University of Huddersfield
Computing and Library Services
Collection Management and Development Policy
Revised December 2014

Context:
This policy aligns with the following themes in the University Strategy 2013-18:

- Inspiring - to inspire our students to attain the highest academic and professional standards; to enjoy an outstanding university experience and to inspire employable and enterprising graduates
- Innovative – to increase the number of our research active staff and the quality of their outputs; the quantity and quality of our postgraduate research community and the quality and range of our external research, enterprise and innovation income
- International – to become an increasingly popular destination of choice for world class international students; ensure our international students have an inspiring world class student experience and become ranked as an outstanding international university

1. Introduction
The role of the library is providing scholarly information in support of the University’s teaching, learning and research activities and in support of student satisfaction, attainment and retention.

This document acts as a statement of policy and also as guidance for working practice and is intended to be flexible and responsive to the changing needs of the University. It includes the use of library analytics and metrics in ensuring the policy is embedded.

Library collections include online as well as materials physically held in the University Library.

Separate policies cover the management and development of the Archives and Special Collections, the Repository; Reading Lists and Open Access Publishing.

2. Budget allocation (Agreed by QSAG 11.09.2014 See Appendix B)

2.1 Information Resources Budget
The Library’s information resources budget is derived from Computing and Library Services Revenue funding. This budget currently supports teaching, learning and research.

Budget will be allocated to support Schools on the basis of the following:

- Recurrent expenditure on subscriptions for databases and journals and e-book collections will be top-sliced
- Patron-Driven Acquisition will be top-sliced from the remaining budget for books
- The remaining books budget will be split amongst schools using HESA fte numbers

These budgets will be prioritised for Reading List material followed by other items selected by academics and subject librarians. Document delivery and an urgent process for purchase of print books will also be used to meet student demand

Teaching and Learning
Whilst there is overlap in provision for research in subscriptions to journals and databases acquired to support learning and teaching, providing all the information resources required by the university is

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1 Patron Driven Acquisition is a method of purchasing materials for a library based on known user demand. It is an example of the ‘Just-in-time’ acquisitions model which ensures the needs of the user are met, as opposed to the ‘Just-in-case acquisitions model which is the traditional way in which materials are selected by an academic or librarian in anticipation of the user’s needs.
becoming increasingly difficult to sustain due to publisher price increases.

The move to Open Access publishing may reduce overall subscription costs in the future, but it is unlikely to happen for several years.

The Reading List software has improved information both for the library and academics re the acquisition of books on lists, but there remain challenges in book provision, including:

- ensuring up to date titles are acquired, especially those on reading lists
- ensuring books acquired are appropriate to student needs
- making sufficient provision for ‘popular’ titles
- increasingly print runs are being kept short by publishers, small print runs results in books being ordered which are already out of print

The library will continue to raise awareness of these issues with academics.

Research
The focus on increasing research in the university has brought significant challenges in terms of budget allocation.
A separate budget to support research may need to be sought from other university budgets.

2.2 Budget for Information Resources Supporting Learning and Teaching

The following principles will be adhered to in allocation of funds:

2.2.1 The remaining budget for books will prioritise material to fulfil the requirements of reading lists. Electronic versions of books on reading lists will be obtained whenever they are available. In terms of the essential category on reading lists, the number of copies of print books will depend on the availability of an electronic copy; the number of students on the module; the simultaneous cross usage on concurrent modules and historical usage of the title. Metrics will be used to inform all management decisions in this principle.

2.2.2 We aim to provide an appropriate level of subscriptions for journals, databases and standing orders in order to meet the course requirements as set out in validation documents and to fulfil the requirements of reading lists. These will be subject to price increases.

2.2.3 New modules and courses
A portion of the budget will be available to fund resources for new courses following receipt of the resource statement submitted in the validation document. Amounts will be allocated according to the number of students on the course; material on the reading list and average book and journal prices for that subject area derived from publisher information.

2.2.4 Service standards will be used to ensure materials are acquired in an economically viable and timely manner as set out in contracts with suppliers, agents and publishers.

2.3 Budget for Information Resources Supporting Research

The allocation of funds to support research will include funds to support general resources as well as those required to support submissions for Research Excellence Framework exercises. However where funds are insufficient, additional funding may be sought from other university budgets.

- General research resources: includes those which support research methodology and data collection analysis. Usage metrics will be used to ensure sufficient materials are provided.
Specific resources, identified through consultation, which support research being undertaken in Schools and Research Centres. Where funding obtained for the research includes a portion for resources this should be recouped from Research & Enterprise or from the School as appropriate.

3. Selection of resources

3.1 General principles
Information resources are obtained in a range of formats to suit specific requirements including those of international; disabled and part-time students. Electronic versions will be provided where available.

3.2 Reading Lists
Module and Course Leaders must provide and update Reading Lists as per the Reading List Policy approved by QSAG.

3.3 Other reading
Studies have shown there is a link between student attainment and the volume and range of material read. In order to encourage students to read as widely as possible, the Library will provide items other than those on reading lists, as well as material which facilitates the University’s research programme and material enabling teaching staff to maintain currency with their subject area. However, a business case should be provided for any new resources, particularly those requiring recurrent expenditure as outlined on the ‘Request for Library Resources form’ which can be found in Appendix A.

4. Access to Information Resources

4.1 Selection Access and Processing
Purchases of e-resources will be subject to the list of ‘deal breakers’ for academic institutions when licensing electronic resources as recommended by the TERMS project. Available at: http://tinyurl.com/179rwr

4.2 Summon
The preferred method of access to all electronic information resources is the Library web scale discovery system, Summon. In making the decision to purchase, consideration should be given to whether the resource is indexed in Summon.

4.3 Accessibility
Accessibility issues for users with disabilities will be a contributing factor to the purchase/renewal/cancellation of a resource. Where a resource, such as an e-book, database etc. is available on more than one platform, the library may base a decision to purchase a particular platform on accessibility issues.

4.4 National tenders and agreements
The Library purchases material from a range of suppliers, taking advantage of contracts negotiated by purchasing consortia both regionally and nationally in order to provide best value. Suppliers are monitored to ensure their services meet the criteria provided in service level agreements.

5. Acquisition and processing

5.1 Books

5.1.2 Printed books
Printed books, including out of print titles, are acquired from shelf ready book suppliers except in exceptional circumstances. Urgent requests are provided using suppliers’ shelf ready book priority services. Paperback editions are purchased in preference to hardback on the grounds of cost.
Academics will be notified when new editions are available wherever possible.

5.1.3 Electronic Books
E-books will be purchased where available, depending on costs and methods of access.

5.1.4 Donations
The acceptance of donations is discouraged, as processing and providing records for these items adds significantly to the cost. However, if an item is unobtainable from any other source and is relevant to support current teaching or research activity, then acceptance will be considered.

5.1.5 Replacements
Every effort will be made to replace lost or damaged stock when it is still in print and relevant to current needs. Where an item on a reading list is irreplaceable, the member of academic staff will be contacted and asked for alternative suggestions.

5.2 Journal and databases
Journals represent an expensive recurring expenditure to the library. New title subscriptions will be made after liaison between the Library and appropriate School.
A ‘Request for Library Resources form’ must be filled in. See Appendix A
The default format for new journal subscription is electronic only, except in exceptional circumstances.
All journal subscriptions are subject to annual review; this process involves discussion between the Academic/subject librarians and the individual Schools.

The library is replacing current print subscriptions with e-only formats where cost is not prohibitive. Print archives will also be replaced by electronic archives, where funding is available. See section 8 Digital Preservation.

5.3 Theses and Dissertations
The university regulations state that postgraduate research theses should be submitted to the University Repository. For details of the Repository Theses Policy see http://eprints.hud.ac.uk/policies.html

5.4 Streaming media
The Library streams video files of off-air recordings which are accessible to both staff and students. Regular reviews will take place as the service develops, to ensure sufficient electronic storage is available.

6. Monitoring Usage
Usage is monitored over a substantial period of time (3 years) before cancellation is considered.

6.1 Usage Statistics
Usage statistics can be influential in deciding if a resource should be reviewed and flagged up for better promotion or possible cancellation. However, usage statistics alone will not be the sole determinant in a decision to cancel. Impact factors and significance to research are also considered.

Where possible, COUNTER compliant usage statistics will be used to monitor usage. Usage statistics will be recorded to enable trend analysis. Cost per full text download will also be recorded in order to judge value for money. This will be converted to return on investment for archival packages.
JISC Collections recommends that a value of £1 per full text download represents good value for money, when cost per download is higher than the average Inter-Library Loan cost; this may be a sign that a particular resource or title should be considered for cancellation.

6.2 Track downtime/availability
The library will endeavour to track scheduled and unscheduled downtime/maintenance and tally these up annually.
6.3 Monitoring titles in a package
For journal collections or packages, there is a strong likelihood that journals will have moved from one year to the next. This may be titles which have changed publisher; titles which have been eliminated from a package or further titles included. This migration of titles will be checked by the library in order to maintain a relevant collection.

7. Withdrawal of stock and cancellation of subscriptions

7.1 Stock editing
The library will liaise with academic staff to review the currency of print and electronic books, journals, standing orders and off-air recordings. The objective is a balanced and relevant collection. Stock editing is undertaken regularly, and items are evaluated according to the following criteria:

- relevance to the current curriculum
- relevance to research interests
- inclusion on reading lists
- currency
- usage levels
- physical condition
- duplicate online editions owned in perpetuity by the library

It is recognised that in some subject areas e.g. Humanities, reading materials have a long shelf life and the criteria for editing will be broader.

7.2 Journal and database cancellations
The library will replace print with e-access where appropriate (see also 5.3 and 8.0). The library will liaise with the appropriate Schools and Research Centres as part of the annual review in regard to which journal titles should be withdrawn. The main criteria for withdrawing print items are that:

- Current issues are no longer received by the library
- Use is minimal (see 6.0) and space and cost savings may be made by submitting Inter-Library Loan requests as an alternative
- The research centre/funding has been discontinued
- A significant number of titles in a database or journals package have been removed/discontinued making the package less relevant to the needs of the university
- An open access alternative is available

Where there are compelling reasons to keep print versions these will be agreed with individual Schools.

7.3 Disposal
Withdrawn items will be disposed of in one of the following ways, as appropriate:

- Offered to used books resellers in the UK or abroad
- Recycled or disposed of according to the University’s environmental guidelines.
8. Digital Preservation

8.1 E-journals
The library continues to invest in e-journal subscriptions and archives, which for some subscriptions
duplicate the print back runs for a number of years. However, because the library now effectively ‘leases’
access for online content from publishers, we have also invested in a number of digital preservation
services.

These solutions ensure the Library maintains access where access to a title has been lost. Access can be lost
when a title ceases publication or changes publisher; when a publisher ceases operation or there is a failure
of their servers; or when a subscription is cancelled. The standard NESLI and JISC Collections licences
include an archiving clause that infers perpetual access; however, in the above circumstances this is merely
theoretical.

This also allows the library to replace print journal archives with e-versions using the Imperial College
model for sustainability. E-journals are classed as sustainable when at least one of the following applies:

- There are perpetual access rights to the content, via the web. Perpetual access rights include access
  via the publisher’s website or via digital preservation services such as Portico
- The journal is permanently open access for all years or certain years (Hybrid open access journals
  are not included in this category)
- The content is available in a trusted service such a JISC Journal Archive (a community driven archive
  of nationally procured journal archive collections in the UK) or JSTOR

A journal will be considered unsustainable if it fails the above criteria, for example aggregated services such
EBSCO’s Business Source Complete do not fulfil any of the sustainability criteria and are therefore titles
within these resources would be recorded as unsustainable.

8.2 Theses
Under the libraries memorandum of understanding relating to the EThOS E-Theses Online Service, the
British Library will harvest the full text of PhD theses held in the University Repository. This will allow the
British Library to add the University's theses to its archival store for long-term preservation.

9. Future proofing
In the digital environment, electronic content and services provided to access electronic content are
constantly evolving and changing. What seems appropriate now may not be as relevant two to five years
later. This is especially true regarding service provision to access electronic resources. This is an area where
the market is still extremely volatile and where new services and tools come to market every three to six
months.

Revised December 2014
Appendix A

Computing and Library Services

Request for Library Resources Form

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<thead>
<tr>
<th>To be filled in by requester</th>
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<tr>
<td>Name of requester</td>
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<th>School</th>
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<tr>
<td>Department</td>
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<td>Research Group</td>
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</table>

| Resource name/title         |

| Reasons for request         |
| (Does this satisfy an area of research, it is needed for a reading list?) |

| Description of media, e.g. Journal/Database/other media |

| When would you like the subscription to start, e.g. next volume etc. |

| Do you require an archive, e.g. back files for journal titles |

| Would an Inter-Library Loan satisfy the request? |

| What would be the impact if we did not purchase this title? |

Request for investigation approved by Head of Division/Department

<table>
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<th>Head of Division/Department</th>
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<tr>
<td>Signature.......................</td>
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<td><strong>To be filled in by Information Resources</strong></td>
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<td><strong>Approved by:</strong></td>
</tr>
<tr>
<td><strong>Existing library holdings?</strong></td>
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<tr>
<td><strong>Is requester on the editorial board of the title</strong></td>
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<tr>
<td><strong>Check Repository for recently published articles</strong></td>
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<tr>
<td><strong>Price</strong></td>
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<tr>
<td>Print</td>
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<tr>
<td>Electronic</td>
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<tr>
<td><strong>Is the title part of a big deal or FT database?</strong></td>
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<td><strong>Is multiyear pricing available?</strong></td>
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<td><strong>Alternative quotes for backfiles, current year, next year etc.</strong></td>
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<td><strong>Authentication</strong></td>
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<td>EzProxy, IP, Athens, Shibboleth, Username password</td>
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<td><strong>Is a trial available?</strong></td>
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<td><strong>Impact factor (JCR)</strong></td>
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<td><strong>Peer reviewed?</strong></td>
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<td><strong>Hybrid OA title?</strong></td>
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<td>% OA of last year’s articles</td>
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<tr>
<td><strong>Licence details</strong></td>
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<td>Walk-in users</td>
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<td>Alumni</td>
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<td>Partner Colleges</td>
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<tr>
<td>Commercial</td>
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<td>Off campus access</td>
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<td>Course packs</td>
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<tr>
<td>VLEs</td>
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<td>ILL</td>
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<td><strong>Opt-out clause for multiyear deals</strong></td>
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<tr>
<td><strong>Notice period for cancellation</strong></td>
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<tr>
<td><strong>Price cap</strong></td>
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<tr>
<td><strong>Post cancellation access</strong></td>
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<tr>
<td>Preservation, e.g. LOCKSS/Portico</td>
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<tr>
<td>Member of Project Transfer</td>
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<tr>
<td>Checked for disable users</td>
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<tr>
<td>Checked for mobile/tablet access</td>
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<tr>
<td>Decision to purchase</td>
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<td>---------------------</td>
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<tr>
<td>Recommendation from Information Resources</td>
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<tr>
<td>Comments from Academic Librarian</td>
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<tr>
<td><strong>YES/NO</strong></td>
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<tr>
<td>Head of Division/Department Signature.................................</td>
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Appendix B

The University of Huddersfield

Quality and Standards Advisory Group

Library Information Resources Budget – a proposal June 2014

Members are invited to consider proposals from Computing and Library Services for changes to the allocation of the Library Information Resources Budget

Background

1. The allocation formula

For several years a formula has been used to allocate to Schools the budget available for information Resources, including subscriptions to journals, databases and book expenditure. The formula was based on student fte; an average price for books and journals in the subject area and a small allocation for postgraduate research. It has recently become obvious this approach does not allow the optimal acquisition of resources necessary to fulfil both the needs of teaching and learning and of research across all disciplines.

2. Factors indicating a change is necessary

- It is increasingly important to support research, some essential resources were not able to be provided from individual School funds
- Due to the spiralling costs of Journals and databases cancellations have had to be made or new journal titles bought from the funds set aside for books
- Many of the subscription based resources are inter-disciplinary
- Information about books on Reading Lists is now readily available
- Analysis of usage of print collections indicates that a large percentage are not used
- Reliance on interlibrary loans is now more evident for books as well as journal articles

3. The proposals

In submitting these proposals, there are four over-arching concerns:
1) To allocate the information resources budget fairly
2) To ensure the result is optimum usage and best value for the collection
3) To ensure student satisfaction
4) To ensure the needs of the university research community are met

Proposal 1: Recurrent expenditure on subscriptions for databases and journals and e-book collections should be top-sliced

The reasons for this include the current collection is considered a base line collection following numerous cancellations which have taken place over the last 3 years; that several resources cross subject boundaries and that some expensive resources are key to a school with fewer fte leaving insufficient funds to buy books
Proposal 2: Patron Driven Acquisition should be top-sliced from the remaining budget for books

This is a method of purchasing materials for a library based on a known user demand. It is a ‘Just-in-time’ acquisitions model which ensures the needs of the user are met, as opposed to the ‘Just-in-case’ acquisitions model which is the traditional way in which materials are selected by an academic or librarian in anticipation of the user’s needs.

The reasons for using this include that it relates directly to improving the student experience; previous initiatives have shown that titles bought are well used and usage of titles selected by traditional methods have been shown to be poor.

Proposal 3: The remaining books budget should be split amongst Schools using HESA fte numbers

These budgets will be allocated for Reading List material and other items

1. Benefits
   • A collection would be built which meets the needs of our users
   • Efficiencies made in processes would enable staff time to be spent in further analysis of collections in order to ensure purchases are made for the benefit of the university,
   • Value for money would be assured

Eileen Hiller
Head of Academic Services

Agreed by QSAG 11.09.2014