

Heriot-Watt University Collection Development Policy (journals and books)

Approved by the Information Services Committee September 2014 following
clarification given in Appendices A to C

Aims and objectives

The aims and objectives of the Library are:

- To support the University's teaching, research and learning, and the needs of the wider academic community, through the development of collections of books, serials, electronic publications and other relevant media within the Library.
- To manage and enhance the collections through appropriate strategies for selection, acquisition, organisation, conservation, access and exploitation.
- To increase access and save physical space through the introduction of an "electronic preference" policy with regards to journals and moving forwards extending this to eBook provision wherever possible as well.
- To facilitate access to externally held sources of information, in either electronic or print formats, through Inter-Library Loan schemes or other national and local arrangements such as the Society of College, National and University Libraries (SCONUL)'s access scheme.
- To provide value for money and improved access to electronic resources through the University's inclusion in collaborative schemes such as the Scottish Higher Education Digital Library (SHEDL), run by organisations including Scottish Confederation of University and Research Libraries (SCURL), SCONUL and Jisc (formerly the Joint Information Systems Committee).
- To provide value for money in the purchase of book and eBook resources through participation in Scottish Procurement Network (SCOPNet) groups and taking advantage of other collaborative opportunities.

Who selects stock?

- In the majority of cases stock is recommended by teaching staff, with additional suggestions coming from Subject Librarians, researchers and students
- Where items are on a reading list they are purchased automatically
- Where items are not on a reading list their purchase must be approved by the Library Representative from that particular School.
- Subject Librarians and other library staff can also make recommendations for stock
- Service Desk staff monitor usage of items and also recommend when additional copies or new editions should be purchased.

Criteria for hardcopy book stock selection

Criteria to be used by Library staff when selecting and purchasing book stock includes:

- Relevance to current teaching and learning
- Stock must meet course needs by reflecting reading lists and wider reading recommended to the students by teaching staff.
- Currency, e.g. new editions of titles should be purchased where appropriate as well as new material on taught areas. Older material should be removed especially in the sciences.
- Items must be appropriate for the level of study from undergraduate upwards
- Items will also be purchased to back up the needs of researchers and research centres as well as of individual postgraduates. However, this will need to be supported by Inter-Library Loan provision.
- In most cases material will be purchased in English unless it is needed for foreign language courses or for translation purposes.
- In most cases paperbacks will be purchased instead of hardbacks as this is more cost effective. Paperbacks will be covered where appropriate to extend their shelf life.
- We will try to have a copy of books written by Heriot-Watt teaching staff available. Ideally donated by the author but we will also try to purchase them where necessary.
- We aim to purchase at least one copy of everything on a reading list.
- Multiple copies of books should only be purchased if used in a current or continuing course at the University in which case a guideline of one copy per twenty students will be used.
- The availability of stock will be managed by the different loan periods with the most popular items being placed on three hour loan, followed by week loan and then standard loan of sixteen weeks.
- Where items are very expensive consideration should be given to whether they can be borrowed from elsewhere locally, within the UK or internationally; or a second hand copy purchased. 'Expensive' is a relative term as books in some subject area cost considerably more than in others. It will also depend on whether the material is a course book or a request for reading from an individual. However, the acquisitions team will query non-course books costing from around £75 and course books from £150. This will also apply to the purchase of material for the branch libraries.
- Purchasing second hand copies will also be considered where material requested by teaching staff is out of print.
- Moving forwards an "electronic preference" for eBooks over hardcopy should be considered where content, access methods and budget allows. This will not only help provide access to multiple users at once but will reduce the amount of new shelf space needed. This should apply to reference as well as lending material.

Donations and purchases by staff

- We welcome donations from staff, students and others as long as they meet the same criteria as the new stock.
- Donations will be integrated into the existing collection and may include additional copies of material on reading lists and replacements for copies in bad condition.
- The Subject Librarians will select those donations that are relevant to library stock and material not selected will be donated to charitable organisations.

- Staff will not be reimbursed for items purchased for additions to the library stock and we will not purchase books to be added to the private collections of staff – all material purchased is for library stock.
- Where a large collection which will need considerable space or financial input is donated, the Director of Information Services will make the decision whether to accept.

Stock relegation and disposal

Stock relegation is an excellent opportunity to ensure that the collection is relevant, current and meets the needs of the users both currently and in the near future. It combines agreed criteria with the expertise of the Subject Librarians and may also include input from academic staff as well.

Criteria for the relegation of book stock

- Items which have not been borrowed for ten years will be considered for withdrawal.
- Stock which is more than thirty years old will be considered for withdrawal unless of importance to the collection or still heavily used.
- Where a newer edition is purchased an older edition of the title will be removed from stock.
- Multiple copies no longer in heavy demand will be reduced after checking usage on the library management system.
- Items relating to courses which are no longer run by the University will be removed unless deemed of current or historical interest by the Subject Librarians.
- Items where the physical condition is beyond repair will be withdrawn or replaced after consultation with the Service Desk staff. If necessary second-hand copies in good condition will be sought as replacements if books are out of print and no longer available from the usual suppliers.
- Availability of shelf space both currently and in the near future will be considered both in general and in specific subject areas.
- Items of financial or historical importance should be retained, as should items relating to the University.
- Items which are needed under the terms of the Copyright Licensing Agency (CLA) Higher Education Basic Scanning Licence should be retained.

For clarification on the process for the relegation of book stock see Appendix C

The process

- Material will be selected for potential withdrawal using the criteria above and removed from the shelves and the library catalogue but not physically marked as withdrawn.
- Subject Librarians will be told in advance when this process will be happening so that they can input into whether stock should be removed.
- Once material has been removed from the shelves Subject Librarians will be given two weeks to check it and put aside any items which they think should be retained or which they wish to consult with academic staff about. The time limit will be adhered to to make sure that the withdrawal process runs efficiently.
- Unique print items (within Scotland) which will enhance research collections held in Scotland should be retained for communal access and benefit wherever possible. Also Scottish material representing the intellectual capital of Scotland should be retained (both as per SCURL's collaborative print retention policy).
- Material selected to be retained by the Subject Librarians will be returned to the shelves where possible and other material will be physically marked as withdrawn, removed from the catalogue and disposed of.

For clarification on the process for the relegation of book stock see Appendix C

Disposal

- Withdrawn books will be given to charitable organisations unless they are specifically requested by staff or students.
- Items of potential financial value will also be treated in this manner as the University receives a percentage of each sale as income from the charitable organisation the book stock goes to.
- However, items which may be of considerable value may be sold to reputable booksellers.
- Where the above is not appropriate items will be disposed of in an environmentally responsible method.

For clarification on the process for the relegation of book stock see Appendix C

Criteria for the relegation of journal stock

- There should be a move from having print journal material held "just in case" to providing material "just in time" as it is needed.
- Where closed runs of journals are now available electronically as part of University subscriptions the hardcopy will be disposed of.
- Where closed runs of journals aren't available electronically but hardcopies are available to consult at the National Library of Scotland (NLS) or the University of Edinburgh the hardcopy will be disposed of.
- Journals relating to courses which are no longer run by the University will be removed unless deemed of current or historical interest by the Subject Librarians.
- Availability of shelf space both currently and for the near future will be considered both in general and in specific subject areas.
- Currency of information, especially in science-based disciplines will be considered.
- Purchasing backfiles for electronic journal subscriptions will be considered where considerable space could be freed up for journals which we already have online partially.
- Joining schemes such as LOCKSS and PORTICO which will guarantee perpetual access to electronic resources will be considered
- Joining the UK Research Reserve (UKRR) will be considered although unfortunately the next stage of the programme is not until January 2015. The scheme allows academics libraries to dispose of low-use journal material safe in the knowledge that they are available elsewhere in the UK so that access for academics is maintained.
- Paper copies should be discarded where we have access to a guaranteed electronic archive through Jisc or JSTOR.
- If closed run journals are still thought to be useful for stock but might not be accessed frequently, and no electronic or alternative local access is available, they should be placed in closed access storage either on- or off-site to be retrieved when needed and their usage monitored.
- Moving forwards, any current journal subscriptions which are currently print only should be switched to electronic access only.
- Moving forwards, any current journal subscriptions with a print as well as online access element should have the print element cancelled or it should be refused from the publisher.

- Moving forwards, any new journal subscriptions should be electronic only wherever possible with no print subscriptions taken out.
- The expertise of the Subject Librarians, in consultation with academic staff where appropriate, will be required to remove any journal content completely from stock (as opposed to changing its format to electronic).

For additional clarification on the relegation of journal stock see Appendix A and on the process for renewing current journal subscriptions and requesting new titles see Appendix B

Appendix A - Policy on the potential relegation of journal stock

This policy will help move IS towards an electronic preference approach to resource provision going forwards and will provide electronic-only access to journals where possible. To summarise:

1. There should be a move away from maintaining journals, and also book stock, “just in case” to providing material electronically or through Inter Library Loans “just in time”
2. The collection should be current and there should be a move away from storage of historical material
3. IS should move to an e-only strategy for those journal subscriptions which are available electronically.

In order to implement this:

- IS does not have access to off-site storage, nor is it likely to in the near future. There is a very limited amount of closed access shelving in the building which is only accessible by IS staff. This almost full to capacity currently and is likely to be totally full by the end of FY 2014/2015 if no intervention is taken.
- A move away from maintaining journals, and also book stock, “just in case” to providing material electronically or through Inter Library Loans “just in time” is needed to free up space for the closed access stacks; the addition of new book and journal stock on the open access shelves; student study space, and for other possible developments.
- The collection should be current and there should be a move away from storage of historical material which no longer meets current and forthcoming teaching/research needs.
- First, closed runs of journals that have ceased publication or that we no longer subscribe to but which we have electronic access to the full years of should be removed. Priority for weeding will then be for items on closed access shelves for which we have evidence of very infrequent consultation.
- However, before they are recycled it is important to check that we are not discarding the last Scottish copy, so that material is not lost for the Scottish and UK academic communities, and that the material is available in hardcopy at the National Library of Scotland or elsewhere in Scotland.
- If material is not available electronically the School it relates to should be contacted to ascertain if it is still of use for current or forthcoming teaching/research. If it is, the journal should be kept. If not, it should be discarded if it is available elsewhere in Scotland but maintained if it is the last Scottish copy.
- Moving forwards, IS will investigate the costs of extending electronic access to closed runs of journals which we do not currently have as eJournals (but where electronic access is available from the publishers). However, journals where we have the last Scottish copy will still need to be maintained.
- With the 2015 journal subscription renewals, IS should move to an e-only strategy for those journal subscriptions which are available electronically and which we do not have the last Scottish copy of.
- Where full runs of current journal subscriptions aren’t available electronically the hardcopy should be maintained for those years where eJournals are not available and discarded for the years where we do have eJournal access (unless it is the last Scottish copy).

- IS should continue to maintain the hardcopies of journal subscriptions which are not available electronically currently.
- IS should continue to maintain the hardcopies of journal subscriptions where we have the last Scottish copy.

Appendix B - Process for renewing current journal subscriptions and requesting new titles

The annual cycle for journal renewals below should be followed which formalises practices which have historically been used but haven't been laid out in a procedure:

- April – usage figures compiled by Information Services (IS) for eJournals and other electronic resources for the previous year.
- Early May – all usage figures sent to the Subject Librarians (SLs) and Library Representatives (LRs) to distribute to their Schools. Previously usage figures for eJournals with a cost-per-use of £20 or more were distributed. Historically, this figure was chosen to reflect the cost of getting two Inter Library Loan requests. However in 2014 Schools will receive all cost-per-use figures as requested by the IS Committee. This will provide a lot more information and feedback will be requested later in the year on whether this is useful or too detailed and any adjustments made going forwards.
- May to the start of July – Schools to consider which subscriptions are suitable for potential non-renewal and also provide a list of any new titles for potential purchase. SLs and LR for each School to compile the information and return it to the IS.
- July and August – IS to investigate potential new subscriptions and compile cost and access details. IS also to look at potential cancellations and highlight any 'swaps' which could be made within eJournal packages where one journal can be substituted for another. This should be given close consideration as many journal subscriptions are currently part of larger non-cancellable journal bundles. IS to provide the information to the SLs and LR by end of August.
- September – Schools to make final choices based on information provided by IS and return the information to IS. IS to check the feasibility of the choices from a budgetary and resource availability perspective and liaise with the Schools as needed about their requests.
- October – New subscriptions and non-renewals to be communicated to the subscription agent (or direct to the publisher if appropriate) by IS.
- November/December – payments to be made to the subscription agents/suppliers for subscriptions for the year ahead (unless a pre-payment deposit with our subscription agent is used which is currently under consideration).
- Ongoing: throughout the course of the year information about potential new subscriptions should be given to the SLs by academic staff in their Schools. The SLs should compile this and give a full, finished list to the resources staff between May to the start of July.

Appendix C - Clarification on the process for the relegation of book stock

- Criteria for weeding will be established based on the age of the items and the last date of borrowing. An initial weed was undertaken based on items over forty years of age where they had not been borrowed in the last ten years. Weeded items were checked by the SLs in consultation with academic colleagues.
- Going forwards, lists of material to be potentially withdrawn from stock will be downloaded from the library catalogue and distributed to the Subject Librarians (SLs) for comment and to request that any particular books are kept. The list will be arranged by class mark so that the SLs can easily identify the subject areas which they are responsible for.
- These lists could also be distributed to academic staff by the SLs if academic staff would like input into the process. Additionally a broad list of class numbers could be provided for academic staff so that they know which subject areas are relevant to their research. It will be possible to filter in the Excel spreadsheet and just look at classmarks which are of interest if preferred rather than the overall list and to make comments on them.
- A set time period of four weeks will be given for feedback to be obtained from the SLs, and potentially from academic staff, with comments returned to the resources staff.
- The catalogue records for any items that SLs or academic staff request are kept in the collection will be updated so that they will not go into future rounds of weeding.
- After this the remaining stock on the list will be removed from the shelves and placed on the closed access shelves downstairs. As previously agreed with the SLs, they then have two weeks to look through the books and request that any further items are returned to stock. As above, the catalogue records for any which are kept should be updated by the resources staff.
- If of interest, individual academics could also arrange to see the physical stock during this time period. However, due to space restrictions it is not possible for material at this stage to be kept on the closed access shelves for longer periods as the space is needed to continue the process.
- Finally, once material is stamped as withdrawn and removed from the catalogue any relegated books will be sent to Better World Books to be sold. HWU receives a percentage of the income from this and the rest is distributed among Better World's charity literacy partners.
- In general it is not possible for relegated material to be offered to academic staff instead of Better World Books as this would prevent money from being fed back into the IS budget and given to charity. However, if while checking material for potential relegation an academic sees a particular item which would otherwise be sent to Better World and is useful for their research it should be possible to keep this and IS staff should be consulted.