ISC16D032

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Issue

In 2015 responding to the University's plans for increases in student numbers and its emerging teaching and research priorities up to 2030, the Library Forum and ISSC approved a new Collection development policy. This paper is the biannual review.

Recommendation

Recipients are invited to endorse this updated policy, appendix A. Further adjustments have been necessary to underpin the move to "digital first" and clarify expectations about approaches to buying library materials in the context of the space constraints.

Risk implications

If further adjustments are not agreed the Library will find it more difficult to manage expectations around resource provision, leading to patchy implementation across disciplines and increasing space pressures.

Resource implications

Further refocus of acquisitions towards digital resources, which will be managed within existing library budget allocations.

Equality and Diversity

An equality impact assessment has been undertaken for this service and is available on request.

Timing of Decisions

If approved, the revised policy will be implemented, in time for academic year 2017-18.

Drivers

The key drivers for this review are:

- As stated in the UEA 2020 plan, there is a need to accommodate the increase student numbers, and the Library needs to effectively manage its space and collections to support these increases.
- Since the policy was written, the Library's business case for an extension in the near future has not been agreed which means we need to further clarify our policy to keep the collection within its existing footprint. We therefore need to keep up the momentum with agreed approaches to "digital first" and withdrawals, which now need to be embedded as part of the Library's core business rather than being run as projects.
- There are increasing expectations of access to electronic materials to support learning for all library users, but especially for those working "at a distance", such as those on placement, for whom the physical library is less useful.

- The need to emphasise that meeting research needs is still be a priority in line with the UEA Plan, but the shift is towards "just in time" provision for researchers rather than 'just in case' purchasing and collection building. This may also include replacing existing physical stock with electronic alternatives.

Progress since 2015
- Since 2015, the library has been focusing on a "digital first" acquisitions policy:
  - Print materials now account for around just 23% (£653,886) of the total expenditure on resources compared with 77% (£2,813,036) on electronic collections.
  - In 2015/16 the Library purchased 3,585 individual e-books, representing 27% of the total number of individual items purchased. Additional e-book titles were also purchased in packages.
  - The percentage of the Library's *existing* book collections that are used to support teaching is approximately 40%, as opposed to 60% which is to support research. This reflects the fact that prior to 2005, the Library was still focused on research collection building in its own right.

- Related to these trends is the progress on the Collection development and relegation project which has been reported to the Library Forum over the last 18 months:
  - Progress continues with withdrawing print journals, where in perpetuity online versions are available, and duplicate books, not required for current teaching. Some consultation has begun about phase 2 where low use "unique", i.e. single copy, materials may be candidates for withdrawal in order to make sufficient space for new books. At present, despite the 'digital first' policy, only around 1 in 3 books is available/affordable for academic libraries to purchase in an electronic version, meaning that we still need physical space for two-thirds of our book acquisitions.
  - In terms of its 50,000 target, the Library has managed to withdraw 30,130 books and 5,452 journal volumes which means we are two thirds of the way towards the target.

Main proposed changes to the Collection Development Policy 2017-2020:

- Consolidation of "digital first" approach, with the aim of maintaining print resources within current discipline footprints as far as possible. This ensures there is sufficient space on the shelves for new books.
- Clearer link between book acquisition and reading list provision, focused on "core" and "further" readings for all modules.
- Focus remains on acquisitions for teaching and current research, continuing the move away from collection building 'just in case' (with gaps fulfilled instead through demand driven and interlending services ('just in time')
- Even greater use of ebooks for new acquisitions, where available, and for the replacement of existing well-used print materials (thereby reducing the number of copies needed physically on the shelves.)
- Further guidance on acquisition of resources for new courses and modules.
- Increased clarity on the subscription of databases and software.
- Implementation of the new policy will assist in the communication process, with academic colleagues. The Library will update our "Library Guide for New Academic staff", giving new staff the opportunity to understand the principles of our resource management strategy; what they can expect from us to support their current teaching and research; and what engagement we need from them.

Appendix A

UEA Library Collection Development policy 2017-2020

UEA's collections are a combination of physical materials available in the Main Library and digital materials, such as e-books, e-journals and databases, available online. When considering the collections, both forms of library provision will be taken into account, with an increasing emphasis on digital collections owing to space constraints.

Digital first

- Where available electronically, the Library adopts a *digital first*[1] policy for buying books to support undergraduate teaching. Physical versions are generally only purchased if the e-book edition is out of date or its license terms insufficient to meet the needs for concurrent student access.

- The Library also adopts a *digital first* policy for books to support research where available.

- The Library adopts a *digital first* policy current journal subscriptions, unless post-cancellation access rights to the subscribed years are not likely to be available in future.

- The *digital first* policy is supported by information and digital skills induction for all students, with a self-service *online first* approach to training in this area.

- The *digital library* is accessed through UEA Library's web and mobile presence, with offerings for undergraduates and researchers.

The digital first policy outlined above is now unpacked in further detail below:

Journal collections

- The Library applies a *digital first* approach to current and past journal subscriptions, unless post-cancellation access rights *to the subscribed years* are not available. In such cases, a print version may be retained by the Library as an assurance of long term access to the journal for UEA researchers.

- The Library keeps its past physical journals under constant review and wherever possible undertakes physical journal withdrawals, having checked that appropriate long-term arrangements for ongoing online access and preservation seem to be in place[2].

- If current journal subscriptions are cancelled, the Library endeavors to retain access to the previously subscribed years but cannot commit to keeping any previously *gratis* access to additional back volumes[3].

Book collections

- The Library undertakes ongoing interdisciplinary reviews of physical book in consultation with faculty:
    - to ensure items with minimal usage[4] are withdrawn to make space for resources most relevant to *current* teaching and research
- Where necessary, to facilitate this, in liaison with faculty, the Library publishes *'discipline statements'[5] for each discipline area*, clearly stating an agreed approach to future resource provision and to stock withdrawal, nuanced depending on the discipline areas concerned and subject to biennial review.
- Where subjects are no longer taught, proposals for book withdrawals of whole subject areas must be agreed with the relevant Faculty Executive(s) and signed off by ISSC, to ensure any plans for the subject's future re-emergence have been taken into account.
- Whilst there remains no prospect of a library extension in the medium term, books will have to be managed within their existing discipline footprints for the foreseeable future.

- Where sufficient physical book withdrawals cannot be identified, e-book replacements for existing stock must be considered as an alternative to ensure there is sufficient space for new acquisitions to be received

Book buying

Core reading lists items and books for undergraduate teaching are prioritized, with selective purchase of research books based on agreed discipline statements[6].

- Reading lists: UEA Library purchases core readings and materials on reading lists, coupled with selective purchase of supplementary items as funds permit[7]. For disciplines where long form bibliographies (c. 75+ items) are provided instead of reading lists, academics will always be asked to identify the 'core' and 'further' readings for the module, with the remainder of the items receiving the lowest priority in terms of purchase.
- User selection: As part of its provision, UEA Library may selectively subscribe to 'demand driven' and 'evidence based' services to facilitate user involvement in book selection to ensure timely delivery of resources at point of need[8].

Book donations:

- Whilst there remains no prospect of a library extension, donations will not normally be accepted as these take up additional physical space and are costly to process.
- Donations and gifts for UEA Archive are governed by separate Archive Collection Policy https://portal.uea.ac.uk/documents/6207125/6460911/Archive_policy_Jan2015.pdf/bfb6fa10-ffe4-4335-ac94-5392e9b233a6

Interlending and document supply

- The Library takes a *digital first* approach to interlending and document supply service, with online delivery taking precedence over traditional print-based options, where available. Where more cost effective or to meet time constraints, this may involve purchasing items rather than borrowing the item from elsewhere.

New modules, courses, Schools & disciplines

- For new Schools, or new discipline areas, the faculty and Library must agree in advance an institutional business case for both start-up and recurrent funding[1].

- For new courses, the resource issues will be identified through the University's Course Approval procedure reported through Learning and Teaching Committee.

- For new modules, Schools should liaise with the Library a minimum of six months in advance of the start date to provide advice on outline resource needs; such as core readings or journals, as shown in the module outline. If no such liaison is initiated by the School, funds to support the module will not be identified retrospectively.

- The Library has a 'one in, one out' approach to new journal acquisitions owing to funds available.

Archives

- In consultation with faculty, UEA Library undertakes selective acquisition of archives to meet anticipated research and teaching needs, primarily by UEA researchers. This is outlined in a separate policy.

Databases and software

- UEA Library acquires web based full text and bibliographic databases to support the current research and learning needs of the university. Content should normally be hosted on publisher platforms that provide concurrent access via standard University authentication mechanisms.

- Non-library resources, such as specialist software and datasets, are expected to be located and purchased within individual Schools or faculties, where more specialist requirements can be accommodated and relevant expertise and support is available. Direct hosting and library management of usernames and

passwords are not supported.

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[1] To ensure continued access to its resources for partners and external users, the Library has increased the number of terminals available for 'walk-in' access to its digital library.

[2] If a withdrawn journal subsequently moves to a different online provider or the provider unexpectedly goes out of business, the Library will endeavour to source materials via journal preservation services (such as Portico) or via document supply and interlending. However the Library cannot provide a 100% guarantee of future access to withdrawn print journal materials. Having to occasionally resort to interlending to source journals no longer available online will be far more cost effective to UEA than retaining all past print journals 'just in case'.

[3] 'Digital only' subscriptions sometimes come with a publisher-gifted gratis backfile (i.e. journal volumes from previous years) with online access to past volumes of the journal prior to the actual subscription year. These are only available whilst the subscription is maintained and are often provided by publishers to 'hook' libraries into never cancelling. These 'gratis' backfiles have never been purchased and therefore there are no guaranteed archival access rights.

[4] An assessment of usage is not simply based on borrowing statistics but also on estimates of likely levels of usage within the library and knowledge of what is being taught and researched as outlined in the discipline statements.

[5] Discipline statements will ensure decisions about withdrawals are made in the context of each discipline's likely growth and development at UEA and ensure that different pedagogical and research needs across the Schools are properly considered and recorded.

[6] Owing to book fund levels, UEA Library can no longer afford to purchase research books on a speculative basis, but instead takes a targeted approach to research resource provision based on the discipline statements.

[7] Owing to book fund levels, UEA Library cannot commit to purchasing all items on reading lists especially where lists are presented as bibliographies rather than as core and secondary readings.

[8] There was a general consensus in the 2015 consultation feedback that 'user selection' services were an essential part of the wider Library offering, being timely and user focused. They are a quick way of providing access to items on reading lists that have not been previously advised to the Library and for texts to support extended essays and dissertations. Patron and demand-driven services are now widely adopted across other HEIs as part of a strategy of meeting student and NSS expectations in an increasingly global, 24/7, 365 environment.