supervised CoFoR-REES; (b) liaise with the relevant scholarly associations in the same way as CoFoR-REES has liaised with BASEES; (c) liaise with the relevant subject-specific library groups in the same way as CoFoR-REES has liaised with COSEELIS, especially to discuss ways of improving the data-gathering; (d) develop strategies to implement the high-level advocacy campaign at institutional level;
 - Central elements – a centrally funded CoFoR Officer who, with some IT support and in partnership with the Subject Groups and the CoFoR Steering Group, will (a) co-ordinate the high-level advocacy campaign across partner institutions; (b) develop a more sophisticated data-gathering methodology taking into account the specificity of each subject area; (c) assist the Subject Groups in setting up and maintaining the subject-specific schemes (e.g. negotiating and updating commitments, gathering and updating data, facilitating transfer decisions, co-ordinating and acting on the Desiderata List); (d) assist the CoFoR Steering Group in developing further initiatives to maximise the impact of CoFoR (see 4.4);
 - Governance – a CoFoR Steering Group consisting of senior library managers and the chairs of the Subject Groups whose main role will be (a) to oversee the development of the various CoFoR schemes and the work of the CoFoR Officer; (b) to report to the CCM Steering Board; and (c) to develop further initiatives

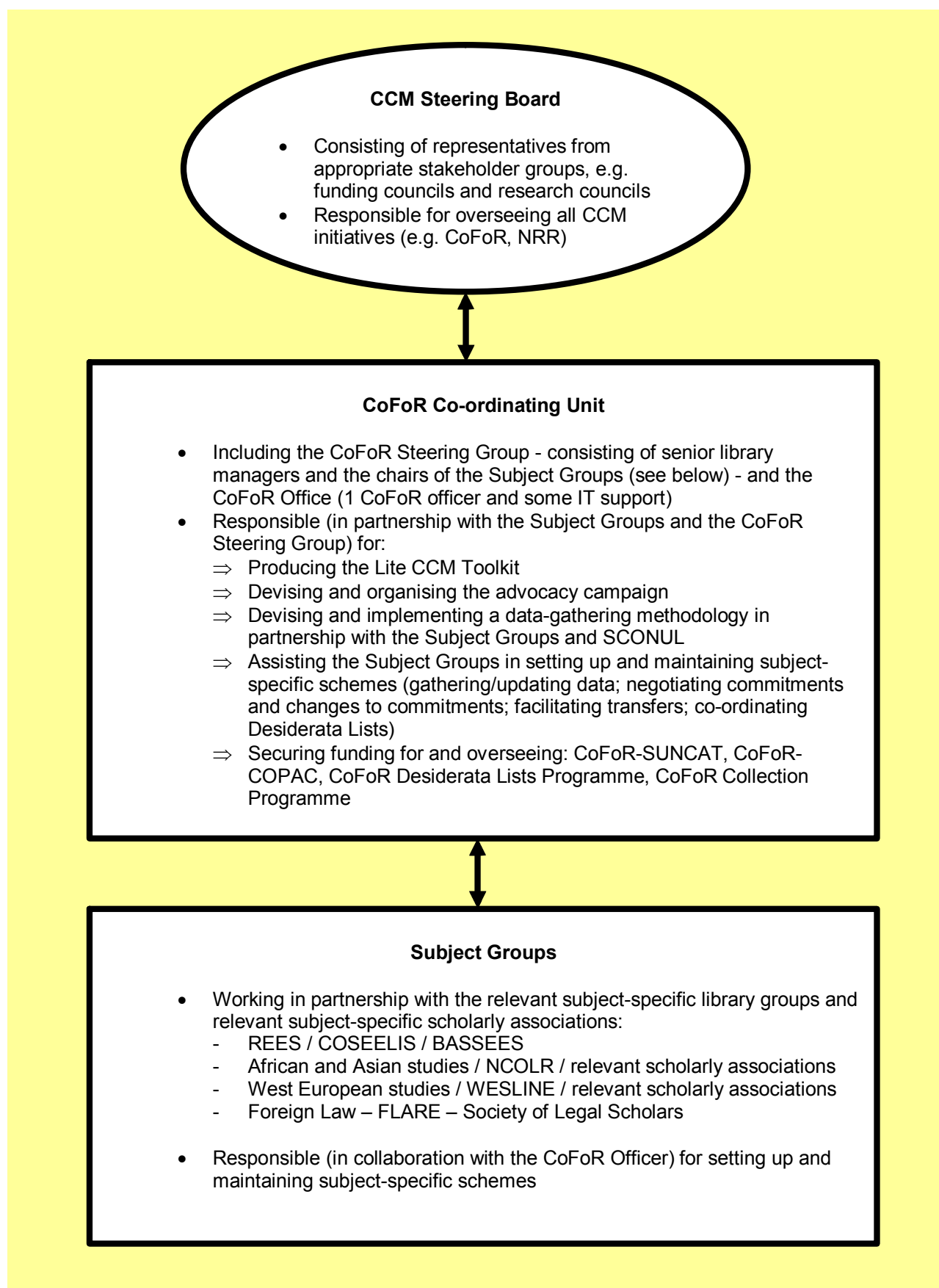
aimed at maximising the impact of CoFoR (see 4.4) and make a case for their funding to the CCM Steering Board.

4.4 The CoFoR Steering Group develop and secure funding for the following initiatives with a view to maximising the impact of CoFoR:

- A CoFoR-SUNCAT Project to determine whether SUNCAT can identify duplicates and unique holdings of serials in areas designated by the various subject-specific schemes;
- A CoFoR-COPAC Programme to add to COPAC the catalogues of research collections held in non-CURL libraries that have been recognised as being of national significance by CoFoR (e.g. see the catalogue of the REES collection held by the University of Essex, a non-CURL CoFoR-REES partner, now accessible via COPAC) – The CURL Board has agreed in principle to the inclusion of data describing research collections held in non-CURL libraries but there is currently no co-ordinated and appropriately funded programme to implement the policy in a systematic way;
- A CoFoR Desiderata Lists Programme enabling CoFoR subject-specific schemes to make a case / bid for extra central funds to finance some of the collecting gaps which they have identified in these lists;
- A CoFoR Collection Programme enabling CoFoR libraries to bid for extra central funds to continue developing and providing access to collections which they can no longer justify in terms of their own institutions' research priorities. The case will have to be made to the CoFoR Steering Group that these collections are of national significance and the material nowhere else collected to an appropriate research level.

4.5 CoFoR concentrate in the first instance on area studies and related languages (e.g. Asian, African, Latin American, REES studies), including the whole area of modern foreign languages and literatures – specific foci and priorities within these broad areas having to be identified by the subject-specific library groups listed in Diagram 1 – while also encouraging subject librarians specialised in sciences to discuss, possibly within the context of Mapping Medicine, whether a similar approach could be applied to the sciences.

Diagram 1 - Structure of CoFoR Framework



Estimated costs

4.6 The purpose of this budgeting exercise is to estimate the costs of the proposed CoFoR Co-ordinating Unit during the first three years of its existence. The estimate is based on information provided by the CoFoR Project Management Team and on the following assumptions:

- The multi-disciplinary scheme would involve approximately 40 libraries (there are 29 CURL libraries), although not all 40 libraries would be expected to participate in all the subject-specific schemes. Note that while the mapping tools referred to in section 3.14 of this document aspire to describe as many collections as possible, CoFoR would have to concentrate on the largest repositories for the subject areas targeted and those libraries which may not be among the major contributors in terms of holdings but which specialise in material that is not collected anywhere else.
- The scheme would involve the participation of 3 'new' subject-specific groups in addition to COSEELIS – FLARE, NCLOR and WESLINE – but NCLOR and WESLINE are umbrella organisations, so there would probably be ca. 12 'new' subject-specific groups;
- The liaison work with the scholarly associations would be the responsibility of the subject-specific library groups;
- IT support would be required for both the CoFoR web site and the inputting of acquisition, expenditure and budgetary data from partner libraries;

The details of the calculations are shown in the table on the following page. This is a summary:

Table 15 - Estimated Costs of CoFoR Co-ordinating Unit in Years 1-3

| Estimated Costs in £ of CoFoR Co-ordinating Unit in Years 1-3 | | | |
|---|---------------|---------------|------------------|
| <ul style="list-style-type: none"> • Ca. £144,000 over 3 years with a recurrent cost of ca. £30,000 from year 3 onwards • Note that this does <u>not</u> include the costs of funding CoFoR-SUNCAT, CoFoR-COPAC, the CoFoR Desiderata Lists Programme or the CoFoR Collection Programme, which would have to be calculated by the CoFoR Co-ordinating Unit while preparing the proposals. | | | |
| | Year 1 | Year 2 | Subsequent years |
| CoFoR officer | 38,000 | 39,000 | 20,000 |
| IT support | 5,500 | 500 | 600 |
| Office, travel & meetings | 20,000 | 11,000 | 9,000 |
| Total | 63,500 | 50,500 | 29,600 |

Table 16 – Details of Estimated Costs of CoFoR Co-ordinating Unit in Years 1-3

| CoFoR Officer | | | |
|--|--------------------------|----------------|----------------|
| | YEAR 1 | YEAR 2 | YEAR 3 |
| ACTIVITIES | DAYS⁴⁶ | DAYS | DAYS |
| Producing Lite CCM Toolkit (including liaison work) | 5 | 0 | 0 |
| Devising and organising advocacy campaign | 30 | 30 | 15 |
| Developing and implementing a data-gathering methodology in partnership with Subject Groups and SCOUNL | 35 | 0 | 0 |
| Setting-up / maintaining subject-specific schemes (based on discussions with CURL-CoFoR Project Manager) | | | |
| ⇒ Liaison with 4 new subject sub-groups (5 days per group) in year 1 and 8 in year 2 and 1 day per 'old' group | 21 | 42 | 14 |
| ⇒ 1 meeting with each of the 4 subject groups (2 days per meeting including preparation) | 8 | 8 | 8 |
| ⇒ Gathering, analysing, updating & reporting of data from 40 libraries (1 day per library) | 40 | 40 | 40 |
| ⇒ Negotiating Partnership Agreement with 40 libraries (1 day per library) / Review of commitments | 40 | 10 | 10 |
| ⇒ Facilitating / recording transfer decisions (1 day per transfer / average of 10 transfers per year) | 10 | 10 | 10 |
| ⇒ Supervising specification, commissioning & population of CCM web site | 10 | 5 | 5 |
| ⇒ 3 CoFoR Steering Group meetings (2 days per meeting including preparation) | 6 | 6 | 6 |
| Total | 135 | 121 | 93 |
| CoFoR-SUNCAT (proposal writing) | 10 | 2 | 0 |
| CoFoR-COPAC (proposal writing) | 10 | 2 | 0 |
| CoFoR Desiderata Lists Programme (liaising / proposal writing in year 2 & administering in following years) | | 35 | 10 |
| CoFoR Collection Programme (liaising / proposal writing in year 2 & administering in following years) | | 35 | 10 |
| Total in days | 225 | 225 | 128 |
| Total in salary costs⁴⁷ (incl. on-costs and inflation) | £38,000 | £39,000 | £20,000 |
| IT support | | | |
| ACTIVITIES | DAYS | DAYS | DAYS |
| Assisting in implementing data-gathering methodology | 40 | 0 | 0 |
| Setting-up and maintaining (incl. inputting of data) CCM web site | 10 | 5 | 5 |
| Totals in days | 50 | 5 | 5 |
| Total in salary costs⁴⁸ (incl. on-costs and inflation) | £5,500 | £500 | £600 |
| Office, travel and meeting | | | |
| 1 office for 2 (rent, charges, insurance) | 5,000 | 5,000 | 5,000 |
| Equipment (office furniture & work station x 2) | 5,000 | 0 | 0 |
| Travel & meeting costs with partner libraries, subject/sub-subject groups, CoFoR Steering Group and advocacy events | 10,000 | 6,000 | 4,000 |
| Total | £20,000 | £11,000 | £9,000 |
| GRAND TOTAL | £63,500 | £50,500 | £29,600 |

⁴⁶ Note that the number of working days in one year has been calculated as follows: 52 weeks x 5 working days = 260 days minus 35 holiday days = 225 days.

⁴⁷ Calculation based on UCL new salary scales for 2005/2006, Spinal Point 36 (£30,605), available at http://www.ucl.ac.uk/hr/salary_scales/final_grades.php;

⁴⁸ Calculation based on UCL new salary scales for 2005/2006, Spinal Point 22 (£11.89 per hour, i.e. ca. £89 per day), available at http://www.ucl.ac.uk/hr/salary_scales/final_grades.php;

Appendix 1 – Contacts and Meetings

Individuals consulted by email (including senior managers and CoFoR contacts who received the questionnaire), telephone or face-to-face, with the surnames by alphabetic order. The names in bold are those of the individuals who attended the meetings listed further down:

| | |
|--------------------------|---|
| Alison Alden | Director of Information Services & University Librarian, University of Bristol |
| Dr Paul Ayris | Director of Library Services, UCL |
| Chris Bailey | Director of Library Services, University of Glasgow |
| Richard Bapty | Arts & Social Sciences Faculty Support Team Leader, Glasgow University Library |
| David Blake | Library Services Manager, Communications & Public Affairs Division, Library, Commonwealth Secretariat, and Chair of SCOLMA |
| Mary Bone | Deputy Librarian and CoFoR key contact, Royal Institute of International Affairs |
| John Bowles | Curator, Foreign Collections, and CoFoR contact, National Library of Scotland |
| Stephen Bury | Head of European & American Collections, British Library, and Chair of the ARLIS Committee for the National Co-ordination of Art Library Resources |
| Robert Butler | Librarian, University of Essex |
| Graham Camfield | Senior Assistant Librarian (Collection Development) and CoFoR contact, BLPES, LSE |
| Sheila Cannell | Director of Library Services, University of Edinburgh |
| Elizabeth Chapman | Deputy Director of Library Services, UCL, and member of funders' Group |
| Brian Clifford | Deputy University Librarian and Head of Learning and Research Support, University of Leeds |
| Dr Peter Clinch | Information Specialist, Law Library, Cardiff University, formerly FLAG Project Manager |
| David Clover | Information Resources Manager and CASBAH contact, Institute of Commonwealth Studies, University of London |
| Nigel Cochrane | Deputy Librarian and CoFoR contact, University of Essex |
| Ian Cooke | Deputy Information Resources Manager, Institute of Commonwealth Studies, University of London, and SCOLMA Secretary |

| | |
|---------------------------|--|
| Margaret Coutts | University Librarian and Keeper of the Brotherton Collection, University of Leeds |
| Mary Dawson | Team Leader (Arts) and CoFoR contact, Information Services, University of Nottingham |
| Doug Dodds | Head of Collection Management, National Art Library, Member of the ARLIS Committee for the National Co-ordination of Art Library Resources and active contributor to arlis-net |
| Helen Durdell | Associate Director of Library Services, University of Glasgow |
| Dr Clive Field | Director of Scholarship & Collections, British Library |
| Lesley Forbes | Keeper of Oriental Collections, Bodleian Library, University of Oxford, and Mapping Asia contact |
| Peter Fox | University Librarian, University of Cambridge |
| Angelina Gibson | Slavonic and East European Subject Consultant (History, Social Sciences and Geography) and CoFoR contact, Bodleian Library, University of Oxford |
| Stéphane Goldstein | RIN Planning and Project Officer and member of funders' group |
| Robin Green | CURL Executive Director and member of funders' group |
| Dr John Hall | University Librarian, University of Durham |
| Nick Hearn | Slavonic and East European Subject Consultant (Language, Literature and Culture) and CoFoR contact, Slavonic and Modern Greek Library, Taylor Institution, University of Oxford |
| Stanley Houghton | Director of Learning Support Services, University of Bradford |
| Grace Hudson | Deputy University Librarian (Academic Services)/EDC Librarian and CoFoR contact, University of Bradford |
| Dr Michael Jubb | RIN Director and member of funders' group |
| Alice Keller | Head of Collection Management, Oxford University Library Services |
| Dr Peter King | Director of Library Services, University of Bristol |
| Tania Konn-Roberts | Head of Russian and East European Collections, Arts & Social Sciences Faculty Support Team, Glasgow University Library, and member of the CoFoR Management Team |
| Heather Lane | Librarian & Acting Keeper of Collections, Scott Polar Research Institute, University of Cambridge |
| James Legg | Taylor Librarian / Sackler Librarian / Head of Humanities Libraries, Oxford University Library Services, University of Oxford |

| | |
|---------------------------|--|
| Dr Diana Leitch | Deputy University Librarian (Information Resources and Academic Support), University of Manchester |
| Ewa Lipniacka | Chairman, Polish Library POSK, London, and CoFoR key contact |
| David K. Lowe | Head of European Collections and Cataloguing, Collection Development and Description, Cambridge University Library |
| Damien McManus | Subject Librarian, Arts and Modern Languages, and CoFoR contact, University of Bristol |
| Ronald Milne | Acting Director of University Library Services and Bodley's Librarian, University of Oxford |
| Fiona Parsons | Assistant Director, Learning and Research Support Division, Information Services, University of Birmingham |
| David Pearson | Faculty (Languages and Cultures)Team Assistant and Mapping Asia Website Administrator, SOAS |
| Amanda Peters | Librarian in Charge, Taylor Institution Library, University of Oxford |
| Dr Graham Piddock | Librarian in Charge (& Archaeology subject consultant) and CoFoR contact, Sackler Library, University of Oxford |
| Maureen Pinder | Faculty Team Librarian (Arts Team) and CoFoR contact, University of Leeds |
| Stephen Pinfield | Deputy Chief Information Officer & Director of Research and Learning Resources, Information Services, University of Nottingham |
| Lesley Pitman | Librarian & Director of Information Services and CoFoR contact, SSEES, UCL, member of the CoFoR Management Team and Chair of COSEELIS |
| Anne Poulson | The Librarian, SOAS, and Mapping Asia contact |
| Jill Russell | Collection Development Team Leader and CURL-CoFoR Director, University of Birmingham |
| Zina Sabovic | Head of Collection Management and Mapping Medicine contact, Wellcome Library |
| Ray Scrivens | Slavonic and East European Specialist and CoFoR contact, Cambridge University Library |
| Michele Shoebridge | Director of Information Services, University of Birmingham |
| Bill Simpson | Director and University Librarian, University of Manchester |
| Charlotte Sing | Head of Book Acquisition and Academic Liaison Librarian for Russian Studies (and CoFoR contact), University of Manchester |

| | |
|--------------------------|---|
| Graham Shaw | Head of Asia, Pacific and Africa Collections, British Library, and Mapping Asia contact |
| Barbara Spina | Faculty Librarian (Law & Social Sciences), Librarian (Africa) SOAS, University of London, and SCOLMA Programme Secretary |
| Jean Sykes | Librarian & Director of Information Services, LSE |
| Martyn Wade | Librarian, National Library of Scotland |
| Dr Gregory Walker | CURL-CoFoR Project Manager (December 2002 – September 2005) |
| Isabella Warren | Russian Bibliographer and CoFoR contact, Scott Polar Research Institute, University of Cambridge |
| Gerald Watkins | Learning Advisor, Business, Law and Social Science Team, and CoFoR contact, Information Services, University of Birmingham |
| Jackie Willcox | Centre Secretary and Librarian, and CoFoR contact, Russian and Eurasian Studies Centre, St Antony's College, University of Oxford |
| Jules Winterton | Associate Director & Librarian and FLAG Director, Institute of Advanced Legal Studies, University of London |
| Janet Zmroczek | Head of European Collections, British Library, CoFoR contact and member of the CURL-CoFoR Management Team |

Meetings – All meetings were face-to-face except the one with the University of Leeds, which took place via a conference call.

| Dates | Location | Institutions, Projects & Associations | Individuals |
|--------------|-----------------|--|---|
| January 31 | London | RIN/CURL | 1 st meeting with funders: Michael Jubb (RIN), Robin Green (CURL), Liz Chapman (UCL, CURL), Stéphane Goldstein (RIN) |
| February 07 | Oxford | CoFoR Manager | Gregory Walker |
| February 15 | London | ARLIS | Stephen Bury (BL); Doug Dodds (NAL) |
| February 22 | London | CASBAH (ICS) | David Clover (ICS) |
| February 22 | London | FLAG (IALS) | Jules Winterton (IALS); Peter Clinch (Cardiff University) |
| February 27 | London | Mapping Medicine (Wellcome Library) | Zina Sabovic (Wellcome Library) |
| February 27 | London | UCL (SSEES) | Liz Chapman; Lesley Pitman (UCL & CoFoR Management Team member) |
| February 28 | Glasgow | University of Glasgow | Helen Durndell; Richard Bapty; Tania Konn-Roberts (Glasgow & CoFoR Management Team member) |
| February 28 | Edinburgh | University of Edinburgh | Sheila Cannell |
| March 01 | Manchester | University of Manchester | Bill Simpson; Diana Leitch; Charlotte Sing |
| March 06 | Colchester | University of Essex | Robert Butler; Nigel Cochrane |
| March 03 | Birmingham | CoFoR Director (University of Birmingham) | Jill Russell (Birmingham) |
| March 03 | Birmingham | University of Birmingham | Michele Shoebridge; Fiona Parsons; Jill |

| | | | |
|----------|-----------------|--------------------------------|---|
| | | | Russell; Gerald Watkins |
| March 07 | London | Mapping Asia (British Library) | Lesley Forbes (Oxford) ; Graham Shaw (BL); Anne Poulson (SOAS); David Pearson (SOAS) |
| March 07 | Conference call | University of Leeds | Margaret Coutts; Brian Clifford |
| March 08 | Cambridge | Scott Polar Research Institute | Heather Lane; Isabella Warren |
| March 08 | Cambridge | University of Cambridge | David Lowe |
| March 09 | Oxford | University of Oxford | Nick Hearn; Alice Keller; James Legg; Amanda Peters; |
| March 10 | London | British Library | Clive Field |
| March 10 | London | SCOLMA (SOAS) | David Blake (Commonwealth Secretariat); Ian Cooke (ICS); Barbara Spina (SOAS) |
| March 13 | London | British Library | Janet Zmroczek (BL and CoFoR Management Team) |
| March 13 | London | RIN/CURL | 2 nd meeting with funders: Michael Jubb (RIN), Robin Green (CURL), Liz Chapman (UCL, CURL), Stephane Goldstein (RIN) |

Appendix 2 – Survey analysis

The appendix is divided in three parts: 1. Number of returns; 2. Text of questionnaire; 3. Analysis of returns

1. Number of returns

A questionnaire was emailed to the 21 libraries involved with CoFoR, i.e. 19 partners and 2 associates. The Oxford libraries (3 partners and 1 associate) having decided to send one co-ordinated response, 18 responses were expected, i.e. 17 from partners and 1 from the remaining associate. As shown in the following table, 16 institutions – i.e. 89% – have responded, including all the HE partner libraries and the two national libraries.

X indicates that the institution has filled in and returned the questionnaire.

0 indicates that the institution has not returned the questionnaire.

| CoFoR PARTNERS | | | | | |
|--|-------------|------------------------------|-------------|---|------------|
| CURL HE and National Libraries | | Other HE Libraries | | Other Research Libraries | |
| 1. Birmingham (University of) | X | 13. Bradford (University of) | X | 15. Polish Library | 0 |
| 2. Bristol (University of) | X | 14. Essex (University of) | X | 16. Royal Institute of International Affairs (Chatham House) | X |
| 3. British Library | X | | | 17. Scott Polar Research Institute Library, Cambridge (University of) | X |
| 4. Cambridge (University of) | X | | | | |
| 5. Glasgow (University of) | X | | | | |
| 6. Manchester (University of) | X | | | | |
| 7. Leeds (University of) | X | | | | |
| 8. London School of Economics | X | | | | |
| 9. National Library of Scotland | X | | | | |
| 10. Nottingham (University of) | X | | | | |
| 11. Oxford (University of), Bodleian, Sackler, Taylorian & St Antony's | X | | | | |
| 12. UCL | X | | | | |
| Total | 12 | | 2 | | 2 |
| Total in % | 100% | | 100% | | 33% |
| CoFoR ASSOCIATES | | | | | |
| CURL HE Libraries | | Other HE Libraries | | Other Research Libraries | |
| Oxford (University of), St Antony's (see 11) – St Antony's may wish to become a full partner if / when they have a full-time librarian | N/A | N/A | N/A | 18. Society for Co-operation in Russian and Soviet Studies (SCRSS) | 0 |
| Total | N/A | N/A | N/A | | 0 |

- The SCRSS (see no.18) – an associate in the scheme – decided not to return the questionnaire or accept my offer of a short meeting at their office in London because they have no librarian and the Society's Secretary, who works on a part-time basis, was unable to take on any additional commitments.
- It is not clear why the Polish Library has not returned the questionnaire, although it also operates with a very small staff.
- It is explained in the response from Oxford that St Antony's College was unable to sign the original agreement owing to limited resources (space, staff-time), but that if, as is hoped, fund-raising results in the expansion of library space and provision of a full-time librarian, they may be able to participate more fully.

2. Text of questionnaire

The questionnaire was emailed to the Head Librarians / Directors of Library or Information Services of the 19 CoFoR partners, with copy to the institutions' CoFoR key contacts and the funders' group (Michael Jubb, Robin Green, Liz Chapman and Stéphane Goldstein) on 03.02.06 with the following covering message (the questionnaire was sent separately to the two associates with a similar message):

Dear All,

Could I please draw your attention to this message from Dr Michael Jubb, Director of the RIN (Research Information Network) and Robin Green, Executive Director of CURL (Consortium of Research Libraries in the British Isles)? Many thanks for your support. Marie-Pierre

Dear Colleagues,

We would like to invite you to take part in a survey to assess the achievements of the CURL-CoFoR scheme in your institutions.

The CURL-CoFoR project has been very successful in establishing a ten-year partnership for the collaborative collection management of research material in Russian and East European Studies across the UK, and we feel it is very important that the methodology developed by the project and the sustainability of the scheme should now be evaluated with a view to considering its possible extension to other subject areas and disciplines.

We do apologise for yet another questionnaire, but the survey constitutes an important part of the evaluation study co-funded by the RIN and CURL, and we very much hope you will be willing to make time to respond.

*You will find attached to this email a questionnaire for you to fill in and return - **by 24 February 2006** – to Marie-Pierre Détraz, who has been commissioned to do the work.*

Given the strategic importance of the issues that this study will be addressing, we would be very grateful if the questionnaires could be if not completed, then at least reviewed/finalised by Head librarians or Directors of Library / Information Services. That way the consultant will have some assurance that any conclusions and recommendations she draws from the questionnaire responses have been informed by both operational and high-level strategic thinking within the libraries.

Thank you in advance for your support. If you have any questions about the questionnaire, please don't hesitate to contact Marie-Pierre, whose contact details are provided on the questionnaire.

*Kind regards
Michael and Robin*

External Evaluation of CURL-CoFoR Collaboration Collection Management (CCM) Project and Partnership

Survey Questionnaire

INTRODUCTION

This evaluation study of the CURL-CoFoR scheme has been jointly commissioned from MPD Consultancy by the RIN (Research Information Network) and CURL (Consortium of Research Libraries in the British Isles). The purpose of this survey is:

1. to quantify the current and anticipated benefits of the scheme since its introduction in mid-2004;
2. to quantify the current and anticipated costs of implementing the scheme for each of the institutions involved (central costs will be examined separately);
3. to identify problems that might have hindered the implementation of the scheme in the institutions involved;
4. to seek the views of the institutions involved on the effectiveness of the CoFoR methodology (CCM Toolkit and collection level descriptions);
5. to seek the views of the institutions involved on the current CoFoR governance structure and central administrative support and possible alternatives to it;
6. to seek the views of the multi-disciplinary institutions involved as to which other subject areas would be suitable for the implementation of similar schemes;

Many thanks for taking the time to complete this questionnaire. Please return it by email to Marie-Pierre Détraz at mpdetraz@mpdconsult.co.uk, or, if you prefer, by post to Marie-Pierre Détraz, 29 Holly Grove, Penn Fields, Wolverhampton, WV3 7DX, **by 24 February 2006**. If you have any questions about interpreting the survey, please do not hesitate to email Marie-Pierre or ring her on 01902 330793.

CONTACT DETAILS

Please provide the following details:

Name of institution:

Contact details of member of staff responsible for filling the questionnaire:

| | |
|------------------|--|
| Name | |
| Job title | |
| Email address | |
| Telephone number | |

~ **Please note that it will be assumed that the questionnaire has been verified and sanctioned by the Librarian or Director of Library/Information Services** ~

SECTION 1 - BENEFITS

1. **Collection development and management strategy** - Please answer the following questions with as many comments as you see fit:
 1. *Has your participation in the scheme already made an impact on the decisions you have been making over the past 18 months - i.e. until the end of February 2006 - about the acquisition, withdrawal (i.e. complete removal of stock rather than relegation to store) and transfer of REES material? If yes, please explain how.*
 2. *Have you taken any decisions or made any plans about the acquisition, withdrawal and transfer of REES material for the next 2 years - i.e. 2006/07 – 2007/08 - in the light of your participation in the scheme? If yes, please explain how the scheme has influenced your decisions.*
 3. *Can you anticipate the impact your participation in the scheme is likely to have on your decisions about the acquisition, withdrawal and transfer of REES material during the later part of the ten-year partnership, i.e. over the period 2008/09 – 2013/14? If yes, please give details.*
 4. *Has the scheme so far enabled you to identify 'new' UK-wide gaps in REES research resources? If yes:*
 - a. *Have you discussed within the Partnership which institution may wish to fill in this gap?*
 - b. *Has your institution agreed to commit itself to collecting in one of the subject areas identified as gaps?*
 - c. *Have you asked for any new items to be added to the Desiderata list?*
 5. *Has the scheme made it easier / will the scheme make it easier for your library to decide which of its REES material needs to be*
 - a. *Retained?*
 - b. *Withdrawn or transferred (e.g. for space saving)?*
 6. *Has the scheme made it easier / will the scheme make it easier for your library to commit to some or to further acquisition responsibilities?*
2. **Academic liaison** - Please answer the following questions with as many comments as you see fit:

1. *Have REES academics in your institution been aware of BASEES' involvement with the scheme and has this had any positive impact on the way they have received the scheme?*

2. *Have you encountered any opposition from REES academics in your institution hindering the implementation of your commitments, e.g. as a result of the preparations for RAE 2008?*

3. *Do you think that the scheme has resulted in improved awareness of UK-wide availability of REES research resources amongst researchers?*

- 3. Expenditure on REES acquisitions** - Please answer by filling in the table below. Add comments after the table if necessary.

| REES expenditure (in £) | 2003-2004 | 2004-2005 | 2005-2006 |
|-------------------------|-----------|-----------|-----------|
| Monographs | | | |
| Serials | | | |
| Others | | | |
| Total | | | |

Add comments if necessary, or proceed directly to question 4:

- 4. Volume of withdrawals - i.e. withdrawal of material you were not obliged to keep under the Agreement.** [Note that by withdrawals, we mean material that is not simply relegated to store but is completely removed from stock. Please do not include transfers, which are dealt with in the next section.]

Please answer by filling in the table below. Add comments after the table if necessary.

If you cannot provide exact figures, please give estimates.

| Withdrawals up to the end of February 2006 | Number | % of REES monograph / serials / other collections |
|--|--------|---|
| Monographs (items) | | |
| Serials (yearly runs) | | |
| Others (items) - Please specify which and add rows if there is more than one 'other' | | |

| Anticipated withdrawals in 2006/07 – 2007/08 | Number | % of REES monograph / serials / other collections |
|--|--------|---|
| Monographs (items) | | |

| | | |
|---|--|--|
| Serials (yearly runs) | | |
| Others (items) - Please specify which and add rows if there is more than one 'other' | | |
| | | |

| Anticipated withdrawals during later part of the Partnership (2008/09 – 2013/14) | Number | % of REES monograph / serials / other collections |
|---|---------------|--|
| Monographs (items) | | |
| Serials (yearly runs) | | |
| Others (items) - Please specify which and add rows if there is more than one 'other' | | |
| | | |

Add comments if necessary, or proceed directly to question 5:

5. Volume of transfers - Please answer by filling in the table below. Add comments after the table if necessary.

| Transfers up to the end of February 2006 | Number | % of REES monograph / serials / other collections |
|---|---------------|--|
| Monographs (items) | | |
| Serials (yearly runs) | | |
| Others (items) - Please specify which and add rows if there is more than one 'other' | | |
| | | |

| Anticipated transfers in 2006/07 – 2007/08 | Number | % of REES monograph / serials / other collections |
|---|---------------|--|
| Monographs (items) | | |
| Serials (yearly runs) | | |
| Others (items) - Please specify which and add rows if there is more than one 'other' | | |
| | | |

| Anticipated transfers during later part of the Partnership (2008/09 – 2013/14) | Number | % of REES monograph / serials / other collections |
|---|---------------|--|
| Monographs (items) | | |
| Serials (yearly runs) | | |
| Others (items) - Please specify which and add rows if there is more than one 'other' | | |
| | | |

Add comments if necessary, or proceed directly to question 6:

6. Volume of serials cancellations – i.e. serials cancellations made as you were not obliged to maintain subscriptions under the Agreement - Please:

(a) Answer by filling in the table below. Add comments after the table if necessary.

| Titles of serials that will have been cancelled by end of February 2006 – add rows as necessary: | Titles of serials that you are planning to cancel in 2006/07 – add rows as necessary: |
|---|--|
| 1. | 1. |
| 2. | 2. |
| 3. | 3. |
| 4. | 4. |

Add comments if necessary, or proceed directly to question 6(b):

(b) Answer the following question with as many comments as you see fit:

Can you anticipate the number of titles you may cancel

- *In 2007/08:*
- *In the later part of the Partnership (2008/09 – 2013/14):*

7. Space saving - Please answer by filling in the table below. Add comments after the table if necessary. If you cannot provide exact figures, please give estimates.

* Total storage space: i.e. including open shelves, close shelves, stores etc. for all holdings in all disciplines (not only REES material)

| Space freed up by the end of February 2006 as a result of | In linear meters | % of total storage space * |
|--|-------------------------|-----------------------------------|
| Withdrawal of: | | |
| • Monographs | | |
| • Serials | | |
| • Others | | |
| | | |
| Transfer of: | | |
| • Monographs | | |
| • Serials | | |
| • Others | | |
| | | |
| Cancellation of: | | |
| • Serials | | |
| | | |
| Total | | |

| Anticipated space freed up in 2006/07 – 2007/08 | In linear meters | % of total storage space * |
|--|-------------------------|-----------------------------------|
| Withdrawal of: | | |
| • Monographs | | |
| • Serials | | |
| • Others | | |
| | | |
| Transfer of: | | |
| • Monographs | | |
| • Serials | | |

| | | |
|-------------------------|--|--|
| • Others | | |
| Cancellation of: | | |
| • Serials | | |
| | | |
| Total | | |

| Anticipated space freed up during later part of the Partnership (2008/09 – 2013/14) | In linear meters | % of total storage space * |
|---|------------------|----------------------------|
| Withdrawal of: | | |
| • Monographs | | |
| • Serials | | |
| • Others | | |
| | | |
| Transfer of: | | |
| • Monographs | | |
| • Serials | | |
| • Others | | |
| | | |
| Cancellation of: | | |
| • Serials | | |
| | | |
| Total | | |

Add comments if necessary, or proceed directly to question 8:

8. Financial savings - Please answer by filling in the table below. Add comments after the table if necessary.

| Savings up to February 2006 | In £ excl. VAT | In £ incl. VAT applicable to e-serials |
|--|----------------|--|
| 1. Money saved as a result of the serial cancellations listed in your answer to question 6 | | |
| 2. Money saved as a result of not purchasing monographs in areas where other partner institutions have committed themselves to collect (see note* below) | | N/A |
| 3. Money saved as a result of not purchasing 'new' serials other partner institutions have committed themselves to collect (see note ** below) | | |
| 4. Other savings (specify which) | | |
| Total money saved | | |

* It is understood that 2 is not an easy question to answer and that the figure quoted can only be a rough estimate. One possible way of doing it is as follows: e.g.: 'We - Library A - are no longer collecting in Bulgarian studies as, say, Library B is committed to doing it. Over the past 5 years, we have spent an average of ca. £500 a year on monographs in Bulgarian studies, so by stopping collecting in this area, we will be saving ca. £500 a year.'

** If you find it difficult to give a figure for question 3, we would welcome any anecdotal evidence you can give us.

Add comments if necessary, or proceed directly to question 9:

9. Use of financial savings – Please:

(a) Answer by filling in the table below. Add comments after the table if necessary.

| Funds saved – as indicated in answer to question 8 – used to purchase: | Percentage |
|---|-------------------|
| • REES materials in areas where your library is committed to collecting | |
| • Other REES materials | |
| • Non-REES materials | |

Add comments if necessary, or proceed directly to question 9(b):

(b) Answer the following question with as many comments as you see fit:

Have you actively acquired over the past 18 months REES material that you would not otherwise have been able to purchase? If you haven't so far, do you anticipate doing so in the next two years and/or during the later part of the partnership?

10. Other benefits - Please answer the following questions with as many comments as you see fit:

Can you identify any other current or anticipated benefits of the scheme?

SECTION 2 – COSTS

11. Costs to the institution - Please answer by filling in the table below with details of any costs over and above the normal costs of your collection management activities. It would be extremely helpful if you could provide estimates against all of the sub-headings listed in the table. However, if there are elements or hidden costs you find too difficult to quantify, please list them after the table under 'Add comments if necessary...', if possible, giving an indication of whether or not you deem these unquantifiable costs reasonable in return for the benefits achieved.

| Pre-implementation stage up to signing of Agreement - Process to decide terms of Agreement and institution's specific commitments | Details of costs: - Labour costs with on-costs (managerial & other) - Other costs (e.g. IT support, travel and transport expenses) | Total in £ (incl. VAT when appropriate) |
|--|---|--|
| • Provision of data (to COCOREES and CoFoR projects): | | |
| ○ CM policy statements | | |
| ○ Serials listings | | |
| ○ Acquisition & expenditure data | | |
| ○ Others (Specify which) | | |
| • Negotiations with academics | | |
| • Negotiations with scheme administrator | | |
| • Others (specify which) | | |

| Implementation stage following signing of Agreement up to end of February 06 | Details of costs: - Labour costs with on-costs (managerial & other) - Other costs (e.g. IT support, travel and transport expenses) | Total in £ (incl. VAT when appropriate) |
|---|--|---|
| Cost of withdrawals - Specify no. of items | | |
| • Liaison with scheme administrator (if applicable) | | |
| • Operation, incl.: organising, cataloguing, handling, transport | | |
| • Others (specify which) | | |
| | | |
| Cost of transfer to transferring library: - Specify no. of items and name of receiving library | | |
| • Liaison with scheme administrator | | |
| • Liaison with other Library | | |
| • Operation, incl.: organising, cataloguing, handling, transport | | |
| • Others (specify which) | | |
| | | |
| Insert similar set of rows below if more than one transfer has taken place | | |
| | | |
| Cost of transfer to receiving library - Specify no. of items and name of transferring library: | | |
| • Liaison with scheme administrator | | |
| • Liaison with other Library | | |
| • Operation, incl.: organising, cataloguing, handling, transport | | |
| • Others (specify which) | | |
| | | |
| Insert similar set of rows below if more than one transfer has taken place | | |
| | | |
| Cost of de-duplication exercise: | | |
| • Liaison with scheme administrator to decide which serials to cancel | | |
| • Operation, incl.: organising, cataloguing, handling, withdrawal | | |
| • Others | | |
| | | |
| Total costs to Library | XXXXXXXXXXXXXXXXXXXXXXXXXXXX | |

Add comments if necessary, or proceed directly to question 12:

SECTION 3 – PROBLEMS

12. Limitations of scheme and obstacles to implementation - Please answer the following questions with as many comments as you see fit:

(a) Have you encountered any organisational, logistic, financial or other problems hindering the implementation of your commitments: e.g. no staff available to prepare transfers

(cataloguing, checking for de-duplication, handling of material etc.); no shelf/storage space available to accommodate transfers?

- (b) *Are there any retention, transfer and acquisition commitments – as defined in Schedule B the CoFoR Partnership Agreement signed by your institution – which you have been unable to fulfil? If yes, please give details and explain the reasons why.*
- (c) *Have you made any offers of transfers that could not be accommodated by any of the partner libraries? If yes, please give details. Would you have liked to have been able to send this material to a UK-wide last copy repository?*

SECTION 4 – METHODOLOGY

13. CCM Toolkit - Please answer the following questions with as many comments as you see fit:

- (a) *Is there anything in the Toolkit (<http://www.cocorees.ac.uk>) you think should be amended, removed or added, and why?*
- (b) *Which sections of the Toolkit have you found the most useful?*
- (c) *Any comments about its presentation and length:*

14. Collection-level descriptions - Please answer the following question with as many comments as you see fit:

Is the level of collection description in the Partner Libraries' Collection Policy Statements (http://www.cocorees.ac.uk/coll_temp.html) sufficient as a basis for defining retention and acquisition commitments? If not, what do you think is missing and how could the tool be improved?

SECTION 5 – GOVERNANCE STRUCTURE AND ADMINISTRATIVE SUPPORT

15. Administrative support - Please answer the following question with as many comments as you see fit:

Have you found the level of central administrative support appropriate during the period following the completion of the CURL-CoFoR project, i.e. from September 2004 onwards? If you haven't, please explain why as specifically as possible.

16. Governance structure - Please answer the following question with as many comments as you see fit:

Have you found the governance structure of the scheme appropriate during the period following the completion of the CURL-CoFoR project, i.e. from September 2004 onwards? If you haven't, please explain why and discuss alternatives (e.g. would such a scheme be better governed, for example, by subject library associations, such as COSEELIS in the case of REES?).

SECTION 6 – EXTENSION TO OTHER SUBJECT AREAS

17. Extension of scheme to other subject areas – [This is a question for multi-disciplinary institutions, which needs to be discussed within the framework of the institution's overall development and management strategy.] Please answer the following question with as many comments as you see fit:

Are there any other subject areas or disciplines (law? medicine?) you think would benefit from such a scheme? If there are any, please specify which ones and the reasons for selecting them.

ADDITIONAL COMMENTS

Please provide any additional information or comments here.

END OF QUESTIONNAIRE

3. Analysis of returns

This report contains an analysis of the 16 questionnaires returned. Note that the figures in the right-hand side columns indicate the number of institutions sharing the same views. Within the table this can be indicated by a figure preceded by the x symbol.

SECTION 1 – BENEFITS

1. Collection development and management strategy

| | |
|---|---|
| Has your participation in the scheme already made an impact on the decisions you have been making over the past 18 months about the acquisition, withdrawal (i.e. complete removal of stock rather than relegation to store) and transfer of REES material? | |
| <p>Yes:</p> <ul style="list-style-type: none"> - Birmingham: have not / will not withdraw stock in subjects designated for retention and have / will protect uniquely held journal titles - Bristol: transfer of Czech / Slovak monographs and journal runs to Leeds - BL: added weight added to its case for continuing collecting in areas where the scheme has identified it as the sole or lead collecting institution (especially language-based area studies where the BL has to back up provision for proposed centres of excellence) - Glasgow: receiver of 2 transfers: substantial collection of Baltic materials from Bradford and substantial run of a Russian serial title from Portsmouth - Leeds: 4 transfers to Bristol (Czech / Slovak), Nottingham (Serbo-Croat), Taylor Institution Library (exact stock to be agreed) and SSEES (exact stock to be agreed) - Nottingham: so far a receiver (Serbo-Croat from Leeds), but may become a donor when relegation policy begins to be implemented in earnest next year - UCL (SSEES): about to be receiver of 1 transfer from Leeds; scheme very important in helping formulate long-term collecting policy; scheme mentioned to publishers as a potential basis for national collaborative deals. | 7 |
| <p>Not yet:</p> <ul style="list-style-type: none"> - Bradford - Essex - LSE: but it does not negate usefulness of scheme - agreed commitments reflect collecting policy and leading research library less impacted by institutional shifts of research interests - SPRI: mainly because the Librarian's post was vacant during initial stages of scheme | 4 |
| <p>No:</p> <ul style="list-style-type: none"> - Cambridge - Manchester - NLS - Oxford - RIIA | 5 |

| | |
|--|---|
| Have you taken any decisions or made any plans about the acquisition, withdrawal and transfer of REES material for the next 2 years - i.e. 2006/07 – 2007/08 - in the light of your participation in the scheme? | |
| <p>Yes:</p> <ul style="list-style-type: none"> - Birmingham: intend (a) to increase acquisitions of monographs on economic, industrial and social history of Russia, USSR and former Soviet Union; (b) to withdraw (and transfer if necessary / possible) Russian literary material no longer | 7 |

| | |
|--|---|
| <p>needed for learning or research; (c) to withdraw (and transfer if necessary / possible) out-of-date language-learning materials in Russian and East European languages; (d) to review serials duplicated by other partners</p> <ul style="list-style-type: none"> - BL: informal discussion and cooperation over large and expensive purchases (e.g. microform sets and subscriptions to e-resources) will continue on a more formal and systematic footing - Leeds: will continue to maintain their current level of purchasing on specific aspects of Siberia as agreed in the scheme in spite of the fact that their Siberian specialist has now retired (this has been helped by the fact that the retired academic will continue to make purchase suggestions and the Russian budget allows it.) - Nottingham: the scheme has had an explicit effect in development of relegation policy to be implemented next year and will impact on the sequence of events in decisions about withdrawal of material - RIIA: have reviewed their serial holdings and re-instated subscriptions to some titles which had lapsed - SPRI: have closely reviewed which periodicals they no longer need to subscribe to and decided to focus on material relevant to their regional interests - UCL (SSEES): are considering transferring some less used material to the BL | |
| <p>Not yet:</p> <ul style="list-style-type: none"> - Bradford - Essex | 2 |
| <p>No:</p> <ul style="list-style-type: none"> - Bristol - Cambridge - Glasgow: near-total retention of REES material because of strong research interests in institution - LSE - Manchester - NLS - Oxford | 7 |

| | |
|--|----|
| <p>Can you anticipate the impact your participation in the scheme is likely to have on your decisions about the acquisition, withdrawal and transfer of REES material during the later part of the ten-year partnership, i.e. over the period 2008/09 – 2013/14?</p> | |
| <p>Yes:</p> <ul style="list-style-type: none"> - Birmingham: reply in previous table applies here too - Bradford: highly likely to withdraw a significant number of REES material and offer them for transfer while maintaining their commitments under the Agreement, the scheme providing a framework to do this responsibly, ensuring that unique material is not lost - BL: reply in previous table applies here too; in addition some rationalisation of BL holdings of serials or official publications, involving the withdrawal / transfer of material, might be considered (Legal Gazettes with FLARE and some Russian STM serials) - Essex: marginal until 2013/14 (because they don't anticipate space problems) - Glasgow: on the assumption of relative stability of support and university policies: (a) more transfers from partners; (b) more consultation on purchase of expensive materials; - Leeds: would like to offer their Bulgarian and Ukrainian material for transfer, which would free a substantial amount of space, but the relevant academic department still needs to be convinced (although there is no current planned research and | 11 |

| | |
|---|---|
| teaching in these subjects); - LSE: Very little impact apart from possible transfers from other partners - Nottingham: most of the relegation exercise will have been completed by then but space constraints will probably mean an on-going need to withdraw material; - Oxford: little or no impact (apart from possible transfers from other institutions) - SPRI: They will avoid duplication of marginal material especially with Cambridge University Library - UCL (SSEES): the SSEES Library will be full within the next few years and the scheme will make it possible to focus more precisely on the School's teaching and research needs; this is likely to lead to transfer from and to other partners; | |
| No: - Bristol - Cambridge - Manchester - NLS - RIIA | 5 |

| | |
|---|----|
| Has the scheme so far enabled you to identify 'new' UK-wide gaps in REES research resources? | |
| Yes: - Birmingham: social history not explicitly covered by scheme of commitments; have not discussed it with the Partnership but are willing to commit to this subject area as it is part of their existing collecting policy - BL: the BL status as the principal national research collection in REES is recognised in the partnership agreement (Schedule B) and the BL, as far as funding allows, aims to collect less well provided in other UK libraries; the Desiderata List has been particularly useful because it focuses on collections rather than single items; - UCL (SSEES): discussed who should subscribe to certain very expensive items and the scheme has helped make cases for funding those purchases | 3 |
| No need / time to investigate so far | 2 |
| No | 11 |
| Have requested new items to be added to Desiderata List (e.g. microform sets and online subscriptions) | 3 |

| | |
|---|---|
| Has the scheme made it easier / will the scheme make it easier for your library to decide which of its REES material needs to be retained | |
| Yes - Birmingham - Bradford - Bristol: because decision can be taken in the knowledge that the material will be well used by researchers in another institution - Leeds: because has alleviated the need for space - SPRI - UCL: because better informed about policies of other libraries | 6 |
| Not yet: - Glasgow: because of near total retention policy, but the scheme will allow more rational and nationally responsible decisions when the need arise to change this policy - Nottingham: because of near total retention policy but the scheme should make it easier for them to be more specific in the future | 4 |

| | |
|---|----|
| - Oxford: because of near total retention policy but the scheme could inform or override this policy if at some future date they have to modify this blanket policy - RIIA: because of near total retention policy but if space constraints become more severe the existence of the scheme and its long-term nature mean that withdrawal decision may be simpler and more coherent | |
| No: - Cambridge - Essex: total retention policy - NLS: total retention policy (would withdraw under exceptional circumstances) | 3 |
| Not applicable: - BL - LSE - Manchester | 3 |
| To decide which of its REES material needs to be withdrawn or transferred (e.g. for space saving)? | |
| Yes: - Birmingham - Bradford - Bristol: because decision can be taken in the knowledge that the material will be well used by researchers in another institution - Glasgow: the scheme will allow more rational and nationally responsible decisions when the need arise to change this policy - Leeds - Nottingham: if we need to be more specific in our retention policy in the future - Oxford: the scheme could inform or override their current retention policy if at some future date they have to modify this blanket policy - RIIA: if space constraints become more severe the existence of the scheme and its long-term nature mean that withdrawal decision may be simpler and more coherent - SPRI - UCL: because better informed about policies of other libraries | 10 |
| Possibly: - Cambridge | 1 |
| No: - Essex: total retention policy - NLS: total retention policy (would withdraw under exceptional circumstances) | 2 |
| Not applicable: - BL - LSE - Manchester | 3 |
| To commit to some or to further acquisitions responsibilities | |
| Yes: - Birmingham: helped to make the case for continuing a grant for REES research materials of £3,000, which otherwise would have been withdrawn - BL: informal discussion and cooperation over large and expensive purchases (e.g. microform sets and subscriptions to e-resources) will continue on a more formal and systematic footing; in addition some rationalisation of BL holdings of serials or official publications, involving the withdrawal / transfer of material, might be considered - SPRI - UCL: because of the information made available by the scheme on the pattern of national provision | 4 |
| Not yet: - Bristol: | 3 |

| | |
|--|---|
| - Leeds: but could do as space has been created - Oxford: but this avenue has not been explored so far | |
| Possibly: - Glasgow: depends on developments in research activities - Nottingham: once the relegation exercise has been completed | 2 |
| Unlikely: - Cambridge | 1 |
| No: - Bradford - Essex: no effect so far - LSE: any further commitment will have to fit with the institution's collection policy - NLS: no effect so far - RIIA | 5 |
| Not applicable: - Manchester | 1 |

2. Academic liaison

| | |
|--|----|
| Have REES academics in your institution been aware of BASEES' involvement with the scheme and has this had any positive impact on the way they have received the scheme? | |
| Yes: - but not aware of impact x 3 - but probably not the members of staff who joined the department after the signature of the Agreement x 2 - but only via their own direct membership of BASEES x1 - and academics reassured by BASEES's endorsement of scheme (and research mapping) x 3 - and academics appreciate that the subject is suffering from under-investment and appreciate designated material being protected against withdrawal x 1 | 10 |
| No: - SPRI: the relevant member of staff does not attend BASEES conferences | 1 |
| Don't know : Bradford; Cambridge | 2 |
| N/A (national libraries) | 2 |
| No reply: Bristol | 1 |
| Have you encountered any opposition from REES academics in your institution hindering the implementation of your commitments, e.g. as a result of the preparations for RAE 2008? | |
| Yes: - Oxford: some initial anxiety about possible loss of certain collections, but the scheme has not committed the University to any loss by transfer | 1 |
| No: - Because the scheme makes it possible for local research and teaching to remain the first priority and does not compel partners to transfer material they do not wish to transfer x 1 - But academics whose research interests are not in the designated areas would also like same level of investment in materials x 1 - Probably because the library has so far been a receiver rather than a donor of material, but the scheme should help to convince academics it will be done in a controlled and careful manner x 1 - But were not convinced of the value of de-duplication x 1 | 12 |
| Yes and no: - Leeds: not in relation to RAE but did not want to let go of a collection 'just in case' | 1 |

| | |
|---|---|
| N/A (national libraries) | 2 |
| Do you think that the scheme has resulted in improved awareness of UK-wide availability of REES research resources amongst researchers? | |
| Yes: - through discussions at local library committees and web site x 1 - thanks to online collection descriptions x 1 - thanks to involvement of BASEES x 1 - Serials list particularly well received by academics - a little x 1 - Essex: more because of inclusion of REES holdings in COPAC | 8 |
| Probably: Cambridge; Nottingham | 2 |
| Probably not: Birmingham | 1 |
| No: Leeds; SPRI | 2 |
| Don't know: Bradford; | 1 |
| No reply: Bristol; NLS | 2 |

3. Expenditure (in £) on REES acquisitions

| Institutions | Types of material | 2003-2004 | 2004-2005 | 2005-2006 (budget) |
|---|-------------------|----------------|----------------|-----------------------|
| Birmingham | Monographs | 2,661 | 3,305 | 6,000 |
| | Serials | 23,985 | 23,077 | 24,750 |
| | Others | | | |
| | Total | 26,646 | 26,382 | 30,750 |
| <ul style="list-style-type: none"> Serials include e-resource subscriptions, monographs include microforms and audio-visual There will be some additional relevant acquisitions from other budgets | | | | |
| Bradford | Monographs | 2,500 | 2,000 | 1,750 |
| | Serials | 7,123 | 6,162 | 6,470 |
| | Others | | | |
| | Total | 9,623 | 8,162 | 8,220 |
| <ul style="list-style-type: none"> Although the actual expenditure is small, and in the area to which they are committed they have purchased only c.50-60 titles per annum, they have nevertheless added in 2005-2006 c.1500 titles that have been acquired through donation. | | | | |
| Bristol | Monographs | 4,526 | 5,167 | 2,882 |
| | Serials | 3,439 | 3,830 | 4,335 |
| | Others | | | |
| | Total | 7,965 | 8,997 | 7,217 |
| <ul style="list-style-type: none"> The monographs section of the table includes spending on multimedia items, such as DVDs. | | | | |
| British Library | Monographs | 156,312 | 162,064 | 169,067 |
| | Serials | | | |
| | Others | | | |
| | Total | 156,312 | 162,064 | 169,067 |
| <ul style="list-style-type: none"> Figures for serials and 'others' could not be extracted because of the way management information is configured. The total therefore does <u>not</u> include serials and others. The figures provided are for Slavonic and East European languages <u>only</u> (or published in the region). It is not possible to say how much is spent on materials about the region published in other European or world languages or in English from North America etc. The figures for monographs should be viewed as a guide only, because they include not only money spent on purchased monographs for the collections, but also monographs purchased for exchange-partner libraries overseas for which the BL might receive monographs or serials in return. | | | | |
| Cambridge | Monographs | 33,478 | 31,538 | 36,013 |

| | | | | |
|---|--------------|-------------------|-------------------|-------------------|
| | Serials | Not known | Not known | Not known |
| | Others | | | |
| | Total | 33,478 | 31,538 | 36,013 |
| <ul style="list-style-type: none"> The total figure does <u>not</u> include serials. | | | | |
| Essex | Monographs | 7,860 | 14,507 | 7,500 |
| | Serials | 25,045 | 22,137 | 23,166 |
| | Others | | | |
| | Total | 32,905 | 36,644 | 30,666 |
| <ul style="list-style-type: none"> The substantial increase in the monograph expenditure in 2004-05 was due to the purchase of a large microform set. | | | | |
| Glasgow | Monographs | 19,875 | 19,563 | 22,455 |
| | Serials | 27,145 | 29,317 | 30,176 |
| | Others | - | 1,004 | 369 |
| | Total | 47,020 | 49,884 | 53,000 |
| <ul style="list-style-type: none"> At present funding for Russian and East European Studies is top-sliced and not subject to the formula applied elsewhere. This situation may not always continue. | | | | |
| Leeds | Monographs | £8,664 | £10,101 | £10,850 |
| | Serials | £3,339 | £3,588 | £3,736 |
| | Others | N/A | N/A | N/A |
| | Total | £12,003 | £13,689 | £14,586 |
| LSE | Monographs | 10,060 | 12,320 | 10,260 |
| | Serials | 4,730 | 2,200 | 3,070 |
| | Others | 4,380 | 8,210 | 6,800 |
| | Total | 19,170 | 22,730 | 20,130 |
| <ul style="list-style-type: none"> These figures include Slavonic language material and REES material in other languages. | | | | |
| Manchester | Monographs | 2,800 | 3,000 | 3,500 |
| | Serials | | | |
| | Others | | | |
| | Total | 2,800 | 3,000 | 3,500 |
| <ul style="list-style-type: none"> The figures for serials and others are not available as they are part of the Library's overall purchasing figures. Therefore the total figure does <u>not</u> include serials and others. The Library uses Eastview and has bought heir Russian package. | | | | |
| NLS | Monographs | 7,000 | 7,500 | 7,000 |
| | Serials | 1,500 | 1,500 | 1,500 |
| | Others | 250 | 250 | 250 |
| | Total | 8,750 | 9,250 | 8,750 |
| <ul style="list-style-type: none"> These are estimates. | | | | |
| Nottingham | Monographs | 7,950 | 7,950 | 7,850 |
| | Serials | 2600 | 2,200 | ? |
| | Others | 1,750 | 1,870 | ? |
| | Total | 12,300 | 12,020 | ? |
| <ul style="list-style-type: none"> 'Others' includes standing orders, abstracts and indexes, news digests etc. The decrease in spending on journals does not reflect cancellations but an anomalous payment for one journal during the period covered. | | | | |
| Oxford | Monographs | £52,248.00 | £44,383.37 | |
| | Serials | £32,007.27 | £22,818.69 | |
| | Others | £2,278.30 | £3,710.65 | |
| | Total | £86,533.57 | £70,912.71 | £82,733.00 |
| <ul style="list-style-type: none"> Reduced expenditure in 2004/05 was largely due to time being spent on a review of Library provision in general within OULS and an inquiry into Slavonic studies in particular. | | | | |
| RIIA | Monographs | | | |
| | Serials | | | |

| | | | | |
|---|--------------|----------------|----------------|--------------|
| | Others | | | |
| | Total | | | |
| <ul style="list-style-type: none"> • They do not have the resources to analyse their acquisitions by subject areas. • They receive a considerable amount of presented and exchange material, so expenditure and acquisitions do not relate closely. | | | | |
| SPRI | Monographs | | | 749 |
| | Serials | | | 650 |
| | Others | | | |
| | Total | | | 1,399 |
| UCL (SSEES) | Monographs | 121,902 | 125,912 | |
| | Serials | 97,031 | 115,935 | |
| | Others | | 10,272 | |
| | Total | 218,933 | 252,119 | |
| <ul style="list-style-type: none"> • Includes English language material and a small amount of more general material to support courses. | | | | |

4. Volume of withdrawals (i.e. complete removal from stock of material the library was not obliged to keep under the Agreement) – Transfers not included

| Institutions | Up to February 06 | In 2006/07 – 2007/08 | In 2008/09 – 2013/2014 |
|-----------------|---|---|---|
| Birmingham | 0 | <ul style="list-style-type: none"> • 4,000 (i.e. 4% of) monographs • Possibly small numbers of serials runs | <ul style="list-style-type: none"> • 2,500 (i.e. 2.5% of) monographs • Possibly small numbers of serials runs |
| Bradford | 0 | 0 | 0 |
| Bristol | 0 | No plans to withdraw but situation could change | No plans to withdraw but situation could change |
| British Library | 0 | 0 | 0 |
| Cambridge | 0 | 0 | 0 |
| Essex | 0 | 0 | 0 |
| Glasgow | 0 | Impossible to predict | Impossible to predict |
| Leeds | 0 | 0 | Don't know yet |
| LSE | 0 | 0 | 0 |
| Manchester | 0 | 0 | 0 |
| Nottingham | <ul style="list-style-type: none"> • 0 monographs • 10 yearly runs (negligible % of collection) | <ul style="list-style-type: none"> • 100 monographs (0.002% of collection) • 1-2 yearly runs (negligible % of collection) | Impossible to estimate |
| NLS | 0 | 0 | 0 |
| Oxford | 0 | 0 | 0 |
| SPRI | 0 | Possibly but any withdrawal material has to be offered to other Cambridge libraries first and permission to cancel subscriptions obtained from Cambridge general Committee of Libraries | |
| RIIA | <ul style="list-style-type: none"> • 40-50 monographs | <ul style="list-style-type: none"> • None planned • Ca. 20 runs of | <ul style="list-style-type: none"> • Items published 1965-1975 |

| | | | |
|-------------|--|--|--|
| | <ul style="list-style-type: none"> Ca. 20 runs of serials | serials | <ul style="list-style-type: none"> Ca. 20 runs of serials |
| UCL (SSEES) | <ul style="list-style-type: none"> 248 monographs | Likely to withdraw much more as they review holdings in stores | ? |

5. Volume of transfers

| Institutions | Up to February 06 | In 2006/07 – 2007/08 | In 2008/09 – 2013/2014 |
|-----------------|---|--|--|
| Birmingham | None either way | <ul style="list-style-type: none"> Monographs: any of the expected 4,000 withdrawals that are required by other partners Serials: any of the potential withdrawals that are required by other partners | <ul style="list-style-type: none"> Monographs: any of the expected 2,500 withdrawals that are required by other partners Serials: any of the potential withdrawals that are required by other partners |
| Bradford | None either way | Ca. 500 monographs <u>out</u> (i.e. 0.05% of collection) | Changes to teaching and research may result in block offer for transfer |
| Bristol | <ul style="list-style-type: none"> 80 monographs <u>in</u> (less than 1% of collection) 2 yearly runs of serials <u>in</u> (5% of collection) | No material out | No material out |
| British Library | None either way | No material out | No material out |
| Cambridge | None either way | No material out | No material out |
| Essex | None either way | No material out | No material out |
| Glasgow | None either way | Impossible to predict | Impossible to predict |
| Leeds | <ul style="list-style-type: none"> 85 monographs <u>out</u> (0.5% on Slavonic shelves) 2 yearly runs of serials <u>out</u> (1.4% of collection) | <ul style="list-style-type: none"> 225 monographs <u>out</u> (1% on Slavonic shelves) 6 yearly runs of serials <u>out</u> (0.5 % of collection) | Don't know |
| LSE | None either way | No material out | No material out |
| Manchester | None either way | No reply | No reply |
| Nottingham | <ul style="list-style-type: none"> 40-50 monographs <u>in</u> (negligible % of collection) | <ul style="list-style-type: none"> 200-300 monographs <u>out</u> (ca. 0/007 % of collection) | Don't know |
| NLS | None either way | No material out | No material out |
| Oxford | <ul style="list-style-type: none"> 1 monograph <u>in</u> | <ul style="list-style-type: none"> Ca. 180 monographs <u>in</u> | 0 |
| RIIA | None either way | None planned | <ul style="list-style-type: none"> Items published 1965-1975 (if they |

| | | | |
|-------------|-----------------|--|--|
| | | | have the resources to organise transfer) |
| SPRI | None either way | Possible | Possible |
| UCL (SSEES) | None either way | Ca. 300 monographs transferred <u>in</u> | Don't know |

6. Volume of serials cancellations as a result of the scheme

| Institutions | Number of serials cancelled | Number of serials to be cancelled in 06/07 | Anticipated number of serials cancellation in 07/08 | Anticipated number of serials cancellation in period 08/09 – 13/14 |
|-----------------|-----------------------------|--|--|--|
| Birmingham | 0 | £2,500 worth of subscriptions? | Cannot predict | Cannot predict |
| Bradford | 7 | 0 | Cannot predict | Cannot predict |
| Bristol | 0 | 0 | Cannot predict | Cannot predict |
| British Library | 0 | 0 | None anticipated | None anticipated |
| Cambridge | 0 | 0 | None anticipated | None anticipated |
| Essex | 1 | 4 or 5 | Cannot predict | Cannot predict |
| Glasgow | 0 | Not yet decided | Cannot predict | Cannot predict |
| Leeds | 0 | 0 | None anticipated | None anticipated |
| LSE | 0 | 0 | None anticipated | None anticipated |
| Manchester | 0 | 0 | None anticipated | None anticipated |
| Nottingham | 0 | 0 | None anticipated | None anticipated |
| NLS | 0 | 0 | None anticipated | None anticipated |
| Oxford | 0 | 0 | Cannot predict | Cannot predict |
| RIIA | 2 | 0 | Cannot predict | Cannot predict |
| SPRI | 0 | 0 | Most serials obtained by exchange – may have to consider cancellations if exchange possibilities are reduced | |
| UCL (SSEES) | 0 | 0 | None anticipated | None anticipated |

Note that the following three comments were made:

- 'Many factors will influence serials subscriptions in future, including electronic publishing, open access and licensing issues. National schemes such as CoFoR extended more widely could help make a wider range of titles available at a reasonable price electronically by extending the potential user base. A UK-wide CCM office might have more negotiating power than small groups of libraries in specialist subject areas can manage.'
- The Library would cancel Slavonic journals only on financial grounds, not because of the scheme x 2
- 'More likely than cancellations though – decisions about transferring subscriptions for various indexes to online rather than print. Obviously this might have an impact upon access for users outside the institution which would need to be taken into consideration.'

7. *Space saving (in linear meters) as a result of withdrawals, transfers and cancellation of serials*

| Institutions | Up to February 06 | In 2006/07 – 2007/08 | In 2008/09 – 2013/2014 |
|-----------------|-------------------|---------------------------------------|------------------------|
| Birmingham | 0 | 150? | 100? |
| Bradford | 1 | 12 | Cannot predict |
| Bristol | 0 | None anticipated | None anticipated |
| British Library | 0 | None anticipated | None anticipated |
| Cambridge | 0 | 0 | 0 |
| Essex | 0.1 | 1 | 3? |
| Glasgow | 0 | Cannot predict | Cannot predict |
| Leeds | 6 | 7.5 | Cannot predict |
| LSE | 0 | None anticipated | None anticipated |
| Manchester | 0 | None anticipated | None anticipated |
| Nottingham | 18 | 15 | Cannot predict |
| NLS | 0 | None anticipated | None anticipated |
| Oxford | 0 | None anticipated | None anticipated |
| RIIA | 0 | Cannot predict | Cannot predict |
| SPRI | 0 | Cannot predict – not a pressing issue | |
| UCL (SSEES) | Not known yet | Not known yet | Cannot predict |

8. *Financial savings*

Most partners have not made any financial savings and the three financial savings that have been made are small:

- Bradford have cancelled £1,255 worth of serials, the cuts having been part of an overall need to redress the imbalance of expenditure on books versus periodicals brought about by periodical price inflation;
- Essex have cancelled one subscription amounting to ca. £1,000 – they do not specify how the saved money will be spent;
- RIIA have cancelled 2 Russian newspapers, the saving having been used for the re-instated serial subscriptions;

Bristol have been able to concentrate on building up the library's collection of Czech and Slovak films because they have not been obliged to purchase the material donated by Leeds University. Birmingham anticipate saving £2,500 over the next few years.

Only UCL responded to question 9 (b). They anticipate buying some microfilm sets useful to researchers at UCL if funds allow. The scheme will allow them to identify much more easily any other libraries that might be considering buying expensive titles.

9. *Other benefits*

7 institutions have made comments:

- Birmingham: Being partners in the scheme has helped us to discuss collection development needs with academics, and to set local CM decisions in a national context. It has helped library staff make local CM decisions about retention and withdrawal. We have used membership of the scheme to prevent a research materials grant of £3,000 p.a. from being withdrawn.
- Essex: Raising awareness of collecting priorities in partner institutions

- Glasgow: It is too early to expect the realisation of substantial benefits at this stage. These will come in time provided the scheme can be funded and administered on a stable and enduring basis.
- Leeds: Space saving, and removing material that is not actively taught or researched here, have been and will continue to be the major benefits. There has also been the spin-off that it has dovetailed with our general move to end unwanted exchanges, as 2 Slovak journals we have transferred out came on exchange we were able to an end this exchange thus making a small saving on the items we sent out.
- Nottingham: The benefits of the scheme will definitely become apparent to us as we implement our relegation policy because it offers a solution to the problem of the safe disposal of material which is not currently relevant to the institution but which has an intrinsic value to others. Academic colleagues should in theory be more willing to buy into the idea of relegation in a situation where there is this safety net.
- Oxford: It is extremely useful to have a structured national framework and a central repository of knowledge about REES collections. We are enthusiastic about the commitment to share information about collections and about the value of transfers to OULS. In particular, as a net receiver of transfers, it is helpful that the transferring library carries out all the preliminary checking for duplicates, without which the donations could become a burden. Co-operation over journal holdings could be very fruitful but the construction of a comprehensive and accurate/up-to-date union list is an essential prerequisite. Once in place, an article-copying service could address most problems and would provide a good service to users.
- UCL: On a general level, much better interaction between the partner libraries and a more coherent national collecting strategy in the subject area. If the scheme simply allows a wider range of expensive material to be held in the UK it will have achieved something useful. It should also allow small scattered research collections to be brought together in one place where they can be more readily used by researchers. Extending the records in services such as SUNCAT to more specialist research collections outside HE would be of huge benefit to researchers, particularly if access agreements were put in place.

SECTION 2 – COSTS

10. Costs to the institution

7 institutions said the costs were not quantifiable but not large (Oxford having made the point that the Oxford-based CoFoR-REES Project Manager had done most of the work).

Some respondents said that some of the activities listed in the questionnaire – e.g. CM policy statements or liaison with academics were within the normal job remit of the individuals concerned. Data gathering was mentioned as a routine activity by some, while others said that the data required by the scheme were not those routinely collected by their organisations.

The costs reported by the other 8 partners are minimal:

| Institutions | Activities | Total |
|---------------------|---|-----------------------------------|
| Birmingham | Pre-implementation stage only: <ul style="list-style-type: none"> • Serials listings: 1 day of staff time • Negotiations with scheme administrator – 2 days of staff time • Policy statements, data gathering & liaison with academics not included because part of core work | 3 days of staff time |
| Bradford | Pre-implementation stage only: <ul style="list-style-type: none"> • Labour costs for ca. 12 days (mainly academic related with some clerical input): £1,525 | £1,525 |
| Bristol | Pre-implementation stage: <ul style="list-style-type: none"> • No accurate data because current subject librarian was not in post at the time Transfer in (80 monographs & 2 serials in): <ul style="list-style-type: none"> • Liaison with scheme administrator: 1 hour of subject librarian's time • Liaison with transferring library: 1 hour of subject librarian's time • Operation: 6 hours of subject librarian's time | 1 day of subject librarian's time |
| Cambridge | Pre-implementation stage only: <ul style="list-style-type: none"> • Labour costs: £500 | £500 |
| Leeds | Pre-implementation stage only: <ul style="list-style-type: none"> • Policy statements: £70 • Serials listing: £280 • Provision of acquisitions and expenditure data: £70 • Liaison with academics: £40 • Negotiation with scheme administrator: £70 • Attendance at partners' meeting: £280 Transfers out (80 monographs & 2 serials in): <ul style="list-style-type: none"> • Negotiation with scheme administrator: 1 hour of staff time • List of material: 5 hours of staff time • 2 students for 1 day to pack and weigh boxes • 2 hours of office staff time to liaise with courier • Cost of courier: £30 | £1,100 |
| LSE | Pre-implementation stage only: <ul style="list-style-type: none"> • Policy statements: £60 • Serials listing: £560 • Extraction & collation of acquisitions and expenditure data: £280 • Liaison with academics: £30 | |

| | | |
|------------|---|------------------------|
| | <ul style="list-style-type: none"> Attendance at partners' meeting: 280 | £1,210 |
| Nottingham | Pre-implementation stage: <ul style="list-style-type: none"> Staff time: £400 Transfers (40-50 monographs in & 200-300 out): <ul style="list-style-type: none"> List checking: £50 Cataloguing: £100 | £550 |
| SPRI | Pre-implementation stage: <ul style="list-style-type: none"> Policy statements: 4 hours of staff time Serials listing: 3 hours of staff time Provision of acquisitions and expenditure data: 3 hours of staff time Liaison with academics: 2 hours of staff time Negotiations with scheme administrator – 5 hours of staff time Implementation stage: <ul style="list-style-type: none"> Negotiations with scheme administrator – 2 hours of staff time | 2.5 days of staff time |

SECTION 3 – PROBLEMS

11. Limitations of scheme and obstacles to implementation

Very few comments were made in this section – some of them not strictly relevant to the scheme itself:

- Leeds: It will take up to 2 years to complete the 4 transfers agreed at the beginning of the scheme because of pressure on Faculty Team Librarian's time.
- Nottingham: Lack of storage space and lack of staff time might become a problem especially as far as this kind of material is concerned (foreign languages, not all material on online catalogue). It may be tempting to concentrate upon other subject areas where the process is easier and will therefore liberate more space in a shorter period of time.
- Oxford: There may not be sufficient flexibility in the scheme to allow for future significant upturn (or, indeed, downturn) in investment. For example, Oxford is not committed by the agreement to accept transfers of 19th-century Russian literature, but in view of local academic need, we would never wish to significantly reduce our proportional expenditure here and would, in fact, probably increase expenditure given additional resources. It should be possible to reflect such developments in the agreement.
- RIIA have been unable to supply their serials data to SUNCAT because of staff pressure and IT issues.
- SPRI: Lack of staff time to analyse holdings of other libraries and problems with data migration into COPAC.

SECTION 4 – METHODOLOGY

12. CCM Toolkit

5 institutions could not comment usually because they have not used it. But most of the respondents who answered the question have found the document very clear and helpful. It was suggested that:

- As it is justifiably very detailed, it could perhaps be accompanied by a summary ('lite') version and/or preceded by a brief introduction explaining what it is for, who it is for and giving a time scale;
- It could perhaps be made more visually attractive and easier to navigate, possibly by having it in html;
- There is a need to add guidelines on electronic resources;
- Some of the terminology such as 'research mapping' or 'surrogacy' needs to be explained;

Most useful sections (the figure indicates the number of respondents having voiced the same view):

- Framework Agreement x 2
- Framework Allocation Scheme x 2
- Framework Collection Policy Statement x 2
- Collection Description Guidance Notes x 1
- Transfer Guidelines x 2
- Illustrative examples (there could be more of them) x 2

One respondent said the Toolkit had to be tested in other subject areas before any assessment can be made.

13. Collection-level descriptions

| Is the level of collection description in the Collection Policy Statements sufficient as a basis for defining retention and acquisition commitments? | |
|---|---|
| Yes | 6 |
| Excellent first attempt | 2 |
| Yes, but in-depth discussions with libraries and academics also needed – such descriptions can only be a starting point | 2 |
| Yes, but because they could be interpreted by a Scheme Administrator familiar with subject area – this element would have to be replicated in successor schemes | 1 |
| Essential to update regularly | 2 |
| Need to improve presentation of data (especially under Collecting Scope need for prescribed order for listing subjects or very simple classification system) | 1 |
| Not quite sufficient – need to link up to collection policies on institutional web sites | 1 |
| Missing: holdings figures | 1 |
| Missing: acquisition figures | 1 |
| Missing: description of strengths using scheme like Conspectus | 1 |
| Missing: Scott Polar Research Institute under Coverage by Subject | 1 |

SECTION 5 – GOVERNANCE STRUCTURE AND ADMINISTRATIVE SUPPORT**14. Administrative support**

| Was the level of central administrative support appropriate during the period following the completion of the project? | |
|---|---|
| Yes | 5 |
| Excellent (queries promptly answered; transfer facilitated by Scheme Administrator) | 3 |
| Yes until the Scheme of Administrator had to leave (because no more funding) – absolutely essential for scheme to be on professional footing with appropriate funding and staff | 2 |
| Had no cause to call on support | 3 |
| Not really tested because scheme in infancy | 1 |
| No reply | 2 |

15. Governance structure

| Have you found the governance structure appropriate during the period following the completion of the project? Any possible alternatives? | |
|---|---|
| Yes | 7 |
| Yes (COSEELIS playing an important role in governing the scheme), but awareness only through the Scheme Manager and Director – ‘Everything else is behind the scene’ | 1 |
| Success of scheme will depend on standing and credibility of its governing body (CURL’s involvement was very important) | 3 |
| The remit of the RIN suggests it might be the right body for the job | 1 |
| It is important that CURL is seen to be owning and supporting CCM initiatives | 1 |
| Subject-specific library associations / groups have a role to play because of their knowledge of the collections, their already established communication networks and the dedication of their members. But: <ul style="list-style-type: none"> • 1 respondent had misgivings about splitting the work by subject associations / groups as it might lead to too much duplication of effort if a number of subject areas come under the remit of subject librarians • 1 respondent said library associations / groups cannot be expected to <i>manage</i> the scheme as they have not got the necessary funding or staff | 4 |
| It was important to have a wider perspective from the Scheme Management Team, i.e. from outside COSEELIS | 1 |
| No reply | 4 |

SECTION 6 – EXTENSION TO OTHER SUBJECT AREAS**16. Extension to other subject areas**

| Subject areas suggested for extension of the scheme | |
|---|---|
| Foreign language material (language and history) / Modern languages and literatures | 6 |
| Other minority languages and literatures / specialist language areas | 2 |
| Area studies (e.g. Latin American, Oriental) | 3 |
| West European studies | 1 |
| European history | 1 |
| European law | 1 |
| Art and art history | 1 |

| | |
|---|---|
| Disciplines where there is a subject/area library association (e.g. area studies) on the grounds that COSEELIS was crucial to the success of CoFoR-REES | 1 |
|---|---|

Note that:

- 5 institutions have not answered this question, one of them on the grounds that it was difficult to identify any other areas because of the current 'overall shifting nature of the research work' across the University.
- The suggested areas overlap a great deal and the selection shows that librarians are particularly concerned about non-UK publications. The arguments in favour of concentrating on other language collections and area studies are as follows:
 - There is no legal deposit of the foreign language material.
 - Libraries will find it easier to focus on small areas of their collections, as it would '... not create too much work and ... it would be possible to identify academic colleagues who have an interest in knowledge of collections and their likely use, both current and future.'
 - CoFoR was well received at the Conference of Foreign Languages Groups organised by CoFoR in 2005.
 - There have already been some mapping projects in these areas, e.g. Mapping Asia.
 - The decline of European language teaching in schools could lead to the closure of some European Languages university courses and therefore in a reduction in European Languages library funds.

ADDITIONAL COMMENTS

There were only three additional comments, each one voiced by one single institution. The very positive comment from the British Library is reproduced in full (see 3rd bullet):

- 'The scheme has only been in operation for 18 months, which is too early for an objective evaluation of results as 'policy decisions in this area are rarely taken quickly. Procedures and processes for effecting decisions taken, of necessity, are of a deliberate nature.... The scheme will come into its own in the medium and long-term – it is not an area to look for quick fixes or results.'
- 'Any evaluation assessment should recognise that central support for the implementation process has been minimal.'
- The BL made the following point: *'Overall the scheme has been invaluable in cementing already strong cooperative links between UK libraries with REES collections. The serials listing was very useful both as union list for hard to find titles and as a tool for libraries in deciding what to acquire/cancel. When helping with user enquiries the collection descriptions were also very useful. The research-mapping exercise was invaluable in making explicit new patterns in research in the REES field and served to cement good links between COSEELIS and BASEES. The desiderata list, as previously mentioned, has helped identify gaps, has served as a useful current awareness tool in alerting colleagues who have less time to devote to REES collection development to important new resources in the field and formalises the pre-existing informal cooperation in evaluating potential large purchases.'*

Appendix 3 – CoFoR-REES Serials listing

This appendix includes:

- Two excerpts from *Deduplication and the CoFoR Serials Listing: a discussion paper* prepared by Gregory Walker (CUR-CoFoR Project Manager) and Ron Hogg (BL and member of the CURL-CoFoR Management Team), which describe the limitations of the CoFoR-REES Serials Listing;
- Comments emailed by Fred Guy, SUNCAT Project Manager, to CURL (email provided by Robin Green).

Excerpts from the *Deduplication and the CoFoR Serials Listing* paper

4 Limitations of the database

4.1. Duplication is understated in the database by the occurrence of 'false uniques' for several reasons. Libraries differ in their definition of a serial, in their choice of headings, and in their transliteration schemes. Besides this, some have notified titles including, but not consisting exclusively of REES-related material; titles held by a REES centre but not directly relating to REES; and titles from international bodies. Short of making a title-by-title ruling on what counts as a REES serial and what doesn't, no amount of editorial work will fully correct this. Understated duplication will therefore persist in the lists of unica supplied to partner libraries.

4.2. In the case of two or more journals with the same title, the data provided by libraries is not always enough to identify which one is held, so without time-consuming editorial work this may generate either a 'false duplicate' or a 'false unique'.

4.3. A 'unique' listing means that the library with the 'unique' is the only one in the database which has that particular *title*. Where the title is represented in two or more libraries, it is still possible that all or part of one library's *holdings* of that title may be unique. This will cause some overstatement of duplicates unless the holdings statements of 'duplicated' titles can be compared. A full check of this is estimated to take six months full-time, but a pilot might be attempted.

4.4. The only evidence that a serial is current – and hence may be proposed for a continuing subscription – is the presence of an open entry in the holdings statement provided by the library, e.g. 'No.1- , Spring 1994-'. The library's preference will be to leave the entry open if there is doubt about the serial's survival or supply, and this will tend to overstate the number of genuinely current titles.

8 Updating the database

This will be essential if deduplication is to be a continuing process rather than an isolated exercise. It will depend on securing libraries' longer-term cooperation in notifying take-ons and cancellations to a central editor/administrator who can judge the effect of each notification on the national availability of resources. Rather than expecting libraries to notify separately for each subject or area, it is probably more realistic to look for updating procedures that can be based on a national, all-subject serials union list. For the UK this will be SUNCAT, which in 2005 enters its Phase 2, under which it will expand coverage from 22 to over 200 libraries. We suggest that CoFoR makes formal contact with SUNCAT to explore the possibilities for contributing data and benefiting from updates.

Email from SUNCAT Project Manager

-----Original Message-----

From: Fred Guy [<mailto:f.guy@ed.ac.uk>]

Sent: 31 January 2006 10:00

To: Michael Mertens

Cc: a.kovalenko@ssees.ac.uk; l.pitman@ssees.ucl.ac.uk; suncat@lists.ed.ac.uk; peter burnhill

Subject: Suitability of CURL-CoFoR Material for inclusion in SUNCAT

Dear Mike,

Thank you for the request to EDINA to consider taking over the hosting of data in CURL- CoFoR's COCOREES service in SUNCAT.

Members of the SUNCAT Project Team have looked very carefully at the data supplied, evaluating the ease of adding it to the database without creating unnecessary duplicates. They have also assessed the present searching capabilities of CORCOREES and the extent to which the SUNCAT service can provide these.

It is most important to recognise that fundamental to the creation of the SUNCAT database is the matching of incoming records with existing records, ensuring as far as possible that the same bibliographical entities are matched and not duplicated. This is done by identifying a series of key fields, allocating a value to these fields and deeming a match with an existing record when a defined score is reached. Absolutely critical to the success of this process is that incoming records possess data in the high scoring fields. The fields in question are:

- * International Standard Serial Number (ISSN)
- * Library of Congress Control Number
- * Full Title
- * Date
- * Country of Publication
- * Place of Publication
- * Main entry (where appropriate)

The analysis of the sample data received revealed that there was not a uniform style in the records supplied, and that there was insufficient data to allow successful deduplication through the SUNCAT matching algorithm. We carried out a comparison of CORCOREES service records with records for the same item in the holding library OPAC and on SUNCAT. This revealed that the data in the OPAC and SUNCAT was more comprehensive and consistent than the CORCOREES service data. If the CORCOREES data was uploaded to SUNCAT, as it stood, there would be every likelihood that a significant number of records would not match, creating an unacceptable number of duplicates.

The present Aleph 500 searching does not provide for searching of collections or sub-sets of the database so it would not be possible to provide a tailored view for Russian and East European material. SUNCAT does, however, provide very thorough searching facilities such as language, place of publication, ISSN etc.

The data for many CORCOREES service libraries is already held in SUNCAT. Of the 40 libraries listed on the website 16 are already in SUNCAT and at least 5 more are in the process of being added. Indeed, the SUNCAT project is already considering including all but 3 of the libraries.

Accordingly, we feel that major problems would be caused to the integrity of the SUNCAT database if the COCOREES service data was added as it stands and that the way ahead is to add more CORCOREES libraries, using the data from their OPACs. Additionally, and this has already been discussed, EDINA will work with our suppliers, Ex Libris, to develop functionality to allow for tailored views, such as a Russian/East European one, of the data.

Thank you for approaching us about this matter and I will be, of course, very happy to answer any further questions.

Yours etc.
Fred

Appendix 4 – References

CoFoR / COCOREES documents

COCOREES (RSLP Project). *Final Report (modified from COCOREES website)*. Available at <http://www.cocorees.ac.uk/docs/cocofinalrepabr.doc>.

CURL-CoFoR Project. *Accessions and Expenditure for REES Materials (January 2005)*. Provided by the Project Manager.

CURL-CoFoR Project. *Allocation of CoFoR Partners' Commitments under Collaboration Collection Management*. Provided by the Project Manager.

CURL-CoFoR Project. *Collaborative Collection Management Toolkit*. Available at http://www.cocorees.ac.uk/docs/COFOR_Toolkit.doc.

CURL-CoFoR Project. *Deduplication and the CoFoR Serials Listing: a discussion paper*. Provided by the Project Manager.

CURL-CoFoR Project. *Leeds-Bristol Transfer: Procedures and Recording*. Provided by the Project Manager.

CURL-CoFoR Project. *National Desiderata List for Russian and East European Studies (revised June 2005)*. Provided by the Project Manager.

CURL-CoFoR Project. *CoFoR Partner Libraries' Collection Policy Statements for Russian and East Europeans Studies*. Available at http://www.cocorees.ac.uk/coll_temp.html.

CURL-CoFoR Project. *Final Report of the Project Management Team (abridged)*. Available at <http://www.cocorees.ac.uk/Coforfinalrep02.doc>.

CURL-CoFoR Project. *Partnership Agreement on Acquisition and Retention for Russian and East European Studies*. Provided by the Project Manager.

CURL-CoFoR Project. *Partnership Agreement: Schedule B Texts*. Provided by the Project Manager.

CURL-CoFoR Project. *Report on the Future of the CURL-CoFoR Project*. Provided by RIN.

FLAG documents

FLAG Project. *Foreign Law Guide (FLAG): Final Report July 2002*. Available at <http://ials.sas.ac.uk/library/flag/docs/Final%20Report.doc>.

Papers and articles

Peter Clinch. *FLAG: The New Internet Gateway to Foreign Law Holdings in UK National and University Libraries* – published in several journals in 2002 and 2003. Provided by P. Clinch.

Peter Clinch. *The FLAG database updated* – published in a couple of journals in 2005. Draft provided by Peter Clinch.

Marie-Pierre Détraz. *Survey Analysis* commissioned from MPD Consultancy by CHEMS Consulting for the study *Optimising Storage and Access in UK Research Libraries* co-funded by CURL and the British Library, September 2005.

Gregory Walker. *The CURL-CoFoR Collaborative Collection Management Project* - paper presented on 07.07.05 at the LIBER 34th Annual General Conference at the Groningen University Library.

Web sites

ACLAIIR – <http://www.aclair.org.uk/>

ARLIS – <http://www.arlis.org.uk/>

arlis-net – <http://www.arlis.net/>

CASBAH – <http://www.casbah.ac.uk/>

COCOREES / CoFoR – <http://www.cocorees.ac.uk/>

CURL – <http://www.curl.ac.uk>

FLAG – <http://ials.sas.ac.uk/library/flag/flag.htm>

FLARE – <http://ials.sas.ac.uk/flare/flare.htm>

FSLG – <http://fslg.libr.port.ac.uk/>

GSLG – <http://www.gslg.org.uk/>

Hebraica Libraries Group – <http://www.lib.cam.ac.uk/hebraica/hebraicam2.htm>

HEFCE – <http://www.hefce.ac.uk/research/>

ISLG - <http://www.bl.uk/collections/wider/italian/italstulib.html>

Japan Library Group <http://www.jlgweb.org.uk/introduction.htm>

Mapping Asia – <http://www.asiamap.ac.uk/index.php>

Mapping Medicine – <http://library.wellcome.ac.uk/node226.html>

Middle East Libraries Group – <http://www.groups.ex.ac.uk/MELCOM/>

NCOLRN – <http://www.bodley.ox.ac.uk/users/gae/NCOLR/NCOLRWEB.htm>

RIN – <http://rin.ac.uk>

RSLP – <http://www.rslp.ac.uk/>

SCOLMA – <http://www.lse.ac.uk/library/scolma/>

South East Asia Library Group <http://www.bodley.ox.ac.uk/users/gae/NCOLR/salg1.htm>

WESLINE – <http://www.ulrls.lon.ac.uk/wesline/>

Appendix 5 – Glossary

| | |
|------------|--|
| ACLAIR | Advisory Council on Latin American and Iberian Information Resources |
| ARLIS | Art Libraries Society, UK and Ireland |
| BASEES | British Association for Slavonic and East European Studies |
| BL | British Library |
| BL CPP | BL Co-operation and Partnership Programme |
| BLPES | British Library of Political and Economic Science |
| CASBAH | Caribbean Studies, Black and Asian History |
| CASS | Collaborative Academic Store for Scotland |
| CCM | Collaborative Collection Management |
| CM | Collection Management |
| COCOREES | Collaborative Collection Management (RSLP) Project for Russian and East European Studies |
| CoFoR | See CURL-CoFoR |
| CoFoR-REES | CoFoR scheme applied to Russian and East European Studies |
| COPAC | CURL OPAC |
| COSEELIS | Council for Slavonic and East European Library and Information Services |
| CURL | Consortium of Research Libraries in the British Isles |
| CURL-CoFoR | CURL Collaboration for Research Project |
| FLAG | Foreign Law Guide Project |
| FLARE | Foreign Law Research |
| FSLG | French Studies Library Group |
| GSLG | German Studies Library Group |
| HE | Higher education |
| HEFCE | Higher Education Funding Council for England |
| HEI | Higher Education Institution |
| IALS | Institute of Advanced Legal Studies, University of London |

| | |
|---------|--|
| ICS | Institute of Commonwealth Studies, University of London |
| ISLG | Italian Studies Library Group |
| IT | Information technology |
| JISC | Joint Information Systems Committee |
| LSE | London School of Economics |
| NAL | National Art Library |
| NCOLR | National Council on Orientalist Library Resources |
| NRR | National Research Reserve |
| OPAC | Online Public Access Catalogue |
| REES | Russian and East European Studies |
| RIIA | Royal Institute of International Affairs, Chatham House |
| RIN | Research Information Network |
| RSLG | Research Support Libraries Group |
| RSLP | Research Support Libraries Programme |
| SCOLMA | Standing Conference on Library Materials on Africa |
| SCRSS | Society for Co-operation in Russian and Soviet Studies |
| SMT | Science, Medicine and Technology |
| SOAS | School of Oriental and African Studies, University of London |
| SSEES | School of Slavonic and East European Studies, UCL |
| SPRI | Scott Polar Research Institute (University of Cambridge) |
| SU | Soviet Union |
| UCL | University College London |
| UK | United Kingdom |
| VAT | Value Added Tax |
| WESLINE | West European Studies Library and Information Network |

END OF DOCUMENT