



**ULSTER UNIVERSITY
FINANCE & INFORMATION SERVICES DIRECTORATE
LIBRARY**

Collections and Information Access Policy 2015/16

Collections and Information Access Policy

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Introduction

This document sets out clearly the general framework within which the Library operates to select, manage, review and withdraw content from the Library's collection of information resources. The overall approach will be determined by balancing differing needs such as: current learning, teaching and research interests, known and future requirements, and new course proposals.

The Policy supports the Library's Mission Statement to 'develop, deliver and sustain Library services and resources to support the University in achieving its corporate aims' and is aligned to the Library Services Strategy and the University's Learning and Teaching Strategy (2013/14 to 2017/18). The Policy will also support the University to achieve its strategic objectives in the context of delivery of the Greater Belfast Development Project.

Context

This revision of the Policy will inform the Library's approach to collection management and development. It focuses on the acceleration of the digital Library and considers the attendant cost implications and space constraints on maintaining a physical collection.

Overall responsibility for the implementation of the Policy lies with the University Librarian.

1. General Principles

The Library's primary aim is to serve the members of the University and, as far as resources permit, to meet their information needs for learning, teaching and research. A secondary aim is to support the wider community in accordance with the University's various outreach activities.

To fulfil these aims, the Library must ensure that it provides information resources in the appropriate format to support all aspects of the University's learning, teaching and research and technology transfer. The Library supplements its own collections with arrangements for access to information resources available elsewhere, particularly through the British Library, SCONUL Access and ALCID schemes. Due to limitations on our physical space, the Library anticipates an increased requirement to meet demands for information (including books and journal articles) through the services of the British Library. The Library's enhanced Online Document Delivery Service will support this need. This approach ensures quick and easy access to the full range of information required by users.

The acquisition of material and services and the management of the Library's collections are informed by, and prioritised according to, the University's current and projected teaching and research interests. The Library does not aim to cover all areas of knowledge; acquisitions are intended to be realistic and operate within current budgetary and space allocations.

Key principles underpin the overall Policy:

- An electronic first principle will be applied, where availability, cost and access models allow. Print and other formats will be purchased where there is a strong academic requirement to do so
- The Policy will be implemented on all campuses
- Resources are provided as a collective resource for the whole user community
- Fulfilment of the Policy is restricted by budgetary, spatial and subject constraints
- The Library's collections in physical form will reduce, whilst electronic provision will increase
- The Library will aim to meet most information needs of staff and students, but it is recognised that not every demand can be satisfied
- The Library is committed to providing equitable access to all users
- The Policy is designed to be flexible and responsive to the changing needs of users
- The Library will work closely with the University's academic community. However, to ensure consistency, the final responsibility for determining priorities rests with the Library
- Access is provided to information which reflects a diverse range of cultural, political, social and intellectual views
- The principles of intellectual freedom and access to uncensored information will be upheld.

2. Aims

The Collections and Information Access Policy aims to ensure that the Library:

- Supports the University's learning, teaching, research and technology transfer as articulated in its Corporate Plan and other University policy documents
- Operates its policies transparently in conjunction with the academic community
- Establishes priorities in the selection, management, review and withdrawal of resources
- Reviews its Policy regularly in the light of changes in:
 - (a) The University, including changes to its financial situation
 - (b) The Library and information sector
 - (c) The HE sector
 - (d) The available technology
 - (e) The wider community.

3. Budget for Collections and Information Access

The Library will work in partnership with Faculties to identify the budget necessary to purchase stock and services to support current teaching, learning and research. Consultation between Sub Librarians and Deans or their representatives at key stages in the financial year will determine budgetary requirements for the following academic year. There may be a need for further consultation to agree priorities if the Library is required to make efficiency savings on its proposed budget. Whilst there are higher costs associated with purchasing content in electronic format, it must be recognised that the acquisition and processing of print materials requires a considerable staff resource. This

difference in costs impacts on provision overall. In the interests of efficiency and delivering value for money, Library management may make decisions without direct consultation with Faculties but will be guided by their expressed needs. The prioritisation of provision of resources in electronic form will be a driver for all budgetary decisions during the life of this Policy.

4. Selection and Management of Stock and Services

Content is purchased in variety of formats. The balance between formats will vary according to the needs of specific subject areas and the relative costs. The Library has adopted an electronic first Policy in preference to the print/physical format where it is appropriate, and cost-effective. Exceptions to this approach occur where, for example, the electronic version:

- Is significantly more expensive compared with the print version
- Is not available to Libraries (many key textbooks are still not available in electronic format or suitable for Libraries to licence)
- Is not the most up-to-date
- Restrictive usage conditions apply: such as (printing/downloading limitations, unreasonable embargoes etc.)
- Does not offer the appropriate reproduction of certain content (e.g. visual arts material)
- Has complex accessibility issues.

Material is selected primarily on the basis of the current needs of the University. Sub Librarians will work with academic staff to identify strategies for maximising access to required reading, including the purchase of eBooks and assistance with the digitisation of course readings (e.g. individual book chapters and journal articles) under the University's Copyright Licence (CLA Photocopying and Scanning Higher Education Licence).

The Library will also explore and exploit new models of e-access where they will assist in widening and enhancing provision.

Selection of subject-specific material is carried out by teaching and research staff in consultation with Faculty Sub Librarians, using the following general guidelines:

- Material selected must support the current learning, teaching and research priorities of the University
- The number of copies or simultaneous accesses purchased will depend on anticipated and actual use, cost and availability
- Unnecessary duplication of stock in print and electronic format will be avoided
- Academic quality of materials is important so all material acquired should be of an appropriate standard to support teaching and research
- Library staff will ensure the relevance and currency of stock and reserve the right to decline to purchase any item not consistent with the stated aims of both the Collections and Information Access Policy and the University
- The relevance and currency of stock.

The following criteria will be used in deciding whether to subscribe to an individual electronic title or package:

- Cost effectiveness
- Space savings
- Range and appropriateness of titles available
- Conditions and security of access
- Ease of use
- Access to backfiles for journals
- Added functionality, e.g. full text searching, reference linking.

It is acknowledged that there are differences between subject areas which need to be taken into account and that the selection and management of material will vary depending on the nature of the subject. Differing subject needs in terms of breadth, depth and currency of content will be reflected in the Library's Collections.

4.1 Reading Lists

Electronic reading lists point to a wide range of print and online resources such as books, eBooks, journals, eJournals, digitised book chapters and journal articles, electronic databases and external web sites. The Library aims to provide access, either online or in print to 100% of required and 85% of recommended items on reading lists. Where access cannot be provided, academic staff will be informed and suggestions for suitable alternatives will be sought.

Academic staff are responsible for ensuring the timely supply of up-to-date reading lists to the Library in order that materials can be bought in advance. Normally, at least 6 weeks' notice will be required to ensure that material can be supplied on time. All current reading lists submitted by academics will be added to our online reading lists database. The Library will liaise with Faculty staff to ensure the currency of reading lists and expect to provide access to material contained in current reading lists for undergraduate and postgraduates on taught programmes subject to the following considerations:

- Cost of the title in relation to the allocated budget
- Anticipated use e.g. duration of module as an indicator of anticipated demand, currency of information and availability of alternative titles
- Prioritisation of inclusion of electronic resources available off-campus for distance learning students
- Usage of existing material
- Licensing arrangements
- Differing needs of subjects
- Availability and accessibility
- Space constraints in the Library.

4.2 Books

Books will be acquired in electronic form and with multi-user licences as far as possible; options for download and use on mobile devices will be pursued, taking into account the needs of users. Meeting the simultaneous demands of users, specifically undergraduate students, remains a challenge but eBooks will be our preferred model for meeting this demand.

Where possible, the Library will provide electronic access (or as a secondary measure, print access) to all book titles listed as *Required* reading. As a general rule, this will equate to access to one copy for every 20 students on a module. Where student numbers justify it, multiple access to or multiple copies of required books will be purchased. Normally no more than 10 print copies will be acquired to support a specific programme.

Where cost or space permit, the Library will expect to provide access to at least 85% of *Recommended* titles to meet likely demand. It may not be possible to provide access to all items on a reading list due to material being either unavailable in eBook format, out-of-print and unavailable or too expensive to purchase for the expected usage. In these cases, the Library will seek to provide access to key readings through alternative routes, such as from the British Library's Copyright Cleared Document Delivery Service. Where it is not possible to do so, academic staff will be informed so that a substitute title may be suggested.

It is expected that students will purchase a number of books to support their study, ideally at least *one* required textbook per module and any other titles considered to be integral to their studies.

A significant proportion of current or recently published book titles are now available in electronic form either as individual titles or as part of collections from publishers or intermediaries. The purchase of books in this format will be our primary mode of acquisition in order to maximise access for users, support flexible modes of study and manage the space limitations of campus Libraries. Alternative purchase models such as patron-driven, evidence-based acquisition and purchase on a collection basis will be explored and assessed on an ongoing basis. The Library will purchase any available multi-user eBooks for all *Required* titles and a minimum of single-user access when purchasing *Recommended* titles where user demand is anticipated to be constant.

In some subject areas (e.g. visual arts) there may still be pedagogical reasons to support the purchase of the print format.

Where print copies are purchased they may be distributed between loan categories and moved across loan categories according to identified demand.

The Library will consider purchasing other book items recommended by staff or students of the University, where such additions will:

- Support current research programmes
- Encourage students to study a wide range of relevant material aligned to the University's aims
- Assist Faculty and other Ulster staff in keeping up-to-date with developments in their subject area.

4.3 Journals

These are defined as publications of a serial and on-going nature. Journal subscriptions, both electronic and print, represent an expensive and continuing commitment, and the journals budget is examined closely each year.

The Library has adopted an electronic first approach to providing users with current and archive content. Journals will only be purchased in both electronic and print format if this is a publisher requirement to provide electronic access.

With ongoing budget constraints, it is expected that subscriptions to existing titles will be cancelled to release funds to purchase new titles. New journals will be purchased to support new programmes and to ensure maximum relevance to current teaching and research. Before subscriptions are cancelled the opinions of all stakeholders including relevant Faculty staff will be taken into account. From time to time Faculties will be asked to review current subscriptions to ensure continued relevance and value for money. Many subscriptions are now purchased as part of negotiated deals and this may reduce the flexibility to cancel individual titles.

In order to ensure continuing access to electronic materials, the Library will subscribe to the Portico digital archive and eJournal preservation service.

Due to space constraints, print journals will only be retained where all or most of the following criteria apply:

- Content continues to support current teaching and research on each discrete campus
- There will be no sustainable electronic access for as long as journal content is required
- Local and remote access arrangements are appropriate and sustainable
- The electronic version has limited or lesser content to the print version.

No journals will be held in storage.

In certain subject areas, print journals may be retained due to significant advantages over the online version, e.g. where reproduction of specific content such as illustrations, or diagrams from the electronic version is considered to be inadequate or inferior.

In order to facilitate management of the journals collection, the Policy will be regularly reviewed to ensure journal selection, retention and relegation criteria continue to be valid, particularly in the light of possible future collaborative arrangements, both at national and institutional levels, e.g. collaborative storage initiatives and institutional repositories. Similarly, in considering eJournal deals consideration will be given to how they will impact on and support arrangements for Open Access.

4.4 Institutional Repositories and Open Access

Institutional repositories offer access to journal articles and other research outputs free of charge to the end user through institutional or collaborative information collections. Open Access relates to publishing in eJournals where the cost is typically borne by the authors of the article or their institution and by other arrangements that may arise; this removes the barrier of subscription costs for access to content. The Library will work in partnership with the Research Office to support and promote the University's "green" open access policy.

The Library will continue to monitor developments in Open Access and will provide appropriate support to Ulster's researchers wishing to publish in this way and to registered users who wish to consult Open Access material. As with other information sources, the level of support will depend on financial and staff resources.

4.5 Databases

The Library will make databases and information collections available in electronic format wherever possible to maximise access for users. Databases will be subscribed to after due consideration of factors such as scholarly needs, cost effectiveness and user authentication and authorisation. The Library's preferred option is to make material available in Web-based and full-text format provided there are clear pedagogical advantages such as, improved search facilities, multi-user and remote access capabilities along with 24/7 access.

The Library aims to:

- Provide direct access to appropriate databases to support the current teaching, learning and research requirements of the University. Sub Librarians will keep abreast of database developments and will consult Faculties about new electronic sources. Database trials and demonstrations will be arranged and Sub Librarians will bring forward recommendations for consideration for purchase during the annual budgetary consultations with Faculties
- Provide direct access to appropriate databases which are either multidisciplinary or contribute to the Library's Reference resources
- Select the best medium on the basis of cost, currency, ease of use and access where content is available on a variety of platforms
- Organise on and off-campus access to databases where available to provide equitable access to each database
- Monitor the use of all databases and employ this usage data to inform decisions relating to collection management.

4.6 Scanned Documents and Offprints

Under the terms of the University's Copyright and Scanning Licence, documents such as book chapters and journal articles will be made available through the Library's centralised scanning service where the material is currently held in paper or digital form by the Library.

Academic staff may submit requests to the relevant Sub Librarian, at least two weeks in advance of anticipated need. Scanned documents will be accessible through the module reading list via Blackboard Learn. Criteria such as user demand, the level of current access and potential cost and space savings will be taken into account when considering the request for digitisation. In compliance with Licence requirements, usage data will be monitored and reported to Sub Librarians, this will inform the renewal process.

For distance learning courses only, where material is required beyond the limits of the Copyright and Scanning Licence, the Library will make use of the Copyright Licensing Agency's (CLA) Second Extract Permissions Service which permits the scanning of additional parts of books and journals. This is a fee-based service

with a limited budget availability. A minimum of three months' notice is required to obtain material using this service.

The Library retains a small collection of printed offprints where there is a demand for an article or book section and where the CLA does not permit the item to be scanned. Usage of individual offprints (whether in print or electronic form) will be monitored for the purpose of collection management.

Due to copyright regulations, 'study packs' compiled by lecturers cannot be held in the Library, unless with the agreement of the Copyright Licensing Agency.

4.7 Reference Material

The Library aims to provide access to a range of ready reference and bibliographic materials which directly support the teaching and research activities of the University. Where reference materials are available electronically, this will be the preferred method of purchase. Although some duplication of print-based titles across campus Libraries is inevitable, the Library will rationalise these wherever possible, so that all titles justify their place in collections taking account of their cost and likely usage.

4.8 Theses and Dissertations

In accordance with University regulations one copy of the University's research theses will be deposited for consultation purposes in the appropriate campus Library. On occasion the Library may, in line with submission stipulations, restrict access for a given period of time due to, for example, 'commercial sensitivities' or whilst a patent is pending. The Library will also require a digital version to supply to the British Library for inclusion in the EThOS database.

Access to theses held by other universities will be provided through the British Library and the EThOS database. Masters' degree dissertations with a mark of 70% or above (Distinction level) must currently also be deposited with the Library. The Library will support the move to provision of exemplars of Masters' degree dissertations through the University's VLE. The Library will not usually hold copies of Masters' degree dissertations for more than ten years unless they represent a unique or significant resource. Decisions to retain these will be made in consultation with Faculties. The Library will not hold undergraduate dissertations.

4.9 Newspapers

The Library will provide access to a range of UK and Irish daily newspapers to support current affairs and the overall information needs of the University. The Library's preferred option is to provide access to newspaper content via online access only. Foreign language newspapers will only be provided by the Library where they directly support teaching and research interests.

Online access to newspapers titles will be acquired in modes that provide access to archival holdings, wherever possible. Microform version (35mm) of a newspaper will be acquired or kept only to preserve an archive of older issues or where online versions do not include all material such as full text and images.

Duplicate holdings of microform collections across the campuses will be avoided with consolidation of titles taking place on the campus of most need.

4.10 Examination Papers

Ulster examination past-papers are available through the online Exam Paper database, which is accessible both on and off-campus to registered users from the Library web site. The Library will make available all those papers provided by the Examinations Office in a timely fashion.

4.11 Donations (including bequests)

The Library will consider offers of gifts and donations in accordance with the same selection criteria applied to other purchased acquisitions. All donations (bequests), including those from academic staff, will be strictly assessed on an individual basis by the appropriate Sub Librarian in consultation with the Campus Library Manager.

Donations will only be accepted if:

- The material is relevant to the current and known teaching and research interests of the University
- Sufficient space is available
- There is limited cost in adding the material to stock
- There is full agreement that items may be disposed of in any manner deemed appropriate.

Library staff reserve the right to decline any donation which is not consistent with the aims of the Library or the University.

The Library will retain the right to dispose of donated material should it no longer meet these aims. Archive materials specifically relating to the University are managed by Archives staff within the Library.

4.12 Damaged/Missing Items

Damaged materials will be repaired if possible or replaced provided there is likely to be a continued demand for the item and it is still available to purchase. Missing items may be replaced depending on demand, availability of alternative sources and cost. Items will be replaced in electronic format where appropriate.

4.13 Special Collections

Special Collections within the Library are curated by the Sub Librarian for the Faculty of Arts. Detailed information about the special collections and the latest strategy which informs decision-making in regard to the curation, preservation and promotion of these collections. Is available from the Special Collections and Rare Books LibGuide at library.ulster.ac.uk/specialcollections

There are several collections of unique material which are held in closed access areas, primarily at the Coleraine and Magee Libraries. These special collections support research and teaching at the University and their care is a vital curatorial role of the Library. By nature of the material, these collections need to be curated, managed and used separately from the main collections, usually under archival conditions due to their fragility, rarity, financial or other value.

Due to administration and accommodation costs, new special collections will only be initiated after careful consideration of their potential long-term contribution to teaching, research and scholarship.

Most of the collections have restricted or controlled access in order to preserve them for future readers.

4.14 Non-Book Media

The Library maintains a substantial collection of audio-visual material e.g. collections of DVDs to support the study of cinema and large numbers of CDs to support the study of music. New material is acquired to support programmes as specified in reading lists or more generally to support relevant programmes of study, e.g. music.

The non-book media collection exists for legitimate academic use only, under UK copyright law and the University's ERA (Educational Recording Agency) licence.

Audio-visual materials are also made available online where appropriate, e.g. a music streaming service is available.

5. Stock Withdrawal

The Library is conscious of its obligation to preserve, maintain and develop its resources. However, the Library will always have a finite amount of space for physical stock and will ensure the effective utilisation of space in each of the campus Libraries based primarily on verifiable usage. Delivery of the Library service at GBD will necessitate a significant reduction in the physical stock of the Libraries at the Jordanstown and Belfast Campuses. This will be carried out on a progressive basis in the period 2015 to 2018. Library space is reviewed on an ongoing basis to ensure that it can meet changing user demand for delivery of services and resources.

The Library has adopted a zero-growth Policy of its physical collections based on the assumption that there will be no addition to Library space. The acceleration of the digital Library and the transition to new models of service delivery at Greater Belfast will substantially reduce the amount of physical stock held overall. Major stock revision and withdrawal exercises are undertaken in partnership with academic staff. Careful consideration is given to subject areas where there are synergies across subject disciplines.

As a general principle all stock will be reviewed regularly to:

- Ensure continued relevance
- Make best use of space
- Maintain the collection in good condition
- Maintain a current collection.

In general, stock will be considered for withdrawal using the guidelines below. However, it is acknowledged that exceptions may be made for items in subject collections where access to older texts and a broader range of texts are judged to be necessary by the appropriate Sub Librarian. The retention of older and less-used materials will be reviewed on a regular basis in consultation with Faculties.

The availability and ease of access to books and journal content from the British Library's Document Delivery Service will be a consideration in withdrawal decisions.

Books:

- Books that do not support current areas of teaching or research (or where there is a realistic expectation of either in the near future) will be considered for withdrawal
- Books that have been in stock for and not borrowed for five years will normally be selected for withdrawal unless on a current reading list
- Superseded editions of current text books will be disposed of unless there is reason to believe they are still relevant or contain valuable material omitted from the current edition. Normally, no more than two editions will be held, with a reduced number of copies of earlier editions held, depending on ongoing demand and space considerations
- Books in poor condition may be considered for withdrawal
- Books no longer regarded by academic staff to be a reliable source of information or to represent safe practice will be withdrawn
- It is acknowledged that at least one copy of classic primary texts may often need to be retained regardless of actual usage.

Journals:

- Print journals which do not reflect current areas of teaching or research on campus will usually be withdrawn
- Print journals will be withdrawn where there will be alternative sustainable electronic access for as long as content is required
- Print journal volumes that are more than 10 years old may be considered for withdrawal unless judged to be still useful and relevant to current teaching and research
- Secondary journals of low academic quality such as trade/professional magazines will be retained for no longer than five years
- Short runs and closed runs of print journals that have not been added to for over ten years will not be retained unless there are sound pedagogical reasons for retention.

The Sub Librarians will consult the relevant Faculties before disposing of back-runs of journal titles.

Scanned items and offprints:

Digitised scanned material will be removed from module reading lists following consultation with academic staff. Offprint items that are no longer in demand will be removed.

Reference Material:

Out-of-date reference material will be withdrawn if the material is no longer relevant and has no historical value.

Non-book media

Materials that are not used or are in formats that have been largely superseded will be considered for withdrawal.

Withdrawn stock from one campus will only be considered for transfer to another campus where there is a justifiable need, where space is available and proper consultation has taken place between the relevant Sub Librarian and the Campus Library Manager.

Electronic resources:

Most e-Journals, databases and many eBooks are acquired on a subscription basis. They represent an expensive and continuing commitment, and the budget is examined closely each year. Existing titles or packages may need to be cancelled to allow for purchase of new ones. Depending on the terms of a particular licence the Library may or may not have access to subscribed material post cancellation.

Before subscriptions are cancelled the opinions of all interested parties, including all relevant Faculties, will be taken into account. Faculties will be asked to review subscriptions from time to time to ensure continued relevance and value for money in line with current budgetary allocation. The Library will withdraw access to e-Resources when access to the content is no longer required or has been replaced by a better quality product representing superior value for money.

5.1 Disposal of Withdrawn Stock

Once the decision to withdraw material has been made, stock will be disposed of in a manner aligned with the University's charitable mission. Stock not suitable for disposal by the above means will be recycled, in keeping with University waste management guidelines.

6. Library Provision in Partner Institutions

Sub Librarians will liaise with Librarians in the University's partner institutions and with the appropriate Subject Partnership Manager to ensure that Ulster students in partner institutions have access to necessary Library resources. As part of the course evaluation/revalidation process, an assessment will be made of existing Library resources for programmes delivered by a partner institution. A standard report is prepared on the adequacy of the resources available and passed to the Academic Office for consideration by the panel when considering new or existing courses.

Associate students will have access and borrowing rights to print copy resources in the University but will not have access to any of the electronic resources.

7. Reviewing the Policy

Changes to the Collections and Information Access Policy will be made at any time in the light of new developments, emerging disciplines and evolving trends. It will be reviewed overall in consultation with academic staff every three years to ensure that it continues to reflect the strategic priorities of the University.